

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Sargis, Ronald H.	2. Court or Organization Bkcy Court, Eastern District of California	3. Date of Report 11/06/2013
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 01/01/2012 to 12/31/2012
7. Chambers or Office Address United States Bankruptcy Court, ED 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Trustee -- Trust #1	Trust #1, [REDACTED]
2. Executor -- Estate #1 -- No Probate - All Assets in Trust #1	Estate #1, [REDACTED]
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2012

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Bank of the West	Rental Property #1, Sacramento, California	L
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 #1, Sacramento, California	D	Rent	M	W					
2. Rental Property #2, Sacramento, California	D	Rent	N	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, [REDACTED]	A	Interest	K	T					
7. Bank of America Accounts, [REDACTED]	A	Interest	J	T					
8. State Farm Whole Life Insurance	A	Int./Div.	J	T					
9. MINERAL RIGHTS, Livingston, CA		None	J	W					
10. -----									
11. Brokerage Account #1									
12. amended: MERRIL LYNCH DIRECT DEPOSIT (CASH ACCOUNT)	A	Int./Div.	J	T	Open	07/31/12	J		
13. ADT CORP	A	Distribution	J	T	Spinoff (from line 15)	10/04/12	J		
14. PENTAIR LTD	A	Distribution	J	T	Spinoff (from line 15)	10/04/12	J		
15. TYCO INTERNAT TYC	A	Dividend	J	T					
16. COVIDIEN PLC COV	A	Dividend	J	T					
17. TE CONNECTIVITY LTD (name change from TYCO ELECTRONICS) TEL	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.01 - \$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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18. THERMOGENSIS KOOL		None	J	T					
19. NOKIA NOK	A	Dividend	J	T					
20.					Buy (add'l)	07/31/12	J		
21.					Buy (add'l)	08/01/12	J		
22. SIRIUS XM SIRI	A	Dividend	J	T					
23. All Interests Fully Divested in Yr for Brokerage Account #1									
24. STARBUCKS SBUX	A	Dividend			Sold	07/31/12	J	B	
25. HOME DEPOT INC HD	A	Dividend			Sold	07/31/12	J	A	
26. -----									
27. Brokerage Account #2									
28. CASH ACCOUNT, GOLDMAN SACHS BANK USA (X)	A	Interest	L	T					
29. amended: FIRST TENNESSEE BANK, NA - CASH ACCOUNT	A	Dividend	J	T	Open	12/28/12	J		
30. ORACLE ORCL	A	Dividend	L	T					
31. DREYFUS TECH GROWTH DTGBX	A	Dividend	J	T	Sold (part)	12/28/12	J	B	
32. All Interests Fully Divested in Yr for Brokerage Account #2									
33. ALLIANZ NFS SMALL CAP PCVAX	A	Dividend			Sold	12/28/12	J	A	
34.	A	Distribution							

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35. DREYFUS CORE EQUITY DLTSX	A	Dividend			Sold	12/28/12	J	A	
36. FED EQUITY FDS, CAP APPRE CPABX	A	Distribution			Sold	12/28/12	J	A	
37.	A	Dividend							
38. FED MKT OPPORTUNITY FMAAX	A	Dividend			Sold	12/28/12	K	A	
39. PIONEER CULLEN VALUE	A	Dividend			Sold	12/28/12	K	C	
40. -----									
41. Brokerage Account #3									
42. HARTFORD CAP APPRC FD HCACX	A	Dividend	J	T	Sold (part)	08/31/12	J	A	
43. -----									
44. Brokerage Account #4									
45. GROWTH FD AMER GFACX	A	Dividend	J	T					
46. SECURITY EQUITY FUND (Renamed GUGG MDCP) SEVSX	A	Distribution	J	T					
47.	A	Dividend							
48. BLACKROCK GLOBAL ALLOCATION MCLOX	A	Dividend	J	T					
49. -----									
50. BROKERAGE ACCOUNT #5									
51. amended: GOLDMAN SACHS INSURED CASH ACCOUNT	A	Interest	J	T	Open	07/31/12	J		

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52. COSTCO	A	Dividend	J	T					
53. STARBUCKS	A	Dividend			Sold	07/31/12	J	A	
54. -----									
55. BROKERAGE ACCOUNT #8 IRA Rollover									
56. Assets Owned 12/31/12									
57. GENERAL MARKET CASH FUND, RW BAIRD	A	Dividend	J	T					
58. GLOBAL X FUNDS ASEAN 40 ETF ASEA	A	Dividend	J	T	Sold (part)	02/29/12	J	A	
59. ISHARES MSCI ACWI EX US INDEX FD ACWX	A	Dividend	J	T					
60.					Sold (part)	02/29/12	J	A	
61. ISHARES MSCI ALL COUNTRY ASIA EX JAPAN ETF AAXJ	A	Dividend	J	T	Buy	03/05/12	J		
62.					Buy (add'l)	06/07/12	J		
63. ISHARES MSCI CANADA INDEX ETF EWC	A	Dividend	J	T	Buy	06/07/12	J		
64. ISHARES MSCI GERMANY INDEX ETF EWG	A	Dividend	J	T	Buy	01/27/12	J		
65.					Sold (part)	02/29/12	J	A	
66. ISHARES MSCK PACIFIC EX JAPAN ETF EPP	A	Dividend	J	T	Buy	01/27/12	J		
67.		None			Sold (part)	02/29/12	J	A	
68. ISHARES MSCI SWITZERLAND INDEX EFT EWL		None	J	T	Buy	11/06/12	J		

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69. ISHARES MSCI UNITED KINGDON INDEX ETF EWU	A	Dividend	J	T	Sold (part)	02/29/12	J	A	
70.					Sold (part)	11/06/12	J	A	
71. ISHARES MSCI EAFE INDEX ETF EFA	A	Dividend	J	T	Buy	11/30/12	J		
72. ISHARES TR MSCI EMERGING MKTS ETF EEM	A	Dividend	J	T	Buy (add'l)	01/11/12	J		
73.					Sold (part)	02/29/12	J	A	
74.					Sold (part)	03/22/12	J	A	
75. ISHARES CORE S&P SMALL CAP ETF (Renamed SmallCap 600) IJR	A	Dividend	J	T	Buy (add'l)	02/22/12	J		
76. amended:FKA Small Cap 600 Index FD	A	Distribution			Sold (part)	02/29/12	J	A	
77.					Sold (part)	10/26/12	J	A	
78. ISHARES CORE S&P MID CAP ETF (Renamed MidCap 400) IJH	A	Dividend	J	T	Sold (part)	11/30/12	J	A	
79. amended -- FKA IShares S&P MidCap 400 Index FD					Sold (part)	12/20/12	J	A	
80.					Sold (part)	02/29/12	J	A	
81.					Sold (part)	09/14/12	J	A	
82. ISHARES IBOX \$ HIGH YIELD CORP BOND ETF HYG	A	Dividend	J	T	Sold (part)	02/29/12	J	A	
83. ISHARES MSCI EMU INDEX ETF EZU	A	Dividend	J	T	Buy	09/04/12	J		
84. ISHARES TRUST JPMORGAN USD EMERG MARKETS BOND FD EMB	A	Dividend	J	T	Buy (add'l)	01/05/12	J		
85.					Sold (part)	02/29/12	J	A	

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86.					Sold (part)	03/21/12	J	A	
87. POWERSHARES INTL DIVIDEND ACHIEVERS ETF PID	A	Dividend	J	T	Sold (part)	01/27/12	J	A	
88.					Sold (part)	01/31/12	J		
89.					Sold (part)	02/29/12	J	A	
90.					Sold (part)	03/05/12	J		
91. POWERSHARES ETF DWA TECHNICAL LEADERS PDP	A	Dividend	J	T	Sold (part)	02/29/12	J	A	
92. POWERSHARES GLOBAL ETF FUND HIGH YIELD CORP BOND PHB	A	Dividend	J	T	Sold (part)	02/29/12	J		
93.					Sold (part)	03/22/12	J		
94. POWERSHARES S&P 500 HIGH BETA ETF SPHB	A	Dividend	J	T	Buy	08/22/12	J		
95. POWERSHARES TRUST II S&P 500 LOW VOLATILITY ETF SPLV	A	Dividend	J	T	Buy (add'l)	05/09/12	J		
96.					Sold (part)	01/27/12	J	A	
97. POWERSHARES SENIOR LOAN PORT ETF BKLN (NYSE ARCA)	A	Dividend	J	T	Buy	10/18/12	J		
98. SPDR BARCLAYS CAP HIGH YIELD BOND ETF JNK	A	Dividend	J	T	Sold (part)	01/06/12	J	A	
99.		Distribution			Sold (part)	02/29/12	J	A	
100.					Sold (part)	10/18/12	J	A	
101. VANGUARD DIVIDEND APPRECIATION ETF VIG	A	Dividend	J	T	Buy	01/23/12	J		
102.					Sold (part)	02/29/12	J	A	

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103.					Buy (add'l)	03/14/12	J		
104.					Buy (add'l)	03/22/12	J		
105.					Sold (part)	06/04/12	J	A	
106. VANGUARD EMERGING MKTS ETF VWO	A	Dividend	J	T	Sold (part)	02/29/12	J	A	
107.					Buy (add'l)	09/17/12	J		
108. VANGUARD MSCI EUROPE ETF VGK	A	Dividend	J	T	Buy	06/07/12	J		
109.					Sold (part)	06/26/12	J	A	
110.					Buy (add'l)	08/29/12	J		
111.					Buy (add'l)	10/26/12	J		
112. VANGUARD MSCI EAFE ETF VEA	A	Dividend	J	T	Buy	01/27/12	J		
113.					Sold (part)	02/29/12	J	A	
114.					Buy (add'l)	07/03/12	J		
115. VANGUARD LARGE CAP ETF VV	A	Dividend	J	T	Sold (part)	02/29/12	J	A	
116.					Buy (add'l)	03/28/12	J		
117.					Buy (add'l)	05/09/12	J		
118.					Buy (add'l)	05/18/12	J		
119.					Buy (add'l)	06/04/12	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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11/06/2013

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.					Buy (add'l)	06/14/12	J		
121.					Sold (part)	06/25/12	J	A	
122.					Buy (add'l)	06/27/12	J		
123.					Buy (add'l)	08/22/12	J		
124.					Buy (add'l)	10/11/12	J		
125. VANGUARD SHORT TERM CORP BOND ETF VCSH	A	Dividend	J	T	Buy	01/06/12	J		
126.	A	Distribution			Sold (part)	02/29/12	J	A	
127. WISDOMTREE TR EMERGING MARKETS SMALL CAP DIVIDEND DGS	A	Dividend	J	T	Sold (part)	02/29/12	J	A	
128. WISDOMTREE JAPAN HEDGED EQUITY ETF DXJ	A	Dividend	J	T	Buy	12/20/12	J		
129. WISDOMTREE LARGE CAP DIVIDEND ETF DLN	A	Dividend	K	T	Buy (add'l)	02/22/12	J		
130.					Sold (part)	02/29/12	J	A	
131.					Sold (part)	05/09/12	J	A	
132.					Buy (add'l)	11/01/12	J		
133.					Buy (add'l)	11/30/12	J		
134. All Interests Fully Divested in Yr for Brokerage Account #8									
135. (Correction) GLOBAL X FUNDS CHINA CONSUMER CHIQ					Sold	11/23/11	J	A	See Part VIII
136. DBX ETF TRUST MSCI EAFE CURRENCY HEDGED EQUITY FD	A	Dividend			Sold (part)	02/29/12	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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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.					Sold	06/07/12	J	A	
138. FIRST TRUST NASDAQ ABA COMM BANK INDX QABA	A	Dividend			Sold	02/22/12	J	A	
139.	A	Distribution							
140. ISHARES INC MSCI JAPAN INDEX FD		None			Buy	03/05/12	J		
141.					Sold	06/07/12	J	A	
142. ISHARES MSCI CDA INDX	A	Dividend			Sold	02/29/12	J	A	
143. ISHARES TR DOW JONES US FINL SVCS INDEX FD	A	Dividend			Buy	03/28/12	J		
144.					Sold (part)	05/09/12	J	A	
145.					Sold (part)	06/14/12	J	A	
146.					Buy (add'l)	09/14/12	J		
147.					Sold (part)	11/01/12	J	A	
148.					Sold	11/30/12	J	A	
149. ISHARES TR DOW JONES US ENERGY SECTOR	A	Dividend			Sold (part)	02/29/12	J	A	
150.					Sold (part)	03/27/12	J	A	
151.					Sold	05/07/12	J	A	
152. ISHARES TRUST S&P LATIN AMERN 40 INDEX FD	A	Dividend			Buy	01/27/12	J		
153.					Sold (part)	02/29/12	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)
154.					Sold	06/25/12	J	A	
155. amended: Lines 155 and 156 Listed in Error									
156. Duplicate of Lines 92 and 93 Above									
157. POWERSHARES ETF DIVIDEND ACHIEVERS		None			Sold (part)	01/27/12	J	A	
158.					Sold (part)	02/29/12	J	A	
159.					Sold	03/05/12	J	A	
160. SECTOR SPDR SBI CONSUMER DISCRETIONARY XLY	A	Dividend			Sold	01/23/12	J		
161. SECTOR SPDR SBI CONSUMER DISCRETIONARY XLY	A	Dividend			Sold (part)	01/23/12	J	A	
162.					Sold (part)	02/29/12	J	A	
163.					Sold	03/28/12	J	B	
164. SELECT SECTOR SPDR TRUST SBI UTILITIES	A	Dividend			Buy	05/09/12	J		
165.					Sold	08/22/12	J	A	
166. POWERSHARES EFT DIVIDEND ACHIEVERS PFM		None			Sold (part)	01/2/12	J	A	
167.					Sold (part)	02/29/12	J	A	
168.					Sold	03/05/12	J	A	
169. SPDR SERIES DOW JONES REIT ETF	A	Distribution			Buy (add'l)	02/22/12	J		
170.	A	Dividend			Sold (part)	02/29/12	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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11/06/2013

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)
171.					Sold (part)	09/17/12	J	A	
172.					Sold (part)	11/30/12	J	A	
173.					Sold	12/05/12	J	A	
174. SPDR GOLD TRUST GOLD SHARES		None			Buy	03/27/12	J		
175.					Sold	05/17/12	J	A	
176. SPDR MIDCAP 400 ETF SER 1 S&P DEP RCPT MDY	A	Dividend			Sold (part)	02/29/12	J	A	
177.					Sold	06/27/12	J	A	
178. SECTOR SPDR TR SHS BEN INT HEALTH CARE	A	Dividend			Sold (part)	02/29/12	J	A	
179.					Sold	11/30/12	J	B	
180. VANGUARD ENERGY ETF VDE		None			Sold (part)	02/29/12	J	A	
181.					Sold	03/28/12	J	B	
182. VANGUARD INFORMATION TECH ETF VGT		None			Sold (part)	02/22/12	J	A	c
183.					Sold (part)	02/29/12	J	A	
184.					Sold (part)	03/28/12	J	A	
185.					Sold	10/11/12	J	B	
186.					Sold	11/01/12	J	B	
187. VANGUARD INDUSTRIALS ETF VIS		None			Sold (part)	01/06/12	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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Name of Person Reporting

Sargis, Ronald H.

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11/06/2013

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)
188.					Sold	03/28/12	J	A	
189. -----									
190. Brokerage Account #9 IRA Rollover									
191. CASH/MONEY MARKET -- RW Baird General MMKT Class A	A	Int./Div.	J	T					
192. CAPITAL WORLD GWTH & INCOME FD CWGFX	B	Dividend	K	T					
193. CALAMOS CONVERTIBLE FUND CICVX	A	Dividend	K	T					
194.	C	Distribution							
195. DAVIS NEW YORK VENTURE DNVYX	B	Dividend	L	T	Sold (part)	11/01/12	J	A	
196.	C	Distribution							
197. GROWTH FUND AMER GFAFX	A	Dividend	L	T	Buy (add'l)	03/05/12	K		
198.					Sold (part)	11/01/12	J	A	
199. HARRIS ASSOC INVT OAKMARK INTL FD OAKIX	A	Dividend	K	T	Buy (add'l)	03/05/12	J		
200.									
201. HUSSMAN INVT GROWTH FD HSGFX	A	Dividend	K	T					
202.									
203. IVY FDS INC ASSET STRATEGY FD WASYX	B	Dividend	L	T					
204. KEELEY FUNDS SMALL CAP VALUE KSCIX		None	K	T	Sold (part)	11/01/12	J	A	

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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Name of Person Reporting

Sargis, Ronald H.

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11/06/2013

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)
205. LOOMIS SAYLES BOND INSTL LSBDX	A	Dividend	J	T	Buy	03/05/12	J		
206. PERMANENT PORTFOLIO FD PRPFX	A	Distribution	L	T	Sold (part)	11/01/12	J	A	
207.	A	Dividend							
208. SECURITY EQUITY FD MID CAP VALUE SEVAX	B	Distribution	K	T					
209.									
210. STRATTON SMALL CAP VALUE STSCX	A	Distribution	J	T	Buy	03/05/12	J		
211.	A	Dividend							
212. VANGUARD INTER TERM BOND FUND VBHIX	A	Dividend	K	T					
213.	A	Distribution							
214. -----									
215. Trust #1									
216. CALIFORNIA BANK & TRUST -- DEPOSIT ACCOUNTS	A	Interest	L	T					
217. amended: BANK OF AMERICA, N.A.	A	Interest	M	T	Open	11/09/12	M		
218. US GOVERNMENT BONDS	E	Interest	M	T					
219. METROPOLITAN LIFE INSURANCE PROCEEDS	B	Interest			Matured	11/09/12	M		
220. -----									
221. Estate #1		None			Closed	12/31/12			All Assets in Trust #1

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

Part VII, Line 135 -- Global X Funds China Consumer CHIQ -- All shares were sold in 2011. November 23, 2011 sale of the remaining shares of this fund erroneously left off of 2011 Report

Part VII, Line 221 - Estate 1. No probate opened and no estate assets to be administered. All assets are part of Trust 1 and administered through the Trust.

November 6, 2013 Amendment

Part VII

Line 12 -- Opening date of deposit account shown for proceeds of sale.

Line 29 -- Opening date of deposit account shown for proceeds of sale.

Line 51 -- Opening date of deposit account shown for proceeds of sale.

Line 155, 156 -- Item on 155 listed in error. Duplicate of funds listed on lines 92 and 93 of Part VII.

Line 127 -- Opening date of deposit account shown for insurance proceeds from Line 219.

From 2011 Report

2011 Report Line 58 MidCap 400 Index Fund was renamed IShares Core S&P MidCap ETF listed on line 78 of 2012 original and November 6, 2013 amended report.

2011 Report Line 59 IShares TR S&P SmallCap 600 Indx FD was renamed IShares Core S&P SmallCap ETF listed on line 75 of 2012 original and November 6, 2013 amended report.

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Name of Person Reporting

Sargis, Ronald H.

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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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One Columbus Circle, N.E.
Washington, D.C. 20544