

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 Bkey Court, Eastern District of California	3. Date of Report 06/15/2012
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 01/01/2011 to 12/31/2011
7. Chambers or Office Address United States Bankruptcy Court, ED California 501 I Street, Suite 3-200 Sacramento, CA 95814	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

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, _____
2. Executor -- Estate #1	Estate #1, _____
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2011	State of California, California Redistricting Commission
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
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. Citibank MasterCard	Credit Card -- Listed in Error on 2010 Report (under reporting limit)	
2. Bank of America Visa	Credit Card -- Listed in Error on 2010 Report (under reporting limit)	
3. Bank of the West	Rental Property #1, Sacramento California	L
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 Month - Day	(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	M	W					
2. Rental Property #2, Sacramento, California	D	Rent	M	W					
3. Bank of America Demand Accounts	A	Interest	L	T					
4. Golden 1 Credit Union Demand Account	A	Interest	J	T					
5. Bank of the West Money Market Account	A	Interest	J	T					
6. Bank of America Accounts, Dependant	A	Interest	K	T					
7. Bank of America Accounts, Dependant	A	Interest	J	T					
8. State Farm Whole Life Insurance	A	Int./Div.	J	T					
9. MINERAL RIGHTS, Livingston, CA		None	J	W					
10. Intentionally Blank Line									
11. Brokerage Account #1									
12. COVIDIEN PLC COV	A	Dividend	J	T					
13. HOME DEPOT HD	A	Dividend	J	T					
14. THERMOGENSIS KOOL		None	J	T					
15. MOTORS LIQ CO MTLQQ (GMAC)		None			Closed	12/31			No Value, Loss Write Off
16. NOKIA NOK	A	Dividend	J	T					
17. STARBUCKS SBUX	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 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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18. SIRIUS XM SIRI		None	J	T					
19. TE CONNECTIVITY LTD (name change from TYCO ELECTRONICS) TEL	A	Dividend	J	T					
20. TYCO INTERNAT TYC	A	Dividend	J	T					
21. Intentionally Blank Line									
22. Brokerage Account #2									
23. CASH ACCOUNT, GOLDMAN SACHS BANK USA	A	Interest	J	T					
24. ORACLE ORCL	A	Dividend	L	T					
25. ALLIANZ NFS SMALL CAP PCBX	A	Dividend	J	T					
26.	A	Distribution							
27. BLACKROCK LATIN AMER MDLTX		None			Sold	2/23	K	C	
28. DREYFUS CORE EQUITY DLTSX	A	Dividend	J	T					
29. DREYFUS TECH GROWTH DTGBX		None	K	T					
30. FED EQUITY FDS, CAP APPRE CPABX		None	J	T					
31. AMENDED: FED MKT OPPORT FMAAX	A	Dividend	K	T					
32. PIONEER CULLEN VALUE FUND CV FBX	A	Dividend	J	T					
33. Intentionally Blank Line									
34. Brokerage Account #3									

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35. HARTFORD CAP APPRC FD HCACX	A	Dividend	J	T					
36. Intentionally Blank Line									
37. Brokerage Account #4 Dependent									
38. GROWTH FD AMER GFACX	A	Dividend	J	T					
39. SECURITY EQUITY FUND SEVSX	A	Distribution	J	T					
40. BLACKROCK GLOBAL ALLOCATION MCLOX	A	Dividend	J	T					
41. Intentionally Blank Line									
42. BROKERAGE ACCOUNT #5 Dependents									
43. COSTCO	A	Dividend	J	T					
44. STARBUCKS	A	Dividend	J	T					
45. Intentionally Blank Line									
46. BROKERAGE ACCOUNT #8 IRA Rollover									
47. GENERAL MARKET CASH FUND, RW B AIRD	A	Dividend	K	T					
48. DBX ETF TRUST MSCI EAFE CURRENCY HEDGED EQUITY FD	A	Dividend	J	T	Buy	10/18	J		
49. GLOBAL X FUNDS ASEAN 40 ETF		None	J	T	Buy	07/06	J		
50. GLOBAL X FUNDS CHINA CONSUMER CHIQ	A	Dividend	J	T	Sold (part)	4/13	J	A	
51. ISHARES MSCI ACWI EX US INDEX FD	A	Dividend			Buy	03/17	J		

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2. Value Codes (See Columns C1 and D3)					
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52.					Sold (part)	04/13	J	A	
53. ISHARES TR MSCI EMERGING MKTS EEM	A	Dividend	J	T	Sold (part)	04/13	J	A	
54. ISHARES TR DOW JONES US ENERGY SECTOR	A	Dividend	J	T	Buy	12/01	J		
55. ISHARES TR S&P MIDCAP 400 INDX I JH	A	Dividend	J	T	Sold (part)	04/13	J	A	
56. ISHARES TR S&P MIDCAP 400 INDEX F D	A	Dividend			Buy	12/14	J		
57. ISHARES TR S&P SMALLCAP 600 INDX FD	A	Dividend	K	T	Buy	12/14	J		
58. ISHARES MSCI CDA INDX	A	Dividend	J	T	Buy (add'l)	04/01	J		
59.	A	Distribution			Sold (part)	04/13	J		
60.					Sold (part)	08/04	J	A	
61. ISHARES MSCI UNITED KINGDON IN DX EWU	A	Dividend	J	T	Sold (part)	04/01	J	A	
62. ISHARES TRUST JPMORGAN USD EME RGING MARKETS BOND FD	A	Dividend			Buy	08/01	J		
63. ISHARES IBOX \$ HIGH YIELD CORP BOND JYG	A	Dividend	J	T	Buy	05/20/10	J		
64. POWERSHARES ETF DIVIDEND ACHIE VERS PFM	A	Dividend	J	T	Sold (part)	04/13	J	A	
65. POWERSHARES INTL DIVID ACHIEVE RS PORT ETF	A	Dividend			Buy	10/18	J		
66.					Buy (add'l)	11/07	J		
67.									
68. POWERSHARES ETF DWA TECHNICAL LEADERS PDP	A	Dividend	J	T	Buy (add'l)	03/22	J		

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69.					Sold (part)	04/13	J	A	
70. POWERSHARES GLOBAL ETF FUND HIGH YIELD CORP BOND PHB	A	Dividend	J	T	Sold (part)	01/04	J		
71.					Sold (part)	03/17	J	A	
72.					Sold (part)	04/13	J	A	
73.					Buy (add'l)	07/13	J		
74.					Buy (add'l)	08/17	J		
75. POWERSHARES TRUST II S&P 500 LOW VOLATILITY	A	Dividend			Buy	07/18	J		
76. SECTOR SPDR SBI CONSUMER DISCRETIONARY XLY	A	Dividend	J	T	Buy (add'l)	07/13	J		
77.					Sold (part)	04/13	J	B	
78.					Sold (part)	08/25	J		
79. SECTOR SPDR TR SHS BEN INT HEALTH CARE	A	Dividend			Buy	09/30	J		
80. SPDR BARCLAYS CAP HIGH YIELD BOND ETF JNK	A	Dividend	K	T	Buy (add'l)	01/26	J		
81.					Sold (part)	02/25	J	A	
82.					Sold (part)	04/13	J	A	
83.					Sold (part)	08/05	J	A	
84.					Buy (add'l)	09/13	J		
85. SPDR SERIES DOW JONES REIT ETF	A	Distribution			Buy	12/14	J		

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86.	SPDR MIDCAP 400 ETF SER I S&P DEP RCPT MDY	A	Dividend			Sold (part)	04/13	J	A	
87.						Sold (part)	08/09	J		
88.	VANGUARD INDUSTRIALS ETF VIS	A	Dividend	J	T	Sold (part)	01/06	J	A	
89.						Sold (part)	04/13	J	A	
90.						Sold (part)	05/24	J	A	
91.						Buy (add'l)	08/25	J		
92.						Sold (part)	12/14	J	A	
93.	VANGUARD INFORMATION TECH ETF VGT	A	Dividend	J	T	Buy (add'l)	02/08	J		
94.						Sold (part)	04/13	J		
95.	VANGUARD EMERGING MKTS ETF VWO	A	Dividend	J	T	Buy (add'l)	03/02	J		
96.						Buy (add'l)	04/01	J		
97.						Buy (add'l)	06/22	J		
98.						Sold (part)	04/13	J		
99.						Sold (part)	11/23	J		
100.	VANGUARD ENERGY ETF VDE	A	Dividend	J	T	Buy (add'l)	01/06	J		
101.		A	Dividend			Sold (part)	04/13	J	A	
102.						Buy (add'l)	08/25	J		

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103. VANGUARD LARGE CAP ETF	A	Dividend	J	T	Buy	10/06	J		
104. WISDOMTREE TR EMERGING MARK ETS SMALL CAP DIVIDEND	A	Dividend			Buy	08/19	J		
105. WISDOMTREE LRGCAP DIV ETF	A	Distribution	J	T	Buy	05/24	J		
106.					Sold (part)	12/14	J		
107.					Buy (add'l)	09/14	J		
108. All Interests Fully Divested in Year- Brok erage Account 8									
109. CURRENCY SHARES AUSTRALIAN FXA DOLLAR SHARES	A	Dividend			Sold	02/16	J		
110. CLAYMORE EXCHANGE TRADED FD WILSHIRE MICRO CAP WMCR	A	Dividend			Sold (part)	04/13	J	A	
111. SPDR GOLD TRUST GLD		None			Sold	01/04	J	A	
112. FIRST TRUST NASDAQ ABA COMM BA NK INDX QABA	A	Dividend	J	T	Sold (part)	04/13	J		
113.					Buy (add'l)	01/19	J		
114. FIRST TRUST DOW JONES SELECT M ICRO CAP FDM	A	Dividend			Sold (part)	4/13	J	A	
115.					Sold (part)	07/06	J	A	
116.					Sold	09/20	J	A	
117. ISHARES MSCI CHILE INVST MKT I NDX ECH	A	Dividend			Sold	01/10	J	A	
118. ISHARES MSCI SINGAPORE INDX EWS	A	Dividend			Sold (part)	03/02	J	A	
119.					Sold	04/01	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. ISHARES ALL COUNTRY ASIA EX JA PAN INDX AAXJ	A	Dividend			Sold	02/01	J	A	
121. ISHARES MSCI GERMANY ETF	A	Dividend			Buy	05/20	J		
122.					Buy (add'l)	06/02	J		
123.					Sold	08/04	J		
124. ISHARS KOREA ETF	A	Dividend			Buy	04/01	J		
125.					Sold (part)	04/13	J		
126.					Sold	08/09	J		
127. ISHARES TRUST TRANSPORTIONS A VG INDX IYT		None			Sold	4/13	J	A	
128. ISHARES BARCLAY INTER CR BOND FD CIU	A	Dividend			Sold (part)	04/13	J	A	
129.	A	Distribution			Sold	04/29	J	A	
130. ISHARES BARCLAYS 1-3 YR CREDIT BOND FD CSJ	A	Dividend			Sold (part)	04/13	J	A	
131.					Sold	04/29	J	A	
132. ISHARES TRUST BARCLAYS 20+ YR TREASURY BOND FD	A	Dividend			Buy	9/13	J		
133.					Buy (add'l)	11/18	J		
134.					Sold	12/20	J	A	
135. ISHARS TR S&P 100 ETF	A	Dividend			Buy	02/01	K		
136.					Sold (part)	4/13	J		

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137.					Sold	05/24	J		
138. ISHARS S&P LATIN AMERICAN 401 NDEX ETF	A	Dividend			Buy	03/02	J		
139.					Sold (part)	04/13	J	A	
140.					Sold	07/18	J		
141. POWERSHARES ETF DYNAMIC HEA LTHCARE PTH		None			Buy (add'l)	02/18	J		
142. POWERSHARES DYNAMIC INDLS ETF	A	Dividend			Buy	02/18	J		
143. POWERSHARES ETF DYNAMIC MEDIA PBS	A	Dividend			Sold (part)	04/13	J	A	
144. POWERSHARES ETF DYNAMIC NET WORKING PXQ	A	Dividend			Sold	03/22	J	B	
145. POWERSHARES ETF DYNAMIC PHA RMACEUTICLS PJP		None			Sold	04/20	J	A	
146. POWERSHARES ETF DYNAMIC SOF TWARE PSJ		None			Sold	02/08	J	B	
147.					Sold	07/13	J	B	
148. POWERSHARES ETF ZACKS MICRO CA PITAL PZI	A	Dividend			Sold (part)	04/13	J	A	
149.					Sold	08/25	J	A	
150. POWERSHARES ETF DYNAMIC OIL SE RVICE PXJ	A	Dividend			Sold (part)	04/26	J	A	
151.					Sold	08/25	J	A	
152. POWERSHARES DB MULTI SECTOR OI L FUND DBO		None			Sold	02/01	J	A	
153.					Sold (part)	04/13	J	A	

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154.					Buy (add'l)	04/26	J		
155.					Buy (add'l)	05/20	J		
156.					Sold	09/30	J		
157.					Sold (part)	04/13	J		
158.					Sold	08/25	J		
159. POWERSHARES RAFI DEV US ETF		None			Buy	07/06	J		
160.					Sold	08/29	J	B	
161. POWERSHARES ETF RD TR II SENIOR LN PORT NYSE ARCA INC	A	Dividend			Buy	03/03	J		
162.					Sold	04/13	J	A	
163. POWERSHARES DB US DOLLAR IN DEX TRUST BULLISH FD		None			Buy	9/13	J		
164.					Sold	10/18	J	A	
165. SECTOR SPDR SHS BEN INT MATERI ALS SLB	A	Dividend			Sold (part)	04/13	J	A	
166.					Sold	09/30	J		
167. SECTOR SPDR SBI FINANCIAL	A	Dividend			Buy	03/22	J		
168.					Sold (part)	04/13	J		
169.					Sold	12/14	J		
170. SPDR INDEX S&P EMERGING MARKET S SM CAPITAL ETF EWX	A	Dividend			Sold (part)	01/26	J	B	

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171.					Sold (part)	04/13	J	A	
172.					Sold	07/18	J	A	
173. SPDR S&P BIOTECH ETF XBI		None			Sold	01/19	J	A	
174. SPDR KBW CAPITAL MARKETS ETF KCE	A	Dividend			Sold	03/22	J	A	
175. SPDR KBW INSURANCE ETF KIE	A	Dividend			Sold (part)	01/19	J	A	
176.					Sold	03/22	J	A	
177. SPDR S&P 500 ETF TRUST UNIT SER I	A	Dividend			Buy	01/19	J		
178.					Sold (part)	03/17	J	A	
179.					Sold (part)	04/13	J	A	
180.					Buy (add'l)	08/09	J		
181.					Sold	10/11	K	A	
182. SPDR BARCLAYS INTER TERM CORP BOND ETF ITR	A	Dividend			Sold (part)	01/26	J		
183.					Sold (part)	04/13	J	A	
184.	A	Distribution			Sold	04/29	J	A	
185.									
186. VANGUARD TELCOM SERVICES ETF VOX	A	Dividend	J	T	Sold (part)	01/19	J	A	
187.					Buy (add'l)	08/25	J		

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188.					Sold	12/15	J	A	
189. VANGUARD DIVIDEND APPRECIATION	A	Dividend			Buy	05/24	J		
190.					Sold (part)	08/03	J		
191.					Sold	08/05	J		
192. VANGUARD MSCI EAFE ETF	A	Dividend			Buy	1/26	J		
193.					Buy (add'l)	06/22	J		
194.					Sold (part)	08/09	J		
195.					Sold	11/23	J		
196. VANGUARD SMALL CAP ETF VB	A	Dividend	J	T	Buy (add'l)	03/04	J		
197.					Sold (part)	04/13	J	A	
198.					Sold	08/09	J		
199. VANGUARD MSCI EURO ETF		None			Buy	10/11	J		
200.					Sold (part)	11/17	J		
201.					Sold	11/18	J		
202. VANGUARD CONSUMER STAPLES ETF VDC	A	Dividend			Sold (part)	01/06	J	A	
203.					Sold (part)	04/13	J	A	
204.					Sold	12/14	J	A	

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205. VANGUARD EUROPE PACIFIC ETF VE A	A	Dividend	J	T	Buy	01/27	J		
206. VANGUARD SHORT TERM CORP BO ND ETF VCSH	A	Dividend			Sold (part)	01/04	J		
207.					Buy (add'l)	02/25	J		
208.					Sold (part)	03/04	J		
209.					Sold (part)	03/22	J	A	
210.					Sold (part)	03/31	J		
211.					Sold	04/01	J		
212. WISDOMTREE EMERGING CRNCY ERF		None			Buy	02/1	J		
213.					Buy (add'l)	03/31	J		
214.					Sold (part)	04/13	J	A	
215.					Buy (add'l)	04/29	J		
216.					Sold (part)	0713	J		
217.					Sold	09/12	J		
218. WISDOMTREE DREYFS COMMDTY E TF		None			Buy	01/04	J		
219.					Sold (part)	04/13	J	A	
220.					Buy (add'l)	04/29	J		
221.					Sold	06/21	J	A	

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222. WISDOMTREE ASIA DEBT ETF	A	Dividend			Buy	08/19	J		
223.					Sold	12/07	J		
224. WISDOMTREE CHINESE YUAN ETF		None			Buy	06/21	J		
225.					Sold (part)	08/01	J		
226.					Sold	11/07	J	A	
227. WISDOMTREE JAP HDGD EQT ETF		None			Buy	02/08	J		
228.					Buy (add'l)	03/22	J		
229.					Sold (part)	04/13	J		
230.					Sold (part)	05/20	J		
231.					Sold	06/02	J		
232. JPMORGAN CHASE ALERIAN MLP IND X ENT BASED ON WAP AMJ	A	Int./Div.			Sold (part)	08/31	J	A	
233.					Sold	06/22	J	A	
234. UBS AG JERSEY E TRACS LKD ALER IAN MLP INFRASTRUCTURE MLPI	A	Int./Div.	J	T	Sold (part)	04/13	J	A	
235.					Sold	06/22	J	B	
236. Intentionally Blank Line									
237. Brokerage Account #9 IRA Rollover									
238.									

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239. CASH/MONEY MARKET -- RW Baird General MMKT Class A	A	Int./Div.	J	T					
240. CAPITAL WORLD GWTH & INCOME FD CWGFX	A	Dividend	K	T					
241. CALAMOS CONVERTIBLE FUND CIC VX	A	Dividend	K	T					
242.	A	Distribution							
243. DAVIS NEW YORK VENTURE DNVYX	A	Dividend	L	T					
244.					Buy (add'l)	04/18	J		
245. GROWTH FUND AMER GFAFX	A	Dividend	K	T					
246.					Buy (add'l)	04/18	J		
247. HARRIS ASSOC INVT OAKMARK INTL FD OAKIX	A	Dividend	K	T					
248.					Buy (add'l)	04/18	J		
249. HUSSMAN INVT GROWTH FD HSGFX	A	Dividend	K	T					
250.					Buy (add'l)	04/18	J		
251. IVY FDS INC ASSET STRATEGY FD WA SYX	A	Dividend	K	T					
252. KEELEY FUNDS SMALL CAP VALUE KSCIX		None	K	T					
253. SECURITY EQUITY FD MID CAP VAL UE SEVAX	A	Dividend	K	T					
254.	A	Distribution							
255. PERMANENT PORTFOLIO FD PRPFX	A	Dividend	L	T					

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

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
256.	A	Distribution							
257. VANGUARD INTER TERM BOND FUND	A	Dividend	K	T	Buy	04/18	K		
258.	A	Distribution							
259. Intentionally Blank Line									
260. Trust #1									
261. CALIFORNIA BANK & TRUST -- DEP OSIT ACCOUNTS	A	Interest	L	T					
262. US GOVERNMENT BONDS		None	M	T					
263. METROPOLITAN LIFE INSURANCE PR OCEEDS		None	M	T					
264. Intentionally Blank Line									
265. Estate #1		None	J	T					

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

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

Part VII, Brokerage Acct. #6, Line 52, and Brokerage Acct. #7, Line 230, are former retirement accounts which were liquidated to minimize ownership of individual stocks, and the proceeds were rolled into Brokerage Accts. 8 and 9.

Part VII, Line 505 -- Estate #1. The probate estate for this [REDACTED] has no assets, with everything being administered through Trust #1.

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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 _____

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

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544