

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Sachs, Howard F.	2. Court or Organization Western District of Missouri	3. Date of Report 10/01/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address U.S. Courthouse 400 East 9th Street, Suite 7462 Kansas City, Mo. 64106		
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. Co-Trustee, Irrevocable Trust B	See Explanation
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.)*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. _____

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.)*SOURCEDESCRIPTIONVALUE

1.

2.

3.

4.

5.

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

1.

2.

3.

4.

5.

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Commerce Bank	A	Interest	K	T					
2. United Missouri	A	Interest	K	T					
3. Commerce Money Market-IRA (Financial Square)	A	Interest	J	T					
4. Commerce Bond Fund-IRA	D	Interest	N	T					
5. Wells Fargo Bonds (Advantage Int. Bond)	A	Dividend	J	T					
6. iShares Treasury Inflation	A	Dividend	K	T					
7. Pimco Emerging Local Bd Fund	A	Dividend			Sold	12/13/13	J	A	
8. Vanguard Intermed, Term Corp. Fund #71	B	Dividend	K	T					
9. Vanguard Total Bond Market Index Fund Sig	A	Dividend			Sold	12/13/13	K	A	
10. Wells Fargo Bank	A	Interest	J	T					
11. Franklin US Govt Fd CL C (FRUGX)	C	Dividend	L	T					
12. Templeton Global Bond Fund CL C	C	Dividend	L	T					
13. Empire District Electric Co. (EDE)	B	Dividend	K	T					
14. Amer. Cap. Strat-(ACAS)	A	Dividend	J	T					
15. Blackrock Health Sc. Trust (BME)	B	Dividend	K	T					
16. Mut Ser FD Inc. Discovery Fund (TEDSX)	A	Dividend	K	T					
17. First Trust - FGB	B	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 \$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. Nuveen Mo Bonds	C	Interest	M	T					
19. Commerce MO Bonds (TA)	C	Interest	L	T					
20. Manulife (Hancock)	B	Dividend	K	T					
21. Metlife	A	Interest	K	T					
22. Commerce MO tax free bond fund - TB	B	Interest	K	T	Sold (part)	10/15/13	M	A	
23. Nuveen MO Bonds -TB	C	Interest			Sold	10/07/13	M	C	
24. Blackrock Small Cap Growth Equity (High Yield) - IRA	B	Dividend	K	T					
25. iShares Russell Midcap Value Ind. Fund - TB	A	Dividend	J	T					
26. iShares Russell 1000 Growth Ind. Fund -TB	A	Dividend	K	T					
27. iShares Russell 1000 Value Ind. Fund -TB	A	Dividend	K	T					
28. iShares Russell 2000 Value Ind. Fund -TB	A	Dividend	J	T					
29. Morgan Stanley Inst. Fund TB Trust Mid-Cap Gro. Port.	A	Dividend	K	T					
30. Vanguard Emerg. Mkt. Vipers -Btf-TB	A	Dividend	K	T					
31. Vanguard (ETF) TB	A	Dividend	J	T					
32. Pimco Commodity Realreturn-TB	A	Dividend			Sold	10/07/13	J	A	
33. Financial Square Treasury obligations-TB (See explanation)	A	Interest			Sold	10/31/13	K		
34. TR Price New Horizons TB	A	Interest	J	T					

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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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Legg Mason Clearbridge	A	Interest	J	T					
36. AP & JHSachs secured note-TB-Lotawana	D	Interest	M	T	Buy	10/14/13	M		AP&JH Sachs

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

Re:

Part I

Death [REDACTED], caused splitting of "jointly held" assets, termination of joint revocable trust, creation of irrevocable Trust B, with transfers in August 2009 to Commerce Bank as co-trustee with primary investment responsibilities.

Part VII

Item 3 previously included in error (small denomination matured bonds lost or misplaced at least ten years ago)

Item 7 per IRA monthly report managed by Commerce Trust Co.name change eff. Jul. 12, 2013

Item 32 per monthly reports of Irrevocable Trust B name change eff. May 30, 2013

Item 34 represents periodic deposits by co-trustee - similar to bank account for income from sales, interest and dividends.

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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/ **Howard F. Sachs**

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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