

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 U.S. Bankruptcy Court, Eastern District of California	3. Date of Report 12/31/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article I Bankruptcy Judge, Full-Time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address U.S. Bankruptcy Court, Eastern District of California 501 I Street, Suite 3-200 Sacramento, CA 95864		
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 Fmaily 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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 01-05/2016	University of Pacific, McGeorge School of Law -- Co-Teaching Bankruptcy Course	\$2,400.00
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.)*

DATE	SOURCE AND TYPE
1. 2016	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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. National Association of Consumer Bankruptcy Attorneys	05/19/16 to 05/20/16	San Francisco	Educational Panel as Part of Association's Conference	Mileage (approx 180 miles round trip), one night's stay and parking, and meals.
2. National Conference of Bankruptcy Judges	10/25/16- 10/28	San Francisco	Educational Programs and Meetings of the National Association	Mileage (approx 180 miles round trip), partial reimbursement on room, partial meals
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. Rental Property, Sacramento, California	D	Rent	N	W					
2. Bank of America Demand Accounts	A	Dividend	K	T					
3. Golden 1 Credit Union Demand Account	A	Interest	J	T					
4. Bank of the West Demand Account	A	Interest	J	T					
5. State Farm Whole Life Insurance	A	Interest	J	T					
6. Mineral Rights, Livingston, CA		None	J	W					
7. XXXXXXXXXXXXXXXXXXXX									
8. BROKERAGE ACCOUNT #1									
9. Merrill Lynch Direct Deposit (Cash) Account)	A	Int./Div.	J	T					
10. Adient PLC SHS -- ADNT	A	Int./Div.	J	T	Spinoff (from line 12)	11/03/16	J		
11. Cesca Therapeutics, Inc (fka Theomogenesis) - KOOL		None	J	T					
12. Johnson Controls Inter -- JCI (Exchanged for TYCO Shares)		None	J	T	Buy	09/02/16	J		VIII 2nd Amended Note 1
13. Mallinckrodt PLC -- MNK (X)		None	J	T					VIII 2nd Amended Note 1
14. Medtronic PLC -- MDT (fka Covidien PLC)	A	Int./Div.	J	T					
15. Nokia Corp -- NOK	A	Int./Div.	J	T					
16. Oracle Corp -- ORCL	B	Int./Div.	M	T					
17. Pentair PLC -- PNR	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 = \$250,000,001 - \$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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	(1) Amount Code I (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. Sirius SM -- SIRI	A	Int./Div.	J	T					
19. TE Connectivity -- TEL	A	Int./Div.	J	T					
20. -----									
21. All Shares Disposed of in Acct 1 in 2016									
22. ADT Corp Cash Merger	A	Distribution			Sold	05/02/16	J	A	
23. Tyco International	A	Int./Div.			Sold	09/02/16	J	A	VIII 2nd Amended Note 1
24. XXXXXXXXXXXXX									
25. BROKERAGE ACCOUNT #3									
26. Insured Bank Deposit U.S. Bank	A	Int./Div.	J	T	Open	02/26/16	J		VIII 2nd Amended Note 3
27. Dreyfus Technology Growth -- DTGRX	B	Distribution	K	T					
28. Gateway CL C Reinvestments -- GTECX	A	Int./Div.	J	T	Buy	04/08/16	J		
29.	A	Distribution							
30. Hartford Cap Apprc FD -- HCACX		None				02/26/16	J		VIII 2nd Amended Note 3
31.					Sold	04/08/16	J	A	
32. XXXXXXXXXXXXX									
33. BROKERAGE ACCOUNT 2 (Closed in 2015)									
34. Cash Account, Goldman Sachs Bank USA (X)		None			Closed	01/01/16	J		VIII 2nd Amended Note 4

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35. Discover Bank		None			Closed	01/01/16	J		"
36. XXXXXXXXXXXXX									
37. BROKERAGE ACCOUNT #2-1 (Account Closed 2016)					Closed	02/26/16			VIII 2nd Amended Note 2[2]
38. Hartfor Cap Apprec FD - HCACX									Transferred to Acct #3
39. Federated Cap Reserves (money market)		None			Closed				Cash Transfer to Acct #3
40. XXXXXXXXXXXXX									
41. BROKERAGE ACCOUNT #8 IRA ROLLOVER									
42. General MMKT Class A Cash Fund	A	Int./Div.	J	T					
43. First Trust Utilities Alphadex -- FXU	A	Dividend	J	T	Buy	04/13/16	J		
44. Flexshares Trust Qlty Div Index Fund -- QSF	A	Dividend	J	T	Buy	01/25/16	J		
45.					Buy (add'l)	04/21/16	J		
46. Global X MSZCI Norway ETF -- NORW	A	Dividend	J	T	Buy	03/22/16	J		
47. Goldman Sachs Activebeta US Large Cap Equity ETF -- GSLC	A	Dividend	J	T	Buy	08/15/16	J		
48. Ishares MSCI Switzerlnd Capped ETF -- EWL	A	Dividend	J	T					
49. Ishares MSCI Australia ETF -- EWA	A	Dividend	J	T	Buy	03/22/16	J		
50. Ishares Core MSCI Emerging Markets ETF -- IEMG	A	Dividend	J	T	Buy	03/22/16	J		
51.					Buy (add'l)	04/20/16	J		

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52.					Buy (add'l)	05/04/16	J		
53.					Buy (add'l)	07/06/16	J		
54.					Buy (add'l)	07/18/16	J		
55.					Buy (add'l)	07/29/16	J		
56.					Sold (part)	11/02/16	J	A	
57.					Sold (part)	11/10/16	J	A	
58. Ishares Core S&P 500 ETF -- IVV	A	Dividend	K	T					
59.					Sold (part)	01/18/16	J	A	
60.					Buy (add'l)	11/10/16	J		
61. Ishares MSCI EAFE ETF -- EFA	A	Dividend	J	T					
62. Ishares MSCI EAFE Value ETF -- EFV	A	Dividend	K	T	Buy	11/10/16	J		
63.					Buy (add'l)	11/29/16	J		
64. Ishares MSCI EAFE Growth ETF -- EFG	A	Dividend	K	T	Buy (add'l)	01/25/16	J		
65.					Sold (part)	02/05/16	J	A	
66.					Sold (part)	05/04/16	J	A	
67.					Buy (add'l)	11/02/16	J		
68.					Sold (part)	12/14/16	J	A	

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69. Ishares U S Health Care Providers ETF -- IHF	A	Dividend	J	T	Buy	08/15/16	J		
70. Ishares U S Financial Services ETF -- IYG	A	Dividend	J	T	Buy	11/15/16	J		
71. Ishares NASDAQ Biotechnology ETF -- IBB	A	Dividend	J	T	Buy	08/15/16	J		
72. Ishares Core S&P Small Cap ETF -- IJR	A	Dividend	J	T	Buy	07/15/16	J		
73.					Sold (part)	11/02/16	J	A	
74. Ishares U S Consumer Goods ETF -- IYK	A	Dividend	J	T	Sold (part)	02/18/16	J	A	
75.					Sold (part)	08/15/16	J	A	
76.					Sold (part)	11/15/16	J	A	
77. Ishares Intl Select Dividend ETF -- IDV	A	Dividend	J	T	Buy	03/22/16	J		
78. Ishares Currency Hedged MSCI Japan ETF -- HEWJ		None	J	T	Buy	01/25/16	J		
79.					Buy (add'l)	02/05/16	J		
80.					Sold (part)	02/24/16	J	A	
81.					Sold (part)	06/28/16	J	A	
82.					Buy (add'l)	12/14/16	J		
83. Powershares Aerospace & Defense ETF -- PPA	A	Dividend	J	T					
84. Powershares QQQ ETF -- QQQ	A	Dividend	J	T	Buy	08/15/16	J		
85. Powershares KBW Regional Banking ETF -- KBWR	A	Dividend	J	T	Buy	03/16/16	J		

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86. Powershares S&P 500 Ex Rate Sensitive Low Vity ETF -- XRLV	A	Dividend	J	T					
87. Sector Financial Select Sector SPDR ETF -- XLF	A	Dividend	J	T					
88. Consumer Discretionary Select Sector SPDR ETF - XLY	A	Dividend	J	T	Buy	12/06/16	J		
89. Select Sector TR Real Estate SPDR ETF - XLRE	A	Dividend	J	T	Spinoff (from line 87)	09/23/16	J		
90. SPDR Series Trust SPDR Morgan Stanley Technology ETF -- MTK	A	Dividend	J	T					
91. SPDR S&P Capital Markets ETF -- KCE	A	Dividend	J	T	Buy	03/03/16	J		
92. SPDR S&P Transporatation ETF -- XTN	A	Dividend	J	T	Buy	03/23/16	J		
93. Vanguard Large Cap ETF -- VV	A	Dividend	K	T					
94. Wisdomtree Trust Europe Hedged Equity Fund ETF -- HEDJ	A	Dividend	K	T	Buy (add'l)	01/25/16	J		
95.					Sold (part)	03/22/16	J	A	
96.					Sold (part)	06/28/16	J	A	
97.					Sold (part)	07/06/16	J	A	
98. Wisdomtree Trust Intl Hedged Quality Dividend Growth Fund ETF -- IHDG	A	Dividend	J	T	Buy	08/29/16	J		
99. Wisdomtree Japan Small Cap Dividend ETF -- DFJ	A	Dividend	J	T	Buy (add'l)	01/25/16	J		
100.					Sold (part)	05/04/16	J	A	
101.					Buy (add'l)	11/02/16	J		
102. Wisdomtree Large Cap Value ETF - EZY	A	Dividend	J	T	Sold (part)	01/11/16	J	A	

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103.					Buy (add'l)	04/21/16	J		
104. UBS AG Jersey Branch E Tracs LKD Alerian MLP Infrast. Index -- MLPI	A	Interest	J	T	Buy	02/18/16	J		
105. ALPS Riverfront Strategic Income Fund -- RIGS	A	Dividend	J	T					
106.					Buy (add'l)	02/26/16	J		
107.					Sold (part)	03/15/16	J	A	
108.					Sold (part)	04/15/16	J	A	
109.					Sold (part)	04/20/16	J	A	
110. Pimco 0-5 YR High Yield Corporate Bond Index ETF -- HYS	A	Dividend	J	T	Buy	03/15/16	J		
111.					Buy (add'l)	04/15/16	J		
112. SPDR Bloomberg Barclays Short Term High Yield Bond ETF -- SJNK	A	Dividend	J	T	Buy	03/15/16	J		
113. -----									
114. All Interests Disposed of From Invt Acct 8 in 2016									
115. Deutsche X-Tracker MSCI EAD Hedged Equity ETF		None			Sold (part)	01/08/16	J	A	
116.					Sold	02/24/16	J	A	
117. First Trust NYSE ARCA Biotechnology Index EFT FBT	A	Dividend			Sold	02/18/16	J	A	
118. Global X FTSE Nordic Regional ETF GXF	A	Dividend			Sold	12/14/16	J	A	
119. ISHARES MSCI Japan ETF EWJ		None			Sold (part)	02/05/16	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)
120.					Sold (part)	02/18/16	J	A	
121.					Sold (part)	02/24/16	J	A	
122.					Sold	03/22/16	J	A	
123. ISHARES U S Home Construction ETF ITB	A	Dividend			Sold	08/15/16	J	A	
124. ISHARES Currency Hedged MSCI German EFT HEWG		None			Sold	01/11/16	J	A	
125. ISHARES MSCI United Kingdom Index ETF EWU		None			Sold (part)	04/13/16	J	A	
126.					Sold	11/29/16	J	A	
127. Powershares KBW Bank ETF KBWB		None			Sold	02/18/16	J	A	
128. Powershares Europe Currency Hedged Low Volatility ETF FXEU	A	Dividend			Buy	04/13/16	J		
129.					Buy (add'l)	05/04/16	J		
130.					Sold (part)	06/28/16	J	A	
131.					Sold	11/29/16	J	A	
132. Vanguard FTSE Europe ETF VVK		None			Sold	02/05/16	J	A	
133. Vanguard FTSE Developed Mkets ETF VEA		None			Sold	02/05/16	J	A	
134. Wisdomtree Japan Hedged Equity ETF DXJ		None			Sold	03/22/16	J	A	
135. Wisdomtree Large Cap Dividend ETF DLN		None			Sold	01/11/16	J	A	
136. PIMCO Enhanced Short Maturity Active ETF MINT	A	Dividend			Sold	02/26/16	K	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)
137. VANECK VECTORS OIL SVCS ETF fka Market Vectors Oil Services ETF OIH		None			Sold (part)	01/11/16	J	A	VIII Amended Note 5
138.					Sold (part)	04/12/16	J	A	"
139.					Sold	06/15/16	J	A	"
140. XXXXXXXXXXXXXXXXX									
141. Brokerage Account 9 IRA Rollover									
142. CASH/MMONEY MARKET -- RW Baird Genal MMkt Class A	A	Int./Div.	J	T					VIII Amended Note 6
143. Gateway CL A Reinvestments GATEX	A	Dividend	K	T					
144. Oakmark Intl OAKIX (Hareris Oakmark on Prior Statements)	A	Dividend	L	T	Buy	04/08/16	K		
145.					Buy (add'l)	11/29/16	J		
146. Ishares Russell 1000 Growth EFT IWF	A	Dividend	L	T	Buy	04/08/16	L		
147. Ishares Russell Mid Cap IWR	A	Dividend	K	T					
148. Advisory Research MLP & Energy Income INFIX	A	Dividend	K	T	Buy (add'l)	04/08/16	K		
149. Principal Mid Cap	B	Distribution	K	T	Buy (add'l)	04/08/16	K		
150.					Buy (add'l)	12/22/16	J		
151. SPDR Series Trust S&P Dividend SDY	B	Dividend	L	T	Buy	04/08/16	L		
152.	A	Distribution							
153. Sterling Capital Stratton Small Cap STSCX	B	Distribution	L	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)
154.	A	Dividend			Buy (add'l)	12/30/16	J		
155. LOCORR Market Trend LOTIX	A	Dividend	K	T	Buy	04/08/16	K		
156.					Buy (add'l)	12/12/16	J		
157. NATIXIS ASG Global Alternatives GAFYX		None	K	T	Buy (add'l)	04/08/16	J		
158.					Sold (part)	11/01/16	J		
159. Principal Global Diversified Income PGPDX	B	Dividend	K	T	Buy (add'l)	02/02/16	J		
160. Blackrock Strategic Income Oppty BSIXX	B	Dividend	K	T	Buy (add'l)	01/04/16	J		
161.					Sold (part)	01/26/16	J		
162. Eaton Vance Global Macro Absolute Return EIGMX	B	Dividend	K	T	Buy (add'l)	01/04/16	J		
163.					Buy (add'l)	01/29/16	J		
164. Loomis Sayles Bond Instl LSBDX	A	Dividend	K	T	Buy (add'l)	01/29/16	J		
165. Templeton Global Bond Advisor TGBAX	B	Dividend	L	T	Buy (add'l)	01/20/16	J		
166. -----									
167. All Interests Disposed of in 2016 From Account 9									
168. Capital World Gwth & Income FD CWGFX	A	Dividend			Buy (add'l)	03/18/16	J		
169.					Sold	04/08/16	K	D	
170. Davis New York Venture DNVYX		None			Sold	04/08/16	L	A	VIII Amended Note 7

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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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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	(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)
171. Growth Fund of America GFAFX		None			Sold	04/08/16	L	E	"
172. IVY FDS Inc Assets Strategy FD WASYX		None			Sold	04/08/16	K	A	"
173. CALAMOS CONVERTIBLE FUND CICVX		None			Sold	04/08/16	K	A	See VIII Amended Note 8.
174. XXXXXXXXXXXXXXXXX									
175.									
176.									
177.									
178.									
179.									
180.									
181.									
182. Trust #1									
183. California Bank and Trust -- Deposit Accounts	A	Interest	J	T					
184. Bank of America -- Deposit Accounts	A	Interest	J	T					
185. US Government Bonds	C	Interest	M	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

For this Second Amended Filing, the additions and changes are designated as "2nd Amended." The Amended Note numbers have been updated to allow for the added 2nd Amended Notes to be structured in an order consistent with the order they arised in Section VII. The line numbers for the prior Amended Notes have been update to account for line inserts which change subsequent line numbers.

Section VII Explanations

2nd Amended Note 1 (Account 1):

Lines 12 and 23: Tyco International Stock was exchanged for Johnson Controls International when Tyco was merged into Johnson Controls.

Line 13 -- Brokerage Account #1. This amendment designates this addition to Brokerage Account #1 as being made for the asset Mallinckrodt PLC which was (and still is) under the threshold reporting amount -- the "(X)" designation in Column A for line 13. Though the amount for this and several other assets fall below the threshold reporting amount all are listed for consistency in reporting. .

2nd Amended Note 2:

The Brokerage Account numbers have been mantained from the orignal report, with the closed accounts and the accounts previously reported as having been for [REDACTED] being deleted. The Deleted Accounts are:

[1] Lines 33-35 -- As stated on the the 2015 Report (Line 23), Brokerage Account 2 was closed September 2015. All monies in the Cash Account Goldman Sachs Bank USA and Discover Bank (Cash) Account were transferred into the Merrill Lynch Direct Deposit (Cash) Account in Brokerage Account #1. They are accounted for in the 2015 statement of gross account value for the Merrill Lynch Direct Deposit (Cash) Account in Borkerage Account #1.

[2] Lines 37-39 -- Brokerage Account No. 2-1 was closed and the Hartford Cap Apprec and cash from the Federated Cap Reserves (money market fund) were transferred to Brokerage Account No. 3 (correction of account identification - Account Numbers Reversed in prior 2016 Original and First Amended Reports). Transfer shown by 2/26/2016 opening of the US Bank (Cash) Deposit Account - Line 26. For the transfer of the cash the "open" designation was used for the US Bank Account and The Transaction Type (D(1)) was left blank because there was not a "transfer" option.

[3] Brokerage Account No. 4 for [REDACTED], and

[4] Brokerage Account No. 5 for [REDACTED].

2nd Amended Note 3 (Account #3)

Line 26 -- Amended to identify US Bank as Insured Deposition Bank. The date of transfer of money into the deposit account ("Opened") is included.

Line 30 -- Amended to show the transfer of Hartford Cap Apprc from Acct #2-1 to Acct #3, and then the sale of the mutual fund shares occurred after transfer to Acct #3.

2nd Amended Note 4 (Closed Account #2)

Lines 34-35 -- Former Brokerage Account #2, closed in 2015, with all assets transferred into Account #1. [See 2nd Amended Note 2 [1] above].

Amended Note 5

Line 137, 138, 139 -- Brokerage Account #8. Amendment to list the sale of all shares of Vaneck Vectors Oil SVCS ETF, fka Market Vectors Oil Services ETF.

Amended Note 6

Line 142-- Amendment to List the Cash/Money Market -- RW Baird General MMKT Class A account for Borkerage Account #9, IRA Rollover. This was "input error" due to there being only a value of \$0.07 in the account on the year end statement.

Amended Note 7

Lines 170, 171, and 172 -- Amendment to add information for gain/loss from sales. Used "A" (\$1,000 or less) for sales which resulted in loss.

Amended Note 8

Line 173 -- Amendment to add information for the sale of all shared of Calamos Convertable Fund

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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/ 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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