

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 U.S. Bankruptcy Court, Eastern District of California	3. Date of Report 06/29/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article I Bankruptcy Judge, Full-Time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address U.S. Bankruptcy Court, Eastern District of California 501 I Street, Suite 3-200 Sacramento, CA 95864		
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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Name of Person Reporting

Sargis, Ronald H.

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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. 2019	University of Pacific, McGeorge School of Law -- Co-Teaching Bankruptcy Course	\$3,087.00
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. 2019	State of California, California Department of Public Health --- Retired Annuitant Salary
2. 2019	CalPERS - State of California Retirement
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.	Loyola Law School	06/06/2019	Los Angeles, Cal	Cal-9th Cir Joint Judicial Council Presentation at Journalist Law School Program	Airfare, Car Rental, Airport Parking
2.	California Bankruptcy Forum	05/17-19/2019	Palm Springs, Cal	Annual Forum Educational Conference	Airfare, Car Rental, Hotel, Airport Parking
3.	California Association of Collectors	07/13-15/2019	San Diego, Cal	Annual Conference, Educational Panel Presentation	Airfare, Uber, Hotel, Airport Parking
4.					

Name of Person Reporting Sargis, Ronald H.	Date of Report 06/29/2020
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5. _____

Name of Person Reporting	Date of Report
Sargis, Ronald H.	06/29/2020

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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Name of Person Reporting

Sargis, Ronald H.

Date of Report

06/29/2020

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	O	W					
2. Bank of America Demand Accounts	A	Interest	J	T					
3. Golden 1 Credit Union Demand Account	A	Interest	J	T					
4. Bank of the West Demand Account	A	Interest	J	T					
5. State Farm Whole Life Insurance	A	Interest	J	T					
6. Mineral Rights, Livingston, CA		None	J	W					
7. (H) XXXXXXXX XXXXXX									
8. (H) BROKERAGE ACCOUNT #1									
9. Merrill Lynch Direct Deposit (Cash Account)	A	Int./Div.	J	T					
10. Adient PLC SHS -- ADNT		None	J	T					
11. Johnson Controls Inter -- JCI	A	Dividend	J	T					
12. Mallinckrodt PLC -- MNK (X)		None	J	T					
13. Medtronic PLC -- MDT (fka Covidien PLC)	A	Int./Div.	J	T					
14. Nokia Corp -- NOK	A	Int./Div.	J	T					
15. Oracle Corp -- ORCL	B	Int./Div.	M	T	Sold (part)	04/09/19	K	D	
16. Pentair PLC -- PNR	A	Int./Div.	J	T					
17. NVENT Elec PLC Reg	A	Int./Div.	J	T	Spinoff (from line 16)	01/01/19	J		See Part VIII, Note 1

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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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)
18. Sirius SM -- SIRI	A	Int./Div.	J	T					
19. TE Connectivity -- TEL	A	Int./Div.	J	T					
20. (H) XXXXXXXXXX									
21. (H) BROKERAGE ACCOUNT #3									
22. Insured Bank Deposit U.S. Bank	A	Int./Div.	J	T					
23. Dreyfus Technology Growth -- DTGRX	A	Distribution	J	T					
24. (H) Investments Completed Disposed of									
25. Gateway CL C Reinvestments -- GTECX	A	Int./Div.			Sold	10/28/19	J	B	
26. (H) XXXXXXXXXX									
27. (H) BROKERAGE ACCOUNT #8 IRA ROLLOVER									See Part VIII Note 2
28. General MMKT Class A Cash Fund	A	Int./Div.			Closed	10/28/19	J		
29. First Trust Senior Loan Fund - FTSL	A	Dividend			Sold	03/07/19	J		
30. First Trust Utilities Alphadex -- FXU	A	Dividend			Sold (part)	02/25/19	J	A	
31.					Sold (part)	04/22/19	J	A	
32.					Sold (part)	04/26/19	J	A	
33.					Sold (part)	07/22/19	J	A	
34.					Sold	09/03/19	J	A	

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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	
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	

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35. Consumer Discretionary Select Sector SPDR ETF - XYL	A	Dividend			Sold (part)	04/26/19	J		
36.					Buy (add'l)	09/03/19	J		
37.					Sold	10/28/19	J	A	
38. Global X US Infrastructure Dev. ETF -- PAVE	A	Dividend			Sold (part)	02/25/19	J	A	
39.					Sold (part)	04/22/19	J	A	
40.					Sold (part)	04/26/19	J	A	
41.					Sold (part)	07/22/19	J	A	
42.					Sold	10/28/19	K	C	
43. Goldman Sachs Activebeta US Large Cap Equity ETF -- GSLC	A	Dividend			Sold (part)	02/25/19	J	A	
44.					Sold (part)	04/22/19	J	A	
45.					Sold (part)	04/26/19	J	A	
46.					Sold (part)	07/22/19	J	A	
47.					Buy (add'l)	09/03/19	J		
48.					Sold	10/28/19	K	D	
49. Ishares MSCI Australia ETF -- EWA	A	Dividend			Sold (part)	02/25/19	J	A	
50.					Sold (part)	04/22/19	J	A	
51.					Sold (part)	04/26/19	J	A	

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

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

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52.					Sold (part)	07/22/19	J	A	
53.					Sold	10/28/19	J	A	
54. Ishares MSCI Canada ETF-EWC	A	Dividend			Sold (part)	02/25/19	J	A	
55.					Sold (part)	04/22/19	J	A	
56.					Sold (part)	04/26/19	J	A	
57.					Sold (part)	07/22/19	J	A	
58.					Sold	10/28/19	J	A	
59. Ishares Core MSCI EAFE ETF - IEFA	A	Dividend			Sold (part)	02/25/19	J	A	
60.					Sold (part)	04/22/19	J	A	
61.					Sold (part)	04/26/19	J	A	
62.					Buy (add'l)	05/30/19	J		
63.					Sold (part)	06/21/19	J	A	
64.					Sold (part)	07/22/19	J	A	
65.					Sold	10/28/19	K	B	
66. Ishares Core MSCI Emerging Markets ETF -- IEMG	A	Dividend			Buy (add'l)	01/09/19	J		
67.					Sold (part)	02/25/19	J		
68.					Sold (part)	04/22/19	J	A	

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

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

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

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Name of Person Reporting

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69.					Sold (part)	04/26/19	J	A	
70.					Sold (part)	06/21/19	J	A	
71.					Sold (part)	07/22/19	J	A	
72.					Sold (part)	08/15/19	J		
73.					Sold	10/28/19	J	C	
74. Ishares Core S&P 500 ETF -- IVV	A	Dividend			Sold (part)	02/25/19	J		
75.					Sold (part)	03/07/19	J	A	
76.					Sold (part)	04/26/19	J		
77.					Buy (add'l)	05/30/19	J		
78.					Sold (part)	07/22/19	J	A	
79.					Sold	10/28/19	J	C	
80. Ishares Technology ETF -- IYW	A	Dividend			Sold (part)	02/25/19	J	A	
81.					Sold (part)	04/22/19	J	A	
82.					Sold (part)	04/26/19	J	A	
83.					Sold (part)	07/22/19	J	A	
84.					Sold	10/28/19	K	C	
85. Ishares MSCI EAFE ETF - EFA	A	Dividend			Sold (part)	02/25/19	J	A	

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86.					Sold (part)	04/22/19	J	A	
87.					Sold (part)	07/22/19	J	A	
88.					Sold	10/28/19	J	A	
89. Ishares MSCI EAFE Growth ETF - EFG	A	Dividend			Sold (part)	02/25/19	J	A	
90.					Sold (part)	04/22/19	J	A	
91.					Sold (part)	04/26/19	J	A	
92.					Sold (part)	07/22/19	J	A	
93.					Sold	10/28/19	J	D	
94. Ishares U S Medical Devices ETF - IHI	A	Dividend			Sold (part)	02/25/19	J	A	
95.					Sold (part)	04/26/19	J	A	
96.					Sold	10/28/19	J	D	
97. Ishares MSCI All Country Asia Ex Japan - AAXJ		None			Sold (part)	04/22/19	J	A	
98.					Sold (part)	04/26/19	J	A	
99.					Sold	05/30/19	J	A	
100. Ishares U S Financial Services ETF - IYF	A	Dividend			Sold (part)	05/25/19	J	A	
101.					Sold (part)	04/22/19	J	A	
102.					Sold (part)	04/26/19	J	A	

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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S =Assessment

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103.					Sold	10/28/19	J	B	
104. Ishares Core S&P Small Cap ETF -- IJR	A	Dividend			Buy (add'l)	01/23/19	J		
105.					Sold (part)	02/25/19	J	A	
106.					Sold (part)	04/22/19	J	A	
107.					Sold (part)	04/26/19	J	A	
108.					Sold (part)	07/22/19	J	A	
109.					Sold	09/03/19	J		
110. Ishares U S Consumer Goods ETF - IYK	A	Dividend			Sold (part)	02/25/19	J	A	
111.					Sold (part)	04/22/19	J	A	
112.					Sold (part)	04/26/19	J	A	
113.					Sold	10/28/19	J	A	
114. Invesco Aerospace & Defense - PPA	A	Dividend			Sold (part)	04/22/19	J	A	
115.					Sold (part)	04/26/19	J	A	
116.					Sold	10/28/19	J	B	
117. Invesco QQQ EFT - QQQ	A	Dividend			Sold (part)	04/22/19	J	A	
118.					Sold (part)	07/22/19	J	A	
119.					Sold	10/28/19	J	C	

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.

Date of Report

06/29/2020

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. Invesco Exchange S&P 500 Equal Weight Energy -- RYE	A	Dividend			Sold (part)	02/25/19	J		
121.					Sold (part)	04/22/19	J	A	
122.					Sold (part)	07/22/19	J	A	
123.					Sold	10/28/19	J		
124. Oppenheimver Russell 1000 Dynamic Multifactor	A	Dividend			Buy	03/07/19	J		
125.					Sold (part)	04/22/19	J	A	
126.					Sold (part)	04/26/19	J	A	
127.					Distributed	05/28/19	J		See Part VII - Note 3
128. Invesco Russell 1000 Dynamic Multifactor	A	Dividend			Spinoff (from line 127)	05/28/19	J		
129.					Sold (part)	07/22/19	J		
130.					Sold	10/28/19	J	A	
131. Invesco Exchange FTSE RAFI Emerging Market ETF - PXH	A	Dividend			Sold (part)	02/25/19	J	A	
132.					Sold (part)	04/22/19	J	A	
133.					Sold (part)	04/26/19	J	A	
134.					Sold	05/30/19	J	A	
135. JP Morgan Betabuilders Japan ETF - BBJP		None			Sold (part)	02/25/19	J		
136.					Sold (part)	04/22/19	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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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
137.					Sold (part)	04/26/19	J		
138.					Sold (part)	07/22/19	J		
139.					Sold	10/28/19	J	A	
140. JP Morgan Diversified Return Intl Equity ETF	A	Dividend			Buy	03/07/19	J		
141.					Sold (part)	04/22/19	J	A	
142.					Sold (part)	04/26/19	J	A	
143.					Sold (part)	05/30/19	J		
144.					Sold (part)	07/22/19	J	A	
145.					Sold	10/28/19	J	A	
146. Sector Healthcare Select Sector SPDR ETF- XLV	A	Dividend			Sold (part)	02/25/19	J	A	
147.					Sold (part)	04/22/19	J		
148.					Sold (part)	04/26/19	J	A	
149.					Sold (part)	07/22/19	J	A	
150.					Sold	10/28/19	J	A	
151. Sector Financial Select Sector SPDR ETF - XLF	A	Dividend			Sold (part)	02/25/19	J	A	
152.					Sold (part)	04/22/19	J	A	
153.					Sold (part)	04/26/19	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
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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Name of Person Reporting

Sargis, Ronald H.

Date of Report

06/29/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
154.					Sold (part)	07/22/19	J	A	
155.					Sold	10/28/19	J	B	
156. SPDR Blackstone GSO SR LN - SRLN	A	Dividend			Sold (part)	02/25/19	J		
157.					Sold	03/07/19	J		
158. Vaneck Vectors JPM Emerg Mkts Loc Currency BD New ETF	A	Dividend			Buy	01/09/19	J		
159.					Sold (part)	04/22/19	J		
160.					Sold (part)	04/26/19	J		
161.					Sold (part)	07/22/19	J		
162.					Sold	10/28/19	J	A	
163. Vanguard Large Cap ETF - VV		None			Sold (part)	01/23/19	J	C	
164.					Sold (part)	02/25/19	J	A	
165.					Sold (part)	04/22/19	J	A	
166.					Sold (part)	04/26/19	J	A	
167.					Sold (part)	07/22/19	J	A	
168.					Sold	10/28/19	J	C	
169. Wisdomtree Japan Small Cap Dividend ETF - DJF		None			Sold (part)	02/25/19	J		
170.					Sold	03/07/19	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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Name of Person Reporting

Sargis, Ronald H.

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06/29/2020

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. Ishares 20+ Treasury Bond ETF - TLT	A	Dividend			Sold	03/19/19	J	A	
172. Ishares 10-20 Yr Treasury Bond ETF - TLH	A	Dividend			Sold (part)	04/26/19	J	A	
173.					Sold	08/15/19	J	A	
174. Pimco Investment Grade Corporate Bond Index ETF - COPR	A	Dividend			Sold (part)	02/25/19	J		
175.					Sold (part)	04/22/19	J	A	
176.					Sold (part)	04/26/19	J	A	
177.					Sold (part)	07/22/19	J	A	
178.					Sold	08/15/19	J	A	
179. Vanguard Total Bond Market ETF - BND	A	Dividend			Sold (part)	02/25/19	J	A	
180.					Buy (add'l)	03/07/19	J		
181.					Buy (add'l)	03/19/19	J		
182.					Sold (part)	04/22/19	J	A	
183.					Sold (part)	04/26/19	J	A	
184.					Sold (part)	07/22/19	J	A	
185.					Buy (add'l)	08/15/19	J		
186.					Sold	10/28/19	J	A	
187. Vanguard Short Term Corporate Bond Fund	A	Dividend			Buy	08/15/19	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		

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
188.					Sold	10/25/19	J	A	
189. Vanguard Intermediate Term Treasury Index	A	Dividend			Sold (part)	01/09/19	J	A	
190.					Sold (part)	02/25/19	J	A	
191.					Sold (part)	04/22/19	J	A	
192.					Sold (part)	04/26/19	J	A	
193.					Sold (part)	07/22/19	J	A	
194.					Sold	10/28/19	J	A	
195. (H) XXXXXXXXXX									
196. (H) Brokerage Account 9 IRA Rollover									
197. CASH/MMONEY MARKET -- RW Baird Genal MMKt Class A	A	Int./Div.	K	T					
198. Blackrock Event Driven Equity Instl CL Reinvestments - BILPX	B	Dividend	L	T	Buy	10/28/19	L		
199. Blackrock Strategic Income OpptyS BSIXX	C	Dividend	L	T					
200. Bluerock Total Income Plus Real Estate - TIPWX	A	Dividend	L	T	Buy	10/29/19	L		
201. Cullen High Dividend Equity - CHDVX	A	Dividend	L	T	Buy	10/28/19	L		
202.	B	Distribution							
203. Davis Global - DGFYX	B	Dividend	L	T	Buy	10/28/19	L		
204. FMI Instl - FMIYX	C	Dividend	L	T	Buy	10/28/19	L		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

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

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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Name of Person Reporting

Sargis, Ronald H.

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06/29/2020

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. Ishares Russell 1000 Growth EFT IWF	B	Dividend	L	T					
206. Ishares Russell Mid Cap - IWR	A	Dividend	J	T	Sold (part)	10/28/19	J	C	
207.					Buy (add'l)	12/20/19	J		
208. Oakmark Intl	B	Dividend	L	T					
209. Principal Mid Cap Instl - PCBIX	A	Dividend	K	T	Sold (part)	10/28/19	K	D	
210.	B	Distribution							
211. Principal Global Diversified Income PGPDX	B	Dividend	K	T	Buy (add'l)	10/29/19	J		
212. SPDR Series Trust S&P Dividend SDY	B	Dividend	L	T					
213. Sterling Capital Stratton Small Cap STSCX	C	Distribution	K	T					
214. Eaton Vance Global Macro Absolute Return EIGMX	C	Dividend	K	T	Buy (add'l)	10/29/19	J		
215. Loomis Sayles Bond Instl LSBDX	B	Dividend	K	T					
216. Templeton Global Bond Advisor TGBAX	C	Dividend	L	T					
217. Vanguard Short Term Investment Grade Admiral --VFSUX	A	Dividend	K	T	Sold (part)	08/16/19	J	A	
218. Western Asset Core Bond	A	Dividend	J	T	Buy	10/29/19	K		
219. (H) -----									
220. (H) Acct 9 Investments Completely Disposed of in 2019 From Account 9									
221. Advisory Research MLP & Energy Income INFIX	C	Dividend			Sold (part)	06/19/19	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		

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
222.					Sold	10/28/19	K		
223. Gateway CL A Reinvestments GTEYX	A	Dividend			Sold (part)	07/18/19	J	A	
224.					Sold (part)	09/18/19	J	A	
225.					Sold (part)	10/15/19	J	A	
226.					Sold	10/28/19	K	C	
227. (H) XXXXXXXXXX									
228. (H) Trust #1									
229. Bank of America -- Deposit Accounts	A	Interest	J	T					
230. US Goverment Bonds	A	Interest	M	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

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

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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

Note 1: Part VII Line 18 - NVENT Elec PLC was a 5 share spin off from Pentair PLC on April 30, 2018 that was reported as a dividend by Merrill. The value as of May 2018 was \$135.40. As of December 31, 2019 the value of the five (5) shares is stated to be \$127.90. Though of di minimis value, because the Merrill Account statements list this dividend as five (5) shares of stock, these five (5) shares of stock resulting from the dividend in 2018 are now separately reported so they may be tracked and any increases in value properly reported.

Note 2: Part VII Line 27 - Brokerage Account No. 8 IRA was closed and the proceeds from disposition of assets were transferred int Brokerage Account No. 9 IRA.

Note 3: Part VII Line 127 - The Oppenheimer Russell 1000 Dynamic shares were exchanged for the Invesco Russell 1000 Dynamic Multifactor shares.

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544