

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) Nugent, Robert E.	2. Court or Organization District of Kansas	3. Date of Report 09/25/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. Bankruptcy Judge	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 104 U.S. Courthouse 401 North Market Wichita, Kansas 67202		
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. Immediate Past President	National Conference of Bankruptcy Judges
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Nugent, Robert E.

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09/25/2017

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. 1-12/16	Realtor Income through [REDACTED]
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. Nat'l Conf. of Bankruptcy Judges	3/14-3/15/2016	Fort Worth, TX	NCBJ Midyear Meeting	travel, meals, and lodging
2. Kansas Bar Association	4/8/2016	Overland Park, KS	KBA Section Seminar	travel
3. Bankruptcy Bar Assoc. S.D. Fla.	5/12-5/15/2016	Chicago ILMarco Island, FL	BBA Annual Weekend Retreat CLE	travel, meals, and lodging
4. American College of Bankruptcy	5/20/2016	Kansas City MO	ACB UMKC Fellows Seminar	travel
5. Nat'l Assoc. of Bankruptcy Trustees	9/8-/9/2016	San Diego, CA	NABT Annual Meeting	travel, meals, and lodging

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting	Date of Report
Nugent, Robert E.	09/25/2017

6.	Nat'l Conf. of Bankruptcy Judges	10/25-10/29/2016	San Francisco, CA	NCBJ Annual Meeting	travel, meals, and lodging
7.	American Bankruptcy Institute	9/29-9/30/2016	Kansas City, MO	ABI Midwestern Conference	travel, meals and lodging
8.					
9.					
10.					
11.					
12.					

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Nugent, Robert E.

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09/25/2017

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.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Nugent, Robert E.

Date of Report

09/25/2017

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. R/O IRA #1 (H)									
2. --Fidelity Gov't MM Daily Money Fund (R/O IRA)	A	Int./Div.	K	T					
3. --Transamerica MMA	A	Int./Div.			Sold	01/15/16	L	A	
4. --Rydex Gov't Long Bond Fd	A	Int./Div.			Buy	01/13/16	M		
5.					Sold	02/26/16	M	C	
6. --Rydex HY Strategy Bond Fd	B	Int./Div.	M	T	Buy	03/10/16	L		
7.					Sold	06/30/16	L	B	
8.					Buy	07/12/16	M		
9. --Northern HY Fixed Inc	A	Int./Div.	M	T	Buy	07/12/16	M		
10. --American High Income F1	A	Int./Div.			Buy	02/26/16	L		
11.					Sold	06/30/16	L	D	
12. --Black Rock HY Bond ClassA	A	Int./Div.			Buy	02/26/16	L		
13.					Sold	06/30/16	L	C	
14. --Putnam HY Class A	B	Int./Div.			Buy	02/26/16	L		
15.					Sold	06/30/16	K	B	
16. --United Development Funding IV	A	Int./Div.	J	T					
17. --Global Net Lease, Inc.(X)	A	Int./Div.			Sold	03/14/16	K	B	

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		

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

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18. --Direxion HY Bull	B	Int./Div.	L	T	Buy	07/12/16	L		
19. --Transamerica High Yield	B	Int./Div.			Buy (add'l)	02/26/16	K		
20.					Buy (add'l)	03/14/16	K		
21.					Sold	06/30/16	L	C	
22. --JP Morgan Gov Bond Fd	A	Int./Div.			Sold	01/13/16	M		
23. --JP Morgan Liquid Assets MMA	A	Dividend			Sold	01/13/16	M	A	
24. --JP Morgan High Yield Bond Fd--see Part 8	A	Int./Div.			Sold	10/21/15	M		
25. --Halcon Res Corp	A	Int./Div.	J	T					
26. --Vereit, f/k/a Ameerican Realty Capital-- see Part VIII	A	Int./Div.			Sold	03/14/16	J		
27. R/O IRA #2 (H)									
28. --Fidelity Gov't MM Daily Money Fund (R/ O IRA)	A	Int./Div.	K	T					
29. --American Funds Fundamental Inv.	B	Int./Div.	K	T					
30. --American Funds Growth	B	Int./Div.	K	T					
31.									
32. --AmFunds Income Fund America	B	Int./Div.	K	T					
33.									
34. Simple IRA #1 (H)									

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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

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35. --American Funds as below;									
36. --American Mutual Fund	A	Int./Div.	K	T	Buy (add'l)	06/14/16	J		
37. --Fundamental Investors	A	Int./Div.	J	T	Buy (add'l)	06/14/16	J		
38. --Capital Income Builder	A	Int./Div.	K	T	Buy (add'l)	06/14/16	J		
39. --Growth Fund America	A	Int./Div.	J	T	Buy (add'l)	06/14/16	J		
40. --Capital World Growth	A	Int./Div.	J	T	Buy (add'l)	06/14/16	J		
41.					Buy (add'l)	06/14/16	J		
42. Emprise Bank Account	A	Interest	J	T					
43. Emprise Bank MMA	A	Interest	J	T					
44. Emprise Bank Passbook Account II	A	Interest	J	T					
45. Citizens Bank Saving	A	Interest	J	T					
46. Learning Quest 529 Fund Short-term (American Century)	A	Distribution	J	T					
47. Vanguard MMA	A	Dividend	J	T					
48. Northwestern Mutual Whole Life #1	A	Dividend	K	T					
49. Northwestern Mutual Whole Life #2	A	Dividend	K	T					
50. Northwestern Mutual Whole Life #3	A	Dividend	J	T					
51. Emprise CD 6 (77)	A	Interest	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 10

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Nugent, Robert E.

Date of Report

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52. Realty LLC	G	Distribution	K	U	Buy	03/15/16	J		
53. --CrossFirst Bank Business	A	Interest	K	T					
54. CrossFirst Bank MMA--see Part 8	B	Interest	M	T					
55. CrossFirst Pers Savings	A	Interest	K	T					
56.									
57. Bulls & Bears Investment Club (H)--see Part 8									
58. --Alphabet A	A	Int./Div.	J	T					
59. --Alphabet C	A	Int./Div.	J	T					
60. --Amazon	A	Int./Div.	J	T					
61. --Amgen	A	Int./Div.	J	T					
62. --GE	A	Int./Div.	J	T					
63. --Ishares Emerg Mkt	A	Int./Div.	J	T					
64. --Phillips 66	A	Int./Div.	J	T					
65. --Williams Co	A	Int./Div.	J	T					
66.									

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FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Nugent, Robert E.

Date of Report

09/25/2017

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

Part III-B--as discussed below, spouse established single-member LLC for business.

Part 7, Line 21--American Realty Capital, Inc. changed its name to Vereit, Inc. sometime in 2015. Held this stock in RO IRA #1 on 12/31/15 in J amount, but inadvertently omitted from 2015 report--was included in 2014 report.

Part 7, Line 24--Sold JP Morgan HY Fund 12/10/15; amount M. Inadvertent omission from 2015 report.

Part 7, IRA #2's interest in American New Perspective closed out on 7/18/2012--no gain, and sold for value code K. Apparently failed to remove this row over the years and have done so now.

Part 7, Line 52-54--Spouse established single-member LLC for realtor business; CrossFirst Bank "Business" reported last year as sole proprietor business account; CrossFirst Bank MMA, formerly reported as "Business" MMA still personally held.

Part 7, Line 57, et seq. I am 1/60 of this investment club and was admitted on 10/15/16. I only know month of acquisition--date shown as first of applicable months is supposition only.

Part 7, general statement:

In further response to the Committee's letter dated September 20, 2017, I reviewed my prior reports. In so doing, I noted that I reported my interest in Hartford High Yield as "sold" as of August 5, 2014 per line 15 of my 2014 report. I did not delete the holding's header from my '15 report which has now been closed.

As for Ivy High Income, per line 14 of my 2013 report, that entire position was sold on July 25, 2013. Unfortunately, I showed it "sold in part" when it should have, in fact, been shown as "sold." Again, the header carried forward to both the 2014 and 2015 reports due to my failure to delete it.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Nugent, Robert E.

Date of Report

09/25/2017

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/ **Robert E. Nugent**

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
Suite 2-301
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Washington, D.C. 20544