

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) Sargis, Ronald H.	2. Court or Organization Bkcy Court, Eastern District of California	3. Date of Report 06/09/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge - Full Time	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 United States Bankruptcy Court, Eastern District of California 501 I Street, Suite 3-200 Sacramento, CA 95814		
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. Trustee -- Trust #1	Trust #1, Family Member 1
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. 2013

State of California, California Department of Public Health --- Salary

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.)

<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.		

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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. Rental Property #1, Sacramento, California	D	Rent			Sold	06/11/13	M	F	Maurice/Heather Crummett
2. Rental Property #2, Sacramento, California	D	Rent	N	W					
3. Bank of America Demand Accounts	F	Interest	L	T					
4. Golden 1 Credit Union Demand Account	A	Interest	J	T					
5. Bank of the West Demand Account	C	Interest	J	T					
6. Bank of America Accounts, Dependant	B	Interest	K	T					
7. Bank of America Accounts, Dependant	B	Interest	J	T					
8. State Farm Whole Life Insurance	B	Int./Div.	J	T					
9. MINERAL RIGHTS, Livingston, CA		None	J	W					
10. XXXXXXXXXXXXX									
11. Brokerage Account #1									
12. MERRIL LYNCH DIRECT DEPOSIT (CASH ACCOUNT)	A	Int./Div.	J	T					
13. ADT CORP	A	Distribution	J	T					
14. PENTAIR LTD	A	Distribution	J	T					
15. TYCO INTERNAT TYC	A	Dividend	J	T					
16. COVIDIEN PLC COV	A	Dividend	J	T					
17. TE CONNECTIVITY LTD TEL	A	Dividend	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P = \$250,000,001 - \$500,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P = \$1,000,001 - \$5,000,000 R = More than \$5,000,000	M = \$100,001 - \$250,000 Q = \$250,000,001 - \$500,000,000	P = \$500,000,001 - \$1,000,000,000
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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18. THERMOGENSIS KOOL		None	J	T					
19. NOKIA NOK	A	Dividend	J	T					
20. SIRIUS XM SIRI	A	Dividend	J	T					
21. XXXXXXXXXXXXXXXX									
22. Brokerage Account #2									
23. CASH ACCOUNT, GOLDMAN SACHS BANK USA (X)	A	Interest	J	T					
24. FIRST TENNESSEE BANK, NA - CASH ACCOUNT		None			Closed	01/25/13			
25. DISCOVER BANK	A	Interest	J	T	Open	08/02/13			
26. ORACLE ORCL	A	Dividend	M	T					
27. DREYFUS TECH GROWTH DTGBX									Transferred: See VIII Note
28. XXXXXXXXXXXXXXXX									
29. Brokerage Account # 2-1									
30. Federated Cap Reserves	A	Int./Div.	J	T					
31. DREYFUS TECH GROWTH DTGBX	A	Dividend	K	T					
32. XXXXXXXXXXXXXXXX									
33. Brokerage Account #3									
34. HARTFORD CAP APPRC FD HCACX	A	Dividend	J	T					

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35. XXXXXXXXXXXXXXXX									
36. Brokerage Account #4 Dependent									
37. GROWTH FD AMER GFACX	A	Dividend	J	T					
38.	A	Distribution			Buy (add'l)	12/20/13	J		
39. GUGGENHEIM MID CAP VALUE A -- SEVSX	A	Distribution	J	T	Buy (add'l)	12/06/13	J		SEE VIII - RENAMED FUND
40.	A	Dividend							
41. BLACKROCK GLOBAL ALLOCATION MCLOX	A	Dividend	J	T	Buy (add'l)	07/19/13	J		
42.	A	Distribution			Buy (add'l)	12/18/13	J		
43. XXXXXXXXXXXXXXXX									
44. BROKERAGE ACCOUNT #5 Dependents									
45. GOLDMAN SACHS INSURED CASH ACCOUNT	A	Interest	J	T					
46. COSTCO	A	Dividend	J	T					
47. XXXXXXXXXXXXXXXX									
48. BROKERAGE ACCOUNT #8 IRA Rollover									
49. GENERAL MARKET CASH FUND, RW BAIRD	A	Dividend	K	T					
50. CLAYMORE WILSHIRE MICRO CAP ETF WMCR	A	Dividend	J	T	Buy	01/29/13	J		
51. FIRST TRUST DOW JONES SELECT MICRO CAP INDEX ETF FDM	A	Dividend	J	T	Buy	01/29/13	J		

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52. FLEXSHARES TRUST QLT DIV INDEX FUND QDF	A	Dividend	J	T	Buy	10/31/13	J		
53. ISHARES MSCI SWITZERLAND INDEX EFT EWL	A	Dividend	J	T					
54. ISHARES MSCI GERMANY INDEX ETF EWG	A	Dividend	J	T					
55. ISHARES MSCI SOUTH KOREA CAPPED ETF EWY	A	Dividend	J	T	Buy	09/03/13	J		
56. ISHARES MSCI JAPAN ETF EWJ	A	Dividend	J	T	Buy	01/23/13	J		
57.					Buy (add'l)	07/08/13	J		
58. ISHARES MSCI EAFE INDEX ETF EFA	A	Dividend	K	T	Buy (add'l)	01/31/13	J		
59. ISHARES TR MSCI EMERGING MKTS ETF EEM	A	Dividend	J	T					
60.					Sold (part)	06/26/13	J	A	
61. ISHARES MSCI EAFE VALUE ETF EFV	A	Dividend	J	T	Buy	05/30/13	J		
62. ISHARES MSCI ACWI EX US INDEX FD ACWX	A	Dividend	J	T					
63. ISHARES MSCI ALL COUNTRY ASIA EX JAPAN ETF AAXJ	A	Dividend	K	T	Sold (part)	03/11/13	J	A	
64.					Buy (add'l)	09/03/13	J		
65.					Buy (add'l)	09/10/13	J		
66.					Buy (add'l)	09/18/13	J		
67. ISHARES CORE S&P SMALL CAP ETF IJR	A	Dividend	J	T					
68.					Sold (part)	01/31/13	J	A	

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69. ISHARES MSCI EMU ETF EZU	A	Dividend	J	T					
70.					Sold (part)	02/11/13	J	A	
71.					Buy (add'l)	08/14/13	J		
72. ISHARES MSCI CANADA INDEX ETF EWC	A	Dividend	J	T					
73.					Buy (add'l)	01/31/13	J		
74. ISHARES MSCI UNITED KINGDON INDEX ETF EWU	A	Dividend	J	T	Sold (part)	03/25/13	J	A	
75. MARKET VECTORS OIL SERVICES ETF OIJ	A	Dividend	J	T	Buy	01/29/13	J		
76. POWERSHARES DYNAMIC BUYBACK ACHIEVERS ETF PKW	A	Dividend	J	T	Buy	03/06/13	J		
77. POWERSHARES FTSE RAFI DEVELOPED MARKETS EX US ETF PFX	A	Dividend	J	T	Buy	01/23/13	J		
78. POWERSHARES S&P 500 HIGH BETA ETF SPHB	A	Dividend	J	T	Buy (add'l)	01/31/13	K		
79.					Buy (add'l)	06/17/13	J		
80. VANGUARD FTSE EUROPE ETF VGK	A	Dividend	J	T	Buy (add'l)	07/25/13	J		See VIII - Renamed Fund
81.					Buy (add'l)	01/23/13	J		
82.					Sold (part)	03/19/13	J	B	
83.					Sold (part)	03/25/13	J	A	
84.					Buy (add'l)	07/25/13	J		

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85.					Buy (add'l)	07/31/13	J		
86. VANGUARD FTSE DEVELOPED MKETS ETF VEA	A	Dividend	J	T					See VIII - Renamed Fund
87. VANGUARD LARGE CAP ETF VV	A	Dividend	J	T					
88.					Sold (part)	01/29/13	J	A	
89.					Sold (part)	01/31/13	J	B	
90.					Sold (part)	06/06/13	J	A	
91.					Sold (part)	12/04/13	J	A	
92. WISDOMTREE JAPAN HEDGED EQUITY ETF DXJ	A	Dividend	J	T					
93.	A	Distribution							
94.					Buy (add'l)	02/11/13	J		
95.					Buy (add'l)	03/11/13	J		
96.					Buy (add'l)	03/25/13	J		
97.					Sold (part)	07/08/13	J	B	
98.					Sold (part)	07/31/13	J	A	
99.					Buy (add'l)	10/10/13	J		
100. WISDOMTREE JAPAN SMALL CAP DIVIDEND ETF DFJ	A	Dividend	J	T	Buy	07/08/13	J		
101.									

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102. ALPS RIVERFRONT STRATEGIC INCOME FUND RIGS	A	Dividend	J	T	Buy	10/09/13	J		
103.					Buy (add'l)	10/17/13	J		
104.					Buy (add'l)	10/29/13	J		
105.					Buy (add'l)	11/06/13	J		
106.					Buy (add'l)	11/14/13	J		
107.					Buy (add'l)	12/04/13	J		
108.					Buy (add'l)	12/12/13	J		
109. ISHARES 1-3 YR CREDIT BOND EFT CSJ	A	Dividend	J	T	Buy	02/06/13	J		
110.					Sold (part)	11/14/13	J	A	
111. VANGUARD SHORT TERM CORP BOND ETF VCSH	A	Dividend	J	T	Sold (part)	12/12/13	J	A	
112.	A	Distribution							
113. All Interests Fully Divested in Yr for Brokerage Account #8									
114. ISHARES CORE MSCI EMG MKTS	A	Dividend			Buy	05/07/13	J		
115.					Sold	12/12/13	J	A	
116. GLOBAL X FUNDS ASEAN 40 ETF ASEA	A	Dividend			Sold	06/26/13	J	A	
117. ISHARES MSCI PACIFIC EX JAPAN ETF EPP	A	Dividend			Buy (add'l)	01/23/13	J		Part VIII Note
118.					Sold	12/12/13	J	A	

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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	
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Name of Person Reporting

Sargis, Ronald H.

Date of Report

06/09/2014

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)
119. ISHARES CORE MSCI EMERGING MARKETS ETF	A	Dividend			Buy	05/07/13	J		
120.					Sold	12/12/13	J	A	
121. ISHARES CORE S&P MID CAP ETF IJH	A	Dividend			Sold	01/31/13	K	C	
122. ISHARES MSCI AUSTRALIA INDEX ETF	A	Dividend			Buy	03/25/13	J		
123.					Sold	07/08/13	J	A	
124. ISHARES IBOXX \$ HIGH YIELD CORP BOND ETF HYG	A	Dividend			Sold	01/30/13	J	A	
125. ISHARES DOW JONES US FINANCIAL SERVICES ETF	A	Dividend			Buy	01/29/13	J		
126.					Sold	04/03/13	J	A	
127. ISHARES TRUST JPMORGAN USD EMERG MARKETS BOND FD EMB	A	Dividend			Sold	01/30/13	J	A	
128. ISHARES MORNINGSTAR LARVE VALUE INDEX ETF	A	Dividend			Buy	06/06/13	J		
129.					Sold (part)	09/18/13	J	A	
130.					Sold	10/31/13	J	A	
131. POWERSHARES INTL DIVIDEND ACHIEVERS ETF PID		None			Sold	01/23/13	J	A	
132. POWERSHARES ETF DWA TECHNICAL LEADERS PDP	A	Dividend			Sold (part)	01/31/13	J	A	
133.					Sold	08/14/13	J	A	
134. POWERSHARES GLOBAL ETF FUND HIGH YIELD CORP BOND PHB		None			Sold	02/21/13	J	A	
135. POWERSHARES TRUST II S&P 500 LOW VOLATILITY ETF SPLV	A	Dividend			Sold	01/23/13	J	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	

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Name of Person Reporting

Sargis, Ronald H.

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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)
136. POWERSHARES SENIOR LOAN PORT ETF BKLN (NYSE ARCA)	A	Dividend			Buy (add'l)	02/21/13	J		
137.					Sold (part)	09/10/13	J	A	
138.					Sold (part)	10/09/13	J	A	
139.					Sold (part)	10/17/13	J	A	
140.					Sold (part)	10/29/13	J	A	
141.					Sold (part)	11/06/13	J	A	
142.					Sold	11/14/13	J	A	
143. RYDEX GUGGENHEIM S&P 500 EQUILA WEIGHT TECH ETF	A	Dividend			Buy	06/26/13	J		
144.					Sold	10/10/13	J	A	
145. SPDR BARCLAYS CAP HIGH YIELD BOND ETF JNK	A	Dividend			Sold (part)	02/06/13	J	A	
146.					Sold (part)	02/21/13	J	A	
147.					Buy (add'l)	02/21/13	J		
148.					Sold	06/06/13	J	A	
149. SPDR S&P 500 EFT		None			Buy	06/26/13	J		
150.					Sold	08/14/13	J	A	
151. VANGUARD DIVIDEND APPRECIATION ETF VIG	A	Dividend			Sold (part)	05/30/13	J	A	
152.					Sold	06/06/13	J	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	

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Sargis, Ronald H.

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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)
153. VANGUARD EMERGING MKTS ETF VWO	A	Dividend			Sold (part)	01/23/13	J	A	
154.					Sold (part)	06/17/13	J	A	
155.					Sold	06/26/13	J	A	
156. WISDOMTREE TR EMERGING MARKETS SMALL CAP DIVIDEND DGS	A	Dividend			Sold	05/07/13	J	A	
157. WISDOMTREE LARGE CAP DIVIDEND ETF DLN	A	Dividend			Sold (part)	01/23/13	J	A	
158.					Sold (part)	01/29/13	J	A	
159.					Buy (add'l)	04/11/13	J		
160.					Sold	06/06/13	J	A	
161. WISDOMTREE TRUST EUROPE HEDGED EQUITY FUND	A	Dividend			Buy	03/19/13	J		
162.					Sold	07/25/13	J	A	
163. VANGUARD INFORMATION TECHNOLOGY ETF		None			Buy	01/31/13	J		
164.					Sold	03/06/13	J	A	
165. PIMCO 0-5 YR HIGH YIELD COPORATE BOND INDEX ETF	A	Dividend			Buy	02/21/13	J		
166.					Sold	06/06/13	J	A	
167. XXXXXXXXXXXXXXXX									
168. Brokerage Account #9 IRA Rollover									
169. CASH/MONEY MARKET -- RW Baird General MMKT Class A	A	Int./Div.	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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Name of Person Reporting

Sargis, Ronald H.

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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)
170. CAPITAL WORLD GWTH & INCOME FD CWGFX	A	Dividend	K	T	Sold (part)	03/01/13	J	A	
171.					Buy (add'l)	03/11/13	J		
172.					Buy (add'l)	06/18/13	J		
173.					Buy (add'l)	09/24/13	J		
174.					Buy (add'l)	12/17/13	J		
175. CALAMOS CONVERTIBLE FUND CICVX	A	Dividend	K	T	Buy (add'l)	12/20/13	J		
176.	B	Distribution							
177. DAVIS NEW YORK VENTURE DNVYX	A	Dividend	L	T	Sold (part)	01/18/13	J	A	
178.	D	Distribution			Sold (part)	03/01/13	J	A	
179.					Buy (add'l)	07/02/13	J		
180.					Sold (part)	10/21/13	J	A	
181.					Buy (add'l)	12/20/13	J		
182. GUGGENHEIM MID CAP VALUE A -- SEVAX	A	Dividend	K	T	Buy (add'l)	12/06/13	J		See VIII - Renamed Fund
183.	B	Distribution							
184. FAMCO MLP & ENERGY INCOME INFIX	A	Dividend	J	T	Buy	03/01/13	J		
185.					Buy (add'l)	05/31/13	J		
186.					Buy (add'l)	08/30/13	J		

1. Income Gain Codes:	A ~\$1,000 or less	B ~\$1,001 - \$2,500	C ~\$2,501 - \$5,000	D ~\$5,001 - \$15,000	E ~\$15,001 - \$50,000
(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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Name of Person Reporting

Sargis, Ronald H.

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06/09/2014

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)
187.					Buy (add'l)	11/27/13	J		
188.					Buy (add'l)	12/30/13	J		
189. GATEWAY GATEX	A	Dividend	K	T	Buy	09/24/13	K		
190.					Buy (add'l)	12/20/13	J		
191. GROWTH FUND AMER GFAFX	A	Dividend	L	T	Sold (part)	01/18/13	J	A	
192.	D	Distribution			Sold (part)	03/01/13	J	A	
193.					Buy (add'l)	12/20/13	J		
194. HARRIS ASSOC INVT OAKMARK INTL FD OAKIX	A	Dividend	K	T	Sold (part)	01/18/13	J	A	
195.	A	Distribution			Sold (part)	03/01/13	J	A	
196.					Buy (add'l)	12/20/13	J		
197. IVY FDS INC ASSET STRATEGY FD WASYX	A	Dividend	L	T	Buy (add'l)	12/13/13	J		
198. KEELEY FUNDS SMALL CAP VALUE KSCIX	A	Dividend	K	T	Buy (add'l)	01/03/13	J		
199.					Sold (part)	03/01/13	J	A	
200. LOOMIS SAYLES BOND INSTL LSBDX	A	Dividend	J	T	Buy (add'l)	01/28/13	J		
201.	A	Distribution			Buy (add'l)	02/26/13	J		
202.					Buy (add'l)	03/27/13	J		
203.					Buy (add'l)	04/30/13	J		

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(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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Name of Person Reporting

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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.)

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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)
204.					Buy (add'l)	05/29/13	J		
205.					Buy (add'l)	06/26/13	J		
206.					Buy (add'l)	07/29/13	J		
207.					Buy (add'l)	08/28/13	J		
208.					Buy (add'l)	09/26/13	J		
209.					Buy (add'l)	10/29/13	J		
210.					Buy (add'l)	11/27/13	J		
211.					Buy (add'l)	12/17/13	J		
212. PERMANENT PORTFOLIO FD PRPFX	A	Dividend	L	T	Buy (add'l)	03/01/13	J		
213.	D	Distribution			Buy (add'l)	12/31/13	J		
214. STRATTON SMALL CAP VALUE STSCX	B	Distribution	J	T	Buy (add'l)	06/25/13	J		
215.					Buy (add'l)	12/23/13	J		
216. VANGUARD INTER TERM BOND FUND VBIIX	A	Dividend	K	T	Buy (add'l)	01/02/13	J		
217.	A	Distribution			Buy (add'l)	02/01/13	J		
218.					Buy (add'l)	03/01/13	J		
219.					Buy (add'l)	04/01/13	J		
220.					Buy (add'l)	05/01/13	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 = \$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 \$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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Name of Person Reporting

Sargis, Ronald H.

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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.)

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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)
221.					Buy (add'l)	06/03/13	J		
222.					Buy (add'l)	07/01/13	J		
223.					Buy (add'l)	08/01/13	J		
224.					Buy (add'l)	09/03/13	J		
225.					Buy (add'l)	10/01/13	J		
226.					Buy (add'l)	11/01/13	J		
227.					Buy (add'l)	12/02/13	J		
228.					Buy (add'l)	12/24/13	J		
229. All Interests Fully Divested in Yr for Brokerage Account #9									
230. HUSSMAN INVT GROWTH FD HSGFX	A	Dividend			Buy (add'l)	01/02/13	J		
231.					Buy (add'l)	03/01/13	J		
232.					Sold	09/24/13	K	A	
233. XXXXXXXXXXXXXXXX									
234. Trust #1									
235. CALIFORNIA BANK & TRUST -- DEPOSIT ACCOUNTS	A	Interest	K	T					
236. BANK OF AMERICA, N.A.	A	Interest	K	T					
237. US GOVERNMENT BONDS	E	Interest	M	T					

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(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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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)

238.									
239.									
240.									
241.									
242.									

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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Name of Person Reporting

Sargis, Ronald H.

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

Part IV Liabilities: Rental Property Sold in 2013 and Bank of the West Liability Paid in Full From Sale Proceeds

Part VII, Line 27 -- Transferred to New Investment Account #2-1

Part VII Line 39 -- Security Equity FD Mid Cap Value SEVAX renamed Guggenheim Mid Cap Value A SEVAX

Part VII, Line 80 -- Vanguard MSCI Europe EFT VGK renamed Vanguard FTSE Europe ETF VGK

Part VII, Line 86 - Vanguard MSCI EAFE ETF remaned Vanguard FTSE Developed Markets

Part VII, Line 117 - Ishares MSCI Pacific Ex Japan EFT EPP -- Typographic error on 2012 Report listed the name as ISHARES "MSCK" Pacific Ex Japan.

Part VII, Line 182 - Security Equity FD Mid Cap Value SEVAX renamed Guggenheim Mid Cap Value A SEVAX

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Sargis, Ronald H.

Date of Report

06/09/2014

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/ Ronald H. Sargis**

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