

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Sachs, Howard F.	2. Court or Organization Western District of Missouri	3. Date of Report 05/24/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address U.S. Courthouse 400 East 9th Street, Suite 6452 Kansas City, Mo. 64106		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Co-Trustee, Irrevocable Trust B, Revocable Trust A	See Explanation
2.	
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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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.)*DATESOURCE AND TYPEINCOME
(yours, not spouse's)

1. _____

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.)*DATESOURCE AND TYPE

1. _____

2. _____

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

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

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

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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. Commerce Bank	A	Interest	L	T					
2. UMB Bank	A	Interest	L	T					
3. Commerce IRA (Financial Square)	A	Interest	J	T					
4. Commerce Bond Fund-IRA	D	Interest	M	T	Sold (part)	12/01/17	K	A	
5. Nuveen Mo Bonds	C	Interest	M	T					
6. Commerce Mo Bonds - TA	C	Interest	L	T	Buy	07/13/17	J		
7. Manulife Common Stock - TA	B	Dividend	L	T					
8. Metlife Total Control Account	A	Interest	K	T					
9. Commerce Mo tax free bond fund - TB	D	Interest	M	T	Buy	09/05/17	J		
10. Blackrock (High Yield) - IRA	A	Dividend	J	T					
11. iShares Russell Midcap Value Ind. Fund-TB	A	Dividend	J	T					
12. iShares Russell 1000 Growth Ind. Fund-TB	A	Dividend	L	T	Sold (part)	09/05/17	J	D	
13. iShares Russell 1000 Value Ind. Fund-TB	B	Dividend	K	T					
14. Vanguard FTSE Dev. (ETF) TB	A	Dividend	K	T					
15. TR Price New Horizons TB	A	Interest	J	T					
16. Clearbridge Small Cap - TB	A	Interest	J	T					
17. AQR Managed Futures Strategy Fund I - TA	A	Dividend			Sold	07/13/17	J		

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 ~\$250,001 - \$500,000,000	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 \$5,000,000	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	

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☐ 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)

18. Baird Aggregate Bond Fund Is -TA	A	Interest	K	T	Buy	07/13/17	J		
19. Dodge & Cox Income Fund - TA	A	Interest	K	T	Buy	07/13/17	J		
20. Eagle Small Cap Growth Fund I - TA	A	Interest	J	T					
21. Fidelity Advisor Emerging Markets - TA	A	Interest	J	T					
22. Clearbridge Small Cap - TA	A	Interest	J	T					
23. MFS Research Intl Fund I - TA	A	Dividend	K	T					
24. Pimco Emerging Mkts Bond Fund Ins - TA	A	Interest	J	T					
25. Robeco Boston Partners Long/Short - TA	A	Dividend	J	T					
26. T Rowe Price Overseas Stock Fund I -TA	A	Interest	J	T	Buy	07/13/17	J		
27. TIAA-CREF Large Cap Value Index Fund - TA	A	Interest	K	T					
28. Vanguard REIT Index Fund Adm - TA	A	Interest	J	T					
29. Vanguard Morgan Growth Fund Ad - TA	A	Interest	K	T					
30. Vanguard Intermediate Term Investment Grade Fund Adm -IRA	A	Interest	K	T					
31. Wells Fargo Premier Large Growth Fund-Class Inst-TA	A	Interest			Sold	07/13/17	J	A	
32. iShares Russell Midcap Value ETF - TA	A	Interest	J	T					
33. Invesco Developing Mkts Fund R6 - TA	A	Interest	J	T					
34. Artisan Mid Cap Fund-Ins - TA	A	Interest	J	T					

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	

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35. Blackrock High Yield Bond Portfolio - TA	A	Interest	J	T	Buy	07/13/17	J		
36. DFA US Targeted Value Portfolio - TA	A	Interest	J	T					
37. DFA Intl Small Company - TA	A	Interest	J	T					
38. Hartford Midcap Fund Y - TA	A	Interest	J	T					
39. Lazard Emerging Mkts Equity Port - TA	A	Interest	J	T					
40. Principal Global Multi Strategy Fund Inst - TA	A	Interest	J	T					
41. Prudential Jennison Mid Cap Growth Fund Inc Q - TA	A	Interest	J	T					
42. JP Morgan Alerian MLP Index Etn - TA	A	Interest			Sold	12/28/17	J		
43. Financial Square Treasury Govt Fund - TA	A	Interest	K	T					
44. Financial Square Treasury Govt Fund - TB	A	Interest	J	T					
45. Artisan Mid Cap Fund Ins. - TB	A	Interest	J	T					
46. DFA US Targeted Value Portfolio - TB	A	Interest	J	T					
47. Hartford Mid Cap Fund Y - TB	A	Interest	J	T					
48. Prudential Jennison Mid Cap Growth Fund Inc Q - TB	A	Interest	J	T					
49. DFA Intl Small Company - TB	A	Interest	J	T					
50. Invesco Developing Mkts Fund R6 - TB	A	Interest	J	T					
51. Lazard Emerging Mkts Equity Port - TB	A	Interest	J	T					

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

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52. MFS Research Intl Fund I - TB	A	Interest	K	T					
53. Ivy Municipal High Income Fund I - TB	A	Interest	J	T	Buy	09/05/17	J		
54. T Rowe Tax Free - TB	A	Interest	J	T	Buy	09/05/17	J		
55. AQR Managed Futures Strategy Fund I -TB	A	Interest			Sold	09/05/17	J		
56. Robeco Boston Partners Long/Short Research Fund - TB	A	Interest	J	T					
57. Vanguard REIT Index Fund Adm - TB	A	Interest	J	T					
58. Commerce Bank - IRA					Distributed	12/01/17	K	E	
59. Vanguard Intermed, Term Corp. Fund #71 - TA	B	Dividend	K	T	Buy	07/13/17	J		
60. Cohen & Steers - TA	A	Interest	J	T	Buy	07/13/17	J		
61. Fidelity Floating Rate - TA	A	Interest	J	T	Buy	07/13/17	J		
62. Hartford Floating Rate - TA	A	Interest	J	T	Buy	07/13/17	J		
63. Gateway Fund - TB	A	Interest	J	T	Buy	09/05/17	J		
64. Ivy Mun High Income Fund I - TB	A	Interest	J	T	Buy	09/05/17	J		

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

Part I

Death of [REDACTED] on January 5, 2009, caused splitting of "jointly held" assets, termination of joint revocable trust, creation of irrevocable Trust B, with transfers in August 2009 to Commerce Bank as co-trustee with primary investment responsibilities. Bank became co-trustee of Trust A in 2016.

Part VII

Financial Square represents periodic deposits by co-trustee - similar to bank account for income from sales, interest and dividends.

All sales and purchases were by co-trustee bank, without participation and apparently not designed for specific trusts.

Note - The asset on Line 5 of last year's report, Wells Fargo Bank - TA, was a simple transfer between bank accounts of the same trust on April 19, 2016, and inadvertently listed in last year's report. Thus, it is not included on the current report.

Note - Items listed in last year's report on Lines 30, 58, and 61 were duplicates and have been omitted from this report. Asset, Vanguard Morgan Growth Fund - TA, previously listed on this report on Line 42 has been deleted due to duplication on Line 29.

Note - Values and income of assets listed in the IRA on line 58 are listed separately.

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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/ **Howard F. Sachs**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544