

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 05/13/2013
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 01/01/2012 to 12/31/2012
7. Chambers or Office Address U.S. Courthouse 400 East 9th Street, Suite 7462 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	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.)*

DATE	SOURCE AND TYPE	INCOME (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.)*

DATE	SOURCE 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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS 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. Commerce Bank	A	Interest	K	T					
2. United Missouri	A	Interest	K	T					
3. Isreal Bonds		None	J	T					
4. Commerce Money Market-IRA (Financial Square)	A	Interest	J	T					
5. Commerce Bond Fund-IRA	D	Interest	N	T					
6. Wells Fargo Bonds (Evergreen Int. Bond) Merger	A	Dividend	J	T					
7. iShares Barclays	A	Dividend	K	T					
8. Pimco Emerging Local Bd Fund	A	Dividend	J	T					
9. Vanguard Intermed, Term Corp. Fund #71	B	Dividend	K	T					
10. Vanguard Total Bond Market Index Fund Sig	A	Dividend	K	T					
11. Wells Fargo Bank	A	Interest	K	T					
12. Franklin US Govt Fd CL C (FRUGX)	C	Dividend	L	T					
13. Templeton Global Bond Fund CL C	C	Dividend	L	T					
14. Empire District Electric Co. (EDE)	A	Dividend	K	T					
15. Amer. Cap. Strat- (ACAS)	A	Dividend	J	T					
16. Blackrock Health Sc. Trust (BME)	B	Dividend	K	T					
17. Mut Ser FD Inc. Discovery Fund (TEDSX)	A	Dividend	K	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 \$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. First Trust - FGB	A	Dividend	J	T					
19. Nuveen Mo Bonds	D	Interest	M	T					
20. Commerce MO Bonds (TA)	C	Interest	L	T					
21. Manulife (Hancock)	B	Dividend	K	T					
22. Metlife	A	Interest	K	T					
23. Commerce MO tax free bond fund - TB	C	Interest	M	T					
24. Nuveen MO Bonds-TB	C	Interest	M	T					
25. Blackrock Small Cap Growth Equity -TB (High Yield)	B	Dividend	K	T					
26. iShares Russell Midcap Value Ind. Fund-TB	A	Dividend	J	T					
27. iShares Russell 1000 Growth Ind. Fund-TB	A	Dividend	K	T					
28. iShares Russell 1000 Value Ind. Fund-TB	A	Dividend	K	T					
29. iShares Russell 2000 Value Ind. Fund - TB	A	Dividend	J	T					
30. iShares S&P Latin Am. 40 Ind. Fund-TB	A	Dividend			Sold	11/27/12	J	A	
31. Morgan Stanley Inst. Fund TB Trust Mid-Cap Gro. Port.	A	Dividend	K	T					
32. Vanguard Emerg. Mkt. Vipers -Btf-TB	A	Dividend	K	T					
33. Vanguard Europe Pac.-(EAFE) TB	A	Dividend	J	T					
34. Pimco Commodity Realreturn-TB	A	Dividend	J	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	
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35. Financial Square Treasury obligations - TB (See explanation)	A	Interest	J	T					
36. TR Price New Horizons TB	A	Interest	J	T	Buy	11/23/12	J		
37. Legg Mason Clearbridge	A	Interest	J	T	Buy	11/23/12	J		

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

Re:

Part I

Death of Wife 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.

Part VII

Item 35 represents periodic deposits by co-trustee - similar to bank account for income from sales, interest and dividends.

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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
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