

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 05/14/2015
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 01/01/2014 to 12/31/2014
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2014	McGeorge School of Law, University of the Pacific	\$2,250.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2014	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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. American Bankruptcy Institute	9/4/2014 -- 9/6/2014	Las Vegas, NV	22nd Annual Southwestern Bankruptcy Conference (Speaker)	Travel, Lodging, and Meals
2. California Association of Collectors	10/23/2014 - 10/24/2014	San Diego, CA	Annual Convernion (Speaker)	Travel and Lodging
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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE 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	Interest	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. Bank of America Accounts, Dependant	A	Interest	J	T					
6. Bank of America Accounts, Dependant	A	Interest	J	T					
7. State Farm Whole Life Insurance	A	Int./Div.	J	T					
8. MINERAL RIGHTS, Livingston, CA		None	J	W					
9. _____									
10. Brokerage Account #1									
11. MERRIL LYNCH DIRECT DEPOSIT (CASH ACCOUNT)	A	Int./Div.	J	T					
12. ADT CORP	A	Distribution	J	T					
13. PENTAIR PLC PNR (Renamed PENTAIR LTD)	A	Distribution	J	T					
14. TYCO INTERNAT TYC	A	Dividend	J	T					
15. COVIDIEN PLC COV	A	Dividend	J	T					
16. TE CONNECTIVITY LTD TEL	A	Dividend	J	T					
17. CESCA THERAPEUTICS KOOL (Formerly named THERMOGENSIS)		None	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 = \$250,000.01 - \$500,000.00	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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18. NOKIA NOK	A	Dividend	J	T					
19. SIRIUS XM SIRI	A	Dividend	J	T					
20. _____									
21. Brokerage Account #2									
22. CASH ACCOUNT, GOLDMAN SACHS BANK USA (X)	A	Interest	J	T					
23. CASH ACCOUNT, DISCOVER BANK	A	Interest	J	T					
24. CASH ACCOUNT CITIBANK NA	A	Interest	J	T					
25. ORACLE ORCL	A	Dividend	M	T					
26. _____									
27. Brokerage Account # 2-1									
28. FEDERATED CAP RESERVES	A	Int./Div.	J	T					
29. DREYFUS TECH GROWTH DTGBX	A	Dividend	K	T					
30. _____									
31. Brokerage Account #3									
32. HARTFORD CAP APPRC FD HCACX	A	Dividend	J	T	Buy (add'l)	12/16/14	J		
33. _____	C	Distribution							
34. _____									

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35. Brokerage Account #4 Dependent									
36. GROWTH FD AMER GFACX	A	Distribution	J	T	Buy (add'l)	12/19/14	J		
37. GUGGENHEIM MID CAP VALUE A -- SEVSX	A	Distribution	J	T	Buy (add'l)	12/05/14	J		
38.	A	Dividend							
39. BLACKROCK GLOBAL ALLOCATION MCLOX	A	Dividend	J	T	Buy (add'l)	07/18/14	J		
40.	A	Distribution			Buy (add'l)	12/18/14	J		
41. _____									
42. BROKERAGE ACCOUNT #5 Dependants									
43. GOLDMAN SACHS INSURED CASH ACCOUNT	A	Interest	J	T					
44. COSTCO	A	Dividend	J	T					
45. _____									
46. BROKERAGE ACCOUNT #8 IRA Rollover									
47. GENERAL MARKET CASH FUND, RW BAIRD	A	Dividend	J	T					
48. DEUTSCHE X-TRACKERS MSCI EAF HEDGED EQUITY ETF	A	Dividend	J	T	Buy	04/09/14	J		
49.	A	Distribution			Buy (add'l)	04/25/14	J		
50.					Sold (part)	07/01/14	J	A	
51.					Buy (add'l)	12/23/14	J		

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52. FIRST TRUST NYSE ARCA BIOTECHNOLOGY INDEX ETF FBT	A	Dividend	J	T	Buy	06/25/14	J		
53.					Sold (part)	07/01/14	J	A	
54. FLEXSHARES TRUST QLTQ DIV INDEX FUND QDF	A	Dividend	J	T	Buy (add'l)	07/01/14	J		
55.					Sold (part)	08/04/14	J	A	
56. GLOBAL X FTSE NORDIC REGION ETF GXF		None	J	T	Buy	02/27/14	J		
57.					Sold (part)	07/01/14	J	A	
58. GLOBAL X MLP & ENERGY INFRASTRUCTURE MLPX ETF	A	Dividend	J	T	Buy	03/11/14	J		
59.					Buy (add'l)	05/28/14	J		
60.					Sold (part)	07/01/14	J	A	
61. ISHARES MSCI SWITZERLAND INDEX EFT EWL	A	Dividend	J	T	Sold (part)	07/01/14	J	A	
62. ISHARES MSCI SPAIN ETF EWP	A	Dividend	J	T	Buy	02/27/14	J		
63.					Sold (part)	07/01/14	J	A	
64. ISHARES MSCI AUSTRALIA ETG EWA	A	Dividend	J	T	Buy	04/09/14	J		
65.					Buy (add'l)	04/25/14	J		
66.					Sold (part)	07/01/14	J		
67. ISHARES MSCI JAPAN ETF EWJ	A	Dividend	J	T	Sold (part)	04/25/14	J	A	
68.					Sold (part)	07/01/14	J	A	

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69. ISHARES ASIA 50 ETF AIA	A	Dividend	J	T	Buy	08/06/14	J		
70. ISHARES MICROCAP ETF IWC	A	Dividend	J	T	Buy	02/14/14	J		
71.					Buy (add'l)	02/21/14	J		
72.					Sold (part)	07/01/14	J	A	
73.					Sold (part)	09/11/14	J	A	
74.					Buy (add'l)	10/17/14	J		
75.					Buy (add'l)	10/20/14	J		
76. ISHARES CORE S&P 500 ETF IVV	A	Dividend	J	T	Buy	10/17/14	J		
77.					Buy (add'l)	10/20/14	J		
78.					Sold (part)	12/03/14	J	A	
79. ISHARES MSCI EAFE INDEX ETF EFA	A	Dividend	J	T	Sold (part)	04/09/14	K	B	
80.					Sold (part)	07/01/14	J	A	
81. ISHARES US HOME CONSTRUCTION ETF ITB	A	Dividend	J	T	Buy	11/03/14	J		
82. ISHARES MSCI ALL COUNTRY ASIA EX JAPAN ETF AAXJ	A	Dividend	J	T	Sold (part)	02/21/14	J	A	
83.					Buy (add'l)	04/25/14	J		
84.					Sold (part)	07/01/14	J	A	
85. ISHARES MSCI UNITED KINGDON INDEX ETF EWU	A	Dividend	J	T	Sold (part)	07/01/14	J	A	

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86.					Buy (add'l)	11/06/14	J		
87. SCHWAB US REIT ETF SCHH	A	Dividend	J	T	Buy	01/07/14	J		
88.					Buy (add'l)	02/26/14	J		
89.					Buy (add'l)	03/14/14	J		
90.					Sold (part)	07/01/14	J	A	
91.					Sold (part)	08/06/14	J	A	
92. SECTOR FINANCIAL SELECT SECTOR SPDR ETF XLF	A	Dividend	J	T	Buy	02/26/14	J		
93.					Sold (part)	07/01/14	J	A	
94. SECTOR ENERGY SELECT SECTOR SPDR ETF XLE	A	Dividend	J	T	Buy	12/03/14	J		
95. SECTOR CONSUMER DISCRETIONARY SELECT SECTOR SPDR ETF XLY	A	Dividend	J	T	Buy	08/22/14	J		
96. VANGUARD FTSE DEVELOPED MKETS ETF VEA	A	Dividend	J	T	Sold (part)	07/01/14	J	A	
97. VANGUARD LARGE CAP ETF VV	A	Dividend	L	T	Buy (add'l)	05/08/14	J		
98.					Buy (add'l)	05/28/14	J		
99.					Sold (part)	06/25/14	J	A	
100.					Sold (part)	07/01/14	J	A	
101.					Sold (part)	08/05/14	J	A	
102.					Buy (add'l)	09/25/14	J		

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103. WISDOMTREE TRUST EUROPE HEDGED EQUITY FUND ETF HEDJ	A	Dividend	K	T	Buy	04/09/14	J		
104.	A	Distribution			Buy (add'l)	06/04/14	J		
105.					Sold (part)	07/01/14	J	A	
106.					Buy (add'l)	07/21/14	J		
107.					Buy (add'l)	10/17/14	J		
108.					Buy (add'l)	12/03/14	J		
109. WISDOMTREE JAPAN HEDGED EQUITY ETF DXJ	A	Dividend	K	T	Buy (add'l)	02/12/14	J		
110.	A	Distribution			Sold (part)	07/01/14	J	A	
111.					Buy (add'l)	11/06/14	J		
112. WISDOMTREE LARGE CAP DIVIDEND ETF DLN	A	Dividend	J	T	Buy	10/15/14	J		
113. WISDOMTREE JAPAN SMALL CAP DIVIDEND ETF DFJ	A	Dividend	J	T	Sold (part)	07/01/14	J	A	
114. CREDIT SUISSE NASSAU BRH EQUAL WEIGHT MLP ETN LKD CUSHING 30 MLP MLPN	A	Interest	J	T	Buy	06/25/14	J		
115.					Sold (part)	07/01/14	J	A	
116. BARCLAYS BANK PLC ETN+ SELECT MLP ETNS ATMP	A	Interest	J	T	Buy	03/11/14	J		
117.					Sold (part)	07/01/14	J	A	
118. ALPS RIVERFRONT STRATEGIC INCOME FUND RIGS	A	Dividend	J	T	Buy (add'l)	02/13/14	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 \$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.)

☐ 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.					Buy (add'l)	07/01/14	J		
120.					Sold (part)	07/07/14	J	A	
121.					Sold (part)	09/11/14	J	A	
122.					Sold (part)	10/17/14	J	A	
123.					Sold (part)	10/20/14	J	A	
124. All Interests Fully Divested in Yr for Brokerage Account #8									
125. CLAYMORE WILSHIRE MICRO CAP ETF WMCR	A	Dividend			Sold (part)	07/01/14	J	A	
126.					Sold (part)	08/05/14	J	A	
127.					Sold	09/11/14	J	A	
128. FIRST TRUST DOW JONES SELECT MICRO CAP INDEX ETF FDM	A	Dividend			Sold	06/04/14	J	A	
129. FIRST TRUST NASDAQ TECHNOLOGY DIVIDEND INDEX ETF	A	Dividend			Buy	02/21/14	J		
130.					Sold (part)	07/01/14	J	A	
131.					Sold (part)	09/25/14	J	A	
132.					Sold	11/13/14	J	A	
133. GLOBAL X NORWAY ETF		None			Buy	02/27/14	J		
134.					Buy (add'l)	06/25/14	J		
135.					Sold (part)	07/01/14	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.					Buy (add'l)	07/21/14	J		
137.					Sold	12/03/14	J	A	
138. ISHARES MSCI GERMANY INDEX ETF EWG		None			Sold	03/14/14	J	A	
139. ISHARES MSCI SOUTH KOREA CAPPED ETF EWY		None			Sold	02/21/14	J		
140. ISHARES MSCI EAFE VALUE ETF EPV		None			Sold	04/09/14	J	A	
141. ISHARES MSCI ACWI EX US INDEX FD ACWX		None			Sold	02/27/14	J	A	
142. ISHARES TR MSCI EMERGING MKTS ETF EEM		None			Sold	02/21/14	J	A	
143. ISHARES CORE MSCI EMERGING MARKETS ETF IEMG	A	Dividend			Buy	08/05/14	J		
144.					Buy (add'l)	09/11/14	J		
145.					Sold (part)	11/06/14	J	A	
146.					Sold	12/23/14	J	A	
147. ISHARES CORE S&P SMALL CAP ETF IJR	A	Dividend			Sold (part)	02/14/14	J	C	
148.					Buy (add'l)	10/17/14	J		
149.					Sold	12/03/14	J	A	
150. ISHARES MSCI EMU ETF EZU	A	Dividend			Sold (part)	07/01/14	J	A	
151.					Sold	07/02/14	J	A	
152. ISHARES MSCI CANADA INDEX ETF EWC		None			Sold	02/12/14	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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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. ISHARES MSCI POLAND CAPPED ETF	A	Dividend			Buy	04/09/14	J		
154.					Sold (part)	07/01/14	J	A	
155.					Sold	12/23/14	J	A	
156. ISHARES 1-3 YR CREDIT BOND EFT CSJ	A	Dividend			Sold	02/13/14	J	A	
157. ISHARES IBOX \$ HIGH YIELD CORP BOND ETF	A	Dividend			Buy	02/13/14	J		
158.					Sold	05/08/14	J	A	
159. ISHARES NORTH AMERICAN MULTIMEDIA NETWORKING ETF	A	Dividend			Buy	02/26/14	J		
160.					Sold (part)	07/01/14	J	A	
161.					Sold (part)	08/22/14	J	A	
162.					Sold	10/15/14	J	A	
163. ISHARES TRANSPORTATION AVERAGE ETF	A	Dividend			Buy	02/26/14	J		
164.					Sold (part)	07/01/14	J	A	
165.					Sold	10/15/14	J	A	
166. ISHARES US CONSUMER GOODS EFT	A	Dividend			Buy	02/26/14	J		
167.					Sold (part)	07/01/14	J	A	
168.					Sold	09/25/14	J	A	
169. MARKET VECTORS OIL SERVICES ETF OIJ		None			Sold	01/07/14	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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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. POWERSHARES DYNAMIC BUYBACK ACHIEVERS ETF PKW		None			Sold	03/11/14	J	A	
171. POWERSHARES FTSE RAFI DEVELOPED MARKETS EX US ETF PEX	A	Dividend			Sold (part)	07/01/14	J	A	
172.					Sold	10/17/14	J	A	
173. POWERSHARES S&P 500 HIGH BETA ETF SPHB	A	Dividend			Sold (part)	02/21/14	K	A	
174.					Sold (part)	02/26/14	K	C	
175.					Sold	05/08/14	J	B	
176. POWERSHARES DYNAMIC FOOD & BEVERAGE	A	Dividend			Buy	02/14/14	J		
177.					Buy (add'l)	02/16/14	J		
178.					Sold (part)	05/28/14	J	A	
179.					Sold	06/25/14	J	A	
180. RYDEX GUGGENHEIM S&P 500 EQUAL WEIGHT ENERGY ETF	A	Dividend			Buy	02/21/14	J		
181.					Sold (part)	07/01/14	J	A	
182.					Sold	10/15/14	J	A	
183. SPDR BARCLAYS CAPITAL HIGH YIELD BOND ETF	A	Dividend			Buy	02/13/14	J		
184.					Sold	05/08/14	J	A	
185. VANGUARD FTSE EUROPE ETF VGK	A	Dividend			Sold (part)	04/09/14	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 \$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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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)
186.					Sold (part)	07/01/14	J	A	
187.					Sold (part)	07/21/14	J	A	
188.					Sold	10/17/14	J	B	
189. VANGUARD INFORMATION TECHNOLOGY		None			Buy	03/14/14	J		
190.					Sold (part)	07/01/14	J	A	
191.					Sold	08/22/14	J	A	
192. VANGUARD SHORT TERM CORP BOND ETF VCSH	A	Dividend			Sold	02/13/14	J	A	
193. WISDOMTREE EUROPE SMALL CAP DIVIDEND ETF	A	Dividend			Buy	04/09/14	J		
194.					Sold (part)	07/01/14	J	A	
195.					Sold (part)	07/21/14	J	A	
196.					Sold	10/17/14	J	A	
197.									
198. Brokerage Account #9 IRA Rollover									
199. CASH/MONEY MARKET -- RW Baird General MMKT Class A	A	Int./Div.	J	T					
200. CAPITAL WORLD GWTH & INCOME FD CWGFX	A	Dividend	K	T	Buy (add'l)	03/18/14	J		
201.					Buy (add'l)	06/17/14	J		
202.					Buy (add'l)	09/23/14	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)
203.					Buy (add'l)	12/16/14	J		
204. DAVIS NEW YORK VENTURE DNVYX	A	Dividend	M	T	Sold (part)	02/24/14	J	A	
205.	E	Distribution			Buy (add'l)	07/02/14	J		
206.					Sold (part)	10/23/14	J	A	
207.					Buy (add'l)	12/12/14	J		
208. GATEWAY GATEX	A	Dividend	K	T	Buy (add'l)	03/24/14	J		
209.					Buy (add'l)	06/23/14	J		
210.					Buy (add'l)	09/25/14	J		
211.					Buy (add'l)	12/22/14	J		
212. GROWTH FUND AMER GFAFX	A	Dividend	L	T	Sold (part)	02/24/14	J	A	
213.	D	Distribution			Sold (part)	07/07/14	J	B	
214.					Sold (part)	10/23/14	J	A	
215.					Buy (add'l)	12/19/14	J		
216. GUGGENHEIM MID CAP VALUE A -- SEVAX	A	Dividend	K	T	Buy (add'l)	12/05/14	J		
217.	C	Distribution							
218. HARRIS ASSOC INVT OAKMARK INTL FD OAKIX	A	Dividend	K	T	Buy (add'l)	12/19/14	J		
219.	A	Distribution							

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.)

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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)
220. IVY FDS INC ASSET STRATEGY FD WASYX	A	Dividend	L	T	Buy (add'l)	12/12/14	J		
221.	D	Distribution							
222. KEELEY FUNDS SMALL CAP VALUE KSCIX	A	Dividend	K	T	Buy (add'l)	01/03/14	J		
223.	A	Distribution			Buy (add'l)	12/17/14	J		
224.					Buy (add'l)	12/31/14	J		
225. STRATTON SMALL CAP VALUE STSCX	A	Distribution	J	T	Buy (add'l)	12/22/14	J		
226.	A	Dividend							
227. CALAMOS CONVERTIBLE FUND CICVX	A	Dividend	K	T	Buy (add'l)	03/21/14	J		
228.	B	Distribution			Buy (add'l)	06/20/14	J		
229.					Buy (add'l)	09/19/14	J		
230.					Buy (add'l)	12/19/14	J		
231. ADVISORY RESEARCH MLP & ENERGY INCOME INFIX (Name Change)	A	Dividend	J	T	Buy (add'l)	02/28/14	J		See Addition Information
232.					Buy (add'l)	05/30/14	J		
233.					Buy (add'l)	08/29/14	J		
234.					Sold (part)	10/23/14	J	A	
235.					Buy (add'l)	11/26/14	J		
236.					Buy (add'l)	12/31/14	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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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)

237. PERMANENT PORTFOLIO FD PRPFX	A	Dividend	L	T	Sold (part)	10/23/14	J	A	
238.	D	Distribution			Buy (add'l)	12/11/14	J		
239. PRINCIPAL GLOBAL DIVERSIFIED INCM PGDPX	A	Dividend	K	T	Buy	07/08/14	K		
240.	A	Distribution			Buy (add'l)	08/04/14	J		
241.					Buy (add'l)	09/03/14	J		
242.					Buy (add'l)	10/02/14	J		
243.					Buy (add'l)	11/04/14	J		
244.					Buy (add'l)	12/01/14	J		
245.					Buy (add'l)	12/19/14	J		
246.					Buy (add'l)	12/31/14	J		
247. LOOMIS SAYLES BOND INSTL LSBDX	A	Dividend	J	T	Buy (add'l)	01/29/14	J		
248.	A	Distribution			Buy (add'l)	02/25/14	J		
249.					Buy (add'l)	03/26/14	J		
250.					Buy (add'l)	04/25/14	J		
251.					Buy (add'l)	05/27/14	J		
252.					Buy (add'l)	06/24/14	J		
253.					Buy (add'l)	07/28/14	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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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)

254.					Buy (add'l)	08/26/14	J		
255.					Buy (add'l)	09/25/14	J		
256.					Buy (add'l)	10/27/14	J		
257.					Buy (add'l)	11/25/14	J		
258.					Buy (add'l)	12/17/14	J		
259. TEMPLETON GLOBAL BOND ADVISOR TGBAX	B	Dividend	K	T	Buy	07/07/14	K		
260.					Buy (add'l)	07/17/14	J		
261.					Buy (add'l)	08/18/14	J		
262.					Buy (add'l)	09/17/14	J		
263.					Buy (add'l)	10/17/14	J		
264.					Buy (add'l)	11/19/14	J		
265.					Buy (add'l)	12/17/14	J		
266. VANGUARD INTER TERM BOND FUND VBHIX	A	Dividend	K	T	Buy (add'l)	01/02/14	J		
267.	A	Distribution			Buy (add'l)	02/03/14	J		
268.					Buy (add'l)	03/03/14	J		
269.					Buy (add'l)	04/01/14	J		
270.					Buy (add'l)	05/01/14	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	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)	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	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.)

☐ 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)
271.					Buy (add'l)	06/02/14	J		
272.					Buy (add'l)	07/01/14	J		
273.					Buy (add'l)	07/07/14	J		
274.					Buy (add'l)	08/01/14	J		
275.					Buy (add'l)	09/02/14	J		
276.					Buy (add'l)	10/01/14	J		
277.					Buy (add'l)	11/03/14	J		
278.					Buy (add'l)	12/01/14	J		
279.					Buy (add'l)	12/23/14	J		
280. -----									
281. Trust #1									
282. CALIFORNIA BANK & TRUST -- DEPOSIT ACCOUNTS	A	Interest	K	T					
283. BANK OF AMERICA, N.A.	A	Interest	K	T					
284. US GOVERNMENT BONDS	E	Interest	M	T					
285. ----- END-----									

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.)*

Part VII, Line 219: Name change of Famco MLP + Energy Income (INFIX) to Advisory Research MLP & Energy Research (INFIX)

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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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Washington, D.C. 20544