

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Nugent, Robert E.	2. Court or Organization District of Kansas	3. Date of Report 04/29/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Chief U. S. Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 104 U.S. Courthouse 401 North Market Wichita, Kansas 67202		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	President-elect	National Conference of Bankruptcy Judges
2.	Member	Kansas University Alumni Association, Wichita Area Chapter Board of Directors
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Nugent, Robert E.

Date of Report

04/29/2014

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 12/30/13	Bloomberg, LP; Writing	\$4,254.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 1-12/13	Teaching Income, USD 385--none
2. 1-12/13	Realtor Income, Prudential Real Estate
3.	
4.	

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Nat'l Conf. of Bankruptcy Judges	4/7-4/9/13	Scottsdale AZ\	NCBJ Midyear Meeting	travel, meals and lodging
2. --same	10/29-11/1/13	Atlanta GA	NCBJ Annual Meeting	same
3. --same	6/30-7/1/13	Chicago IL	NCBJ Persident Transition Meeting	same
4. --same	9/16-9/18/13	Washington DC	NCBJ Congressional Reception	same
5. --same	12/18-19/13	Washington DC	NCBJ Mtg with Chief Justice	same

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Nugent, Robert E.

Date of Report

04/29/2014

6.	Spencer Fane Law Firm	4/29-30/13	Kansas City, KS	Mediation--firms split expenses	same
7.	Gable Gotwals Law Firm	same	same	same	same
8.	American Bankruptcy Institute	10/3-5/13	Kansas City MO	Midwestern Bky Institute	same
9.	Kansas Bar Association	4/4-5/13	Lawrence, Ks	KBA Spring BKY ConferenceNCBJ Midyear Meeting	same

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Nugent, Robert E.

Date of Report

04/29/2014

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Nugent, Robert E.

Date of Report

04/29/2014

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

1. American Century Case Reserve MMA (Y)									
2. R/O IRA #1	E	Int./Div.	N	T					
3. --Prime Fund Daily Money Fund (R/O IRA)									
4. --American Realty Capital Properties (ARC) III									
5.					Merged (with line 6)	03/12/13	J		
6. --ARC IV					Buy	03/15/13	L		
7.					Sold (part)	07/22/13	K	E	
8. --United Development Funding IV					Buy	05/03/13	L		
9. --T Rowe Price US Treas Intermediate MMA									
10. --Hartford High Yield A					Sold (part)	04/30/13	L		
11.					Buy (add'l)	09/25/13	K		
12. --Ivy High Income Fd A					Buy (add'l)	06/10/13	M		
13.					Sold (part)	6/10/13	M	C	
14.					Sold (part)	07/24/13	M		
15. --Transamerica High Yield					Buy	06/10/13	L		
16.					Sold (part)	06/10/13	L	A	
17.					Sold (part)	07/24/13	L	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Nugent, Robert E.

Date of Report

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☐ NONE (No reportable income, assets, or transactions.)

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18.					Buy (add'l)	09/25/13	K		
19. --JP Morgan Gov Bond Fd					Buy	07/25/13	M		
20.					Sold	08/15/13	M	A	
21. --JP Morgan Liquid Assets MMA									
22. --JP Morgan High Yield Bond Fd					Buy	09/24/13	M		
23. --Halcon Res Corp									
24. --Vanguard High Div Yield IDX (Y)									
25. --Vanguard Target Retirement 2020 (Y)									
26.									
27. R/O IRA #2	C	Int./Div.	M	T					
28. --Prime Fund Daily MMA									
29. --American Funds Fundamental Inv.									
30. --American Funds Growth									
31. --AmFunds New Perspective					Sold	07/18/12	K	B	
32. --AmFunds Income Fund America					Sold (part)	10/02/13	K	A	
33.					Sold (part)	09/27/13	K	C	
34. --ARC Global Trust					Buy	10/11/13	K		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Nugent, Robert E.

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35.									
36. Simple IRA #1	C	Int./Div.	K	T					
37. --American Mutual Fund					Buy	07/18/13	J		
38.					Buy (add'l)	09/25/13	J		
39. --Capital Income Builder									
40. --Growth Fund America					Buy (add'l)	04/19/13	J		
41.									
42. Emprise Bank Account	A	Interest	J	T					
43. Emprise Bank MMA	A	Interest	J	T					
44. Emprise Bank Passbook Account II	A	Interest	J	T					
45. Citizens Bank of Kansas Dep Acct	A	Interest	J	T					
46. Citizens Bank Saving	A	Interest	M	T					
47. Learning Quest 529 Fund Short-term (American Century)	A	Distribution	J	T					
48. Vanguard MMA	A	Dividend	J	T					
49. Vanguard Small Cap Value IDX (Y)									
50. Vanguard Total Bond IDX (Y)									
51. Vanguard 500 IDX (Y)									

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FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

Nugent, Robert E.

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52. Vanguard Value IDX (Y)									
53. Vanguard Total Int'l IDX (Y)									
54. Northwestern Mutual Whole Life #1	A	Dividend	K	T					
55. Northwestern Mutual Whole Life #2	A	Dividend	K	T					
56. Northwestern Mutual Whole Life #3	A	Dividend	J	T					
57. Emprise CD 6 (77)	A	Interest	J	T					
58. Emprise CD 2	A	Interest	J	T					
59. Emprise Bank CD 3 (19)	A	Interest	J	T					
60. Emprise Bank CD 4 (30)	A	Interest	J	T					
61. Emprise Bank CD 5 (41)	A	Interest	J	T					
62.									

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FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Nugent, Robert E.

Date of Report

04/29/2014

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part 7:

General statement: Format of information has been revised to reflect assets in R/O IRAs #1 and 2 and Simple IRA #1. These are Aggregate Ownership Arrangements. I have reported income and value in columns B and C by AOA and not by asset as the instructions allow.

Line 9: I changed advisers during 2012. I inadvertently omitted from the 2012 report a reference to T Rowe Price US Treasury Intermediate Money Market Account which is a clearing account for R/O IRA #1.

Line 31: Re American Funds New Perspective, R/O IRA #2 contained this asset which sale was inadvertently omitted from the 2012 report.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Nugent, Robert E.

Date of Report

04/29/2014

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ Robert E. Nugent

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544