

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) Nugent, Robert E.	2. Court or Organization District of Kansas	3. Date of Report 10/09/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☒ Amended Report	
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. President	Kansas University Alumni Association Wichita Network
2. Advisory Board Member	Wichita YMCA East Branch
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

Nugent, Robert E.

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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.			
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. 1-12/19		
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.	Kansas Bar Association	4/11/2019	Topeka, KS	KBA Bky Seminar	travel
2.					
3.					
4.					
5.					

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Nugent, Robert E.	10/09/2020

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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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 #1)	A	Int./Div.	J	T					
3. --American HI Trust #2	A	Int./Div.			Sold (part)	02/26/19	K	A	
4.					Sold (part)	05/13/19	L	A	
5.					Buy	06/20/19	K		
6.					Sold	08/15/19	K	A	
7. --BlackRock HY Bond	A	Int./Div.	K	T	Sold (part)	02/26/19	K	A	
8.					Sold (part)	05/13/19	J	A	
9.					Buy (add'l)	06/20/19	K		
10.					Sold	08/15/19	K	A	
11.					Buy	09/10/19	K		
12. --Columbia HY Bond	A	Int./Div.	K	T	Sold (part)	02/26/19	K	A	
13.					Sold (part)	05/13/19	K	A	
14.					Buy (add'l)	06/20/19	K		
15.					Sold	08/15/19	K	A	
16.					Buy	09/10/19	K		
17. Fid Adv HI Fd Cl I	A	Int./Div.	K	T	Buy	09/10/19	K		

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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18. --JP Morgan HY Bond	A	Int./Div.	K	T	Sold (part)	02/26/19	K	A	
19.					Sold	05/13/19	K	A	
20.					Buy	06/20/19	K		
21.					Sold (part)	08/15/19	K	A	
22.					Buy	09/10/19	K		
23. --Northern HY Fixed Inc	A	Int./Div.			Sold (part)	02/26/19	K	A	
24.					Sold	05/13/19	K	A	
25. --TIAA-CREF HY Fund	A	Int./Div.			Sold (part)	02/26/19	K	A	
26.					Sold	05/13/19	L	A	
27. R/O IRA #1A (H)									
28. --Fidelity Gov't MM Daily Money Fund (R/ O IRA #1A)	A	Int./Div.	J	T					
29. --Am Cent Eq Inc	A	Int./Div.	K	T	Buy	03/01/19	K		
30. --William Blair Small Mid Cap Grth	A	Int./Div.			Sold	03/01/19	J	A	
31. --Core Fixed Income	A	Int./Div.			Sold (part)	03/01/19	J	A	
32.					Sold	08/15/19	J	A	
33. --Federated Strat Income	A	Int./Div.			Sold	03/01/19	J	A	
34. --Fid Small Cap Idx	A	Int./Div.	K	T	Buy	03/01/19	J		

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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. --Fid Covington TR VLU ETF	A	Int./Div.	K	T	Buy	03/01/19	J		
36.					Buy (add'l)	03/01/19	J		
37. --Fid Adv Growth Opp	A	Int./Div.	K	T	Buy	03/01/19	K		
38. --Horizon Def'd Risk	A	Int./Div.	J	T	Buy	03/01/19	J		
39. --Horizon Active Risk	A	Int./Div.	J	T	Buy	03/01/19	J		
40.					Buy (add'l)	03/01/19	J		
41. --Horizon Active Asset Alloc					Sold	03/01/19	J	A	
42. --Am Cent High Income	A	Int./Div.	J	T	Buy	03/01/19	J		
43. --JPM Hedged Equity Fund SEL	A	Int./Div.	J	T	Buy	03/01/19	J		
44. --Invesco Act Mg'd ETF	A	Int./Div.	J	T	Buy	08/02/19	J		
45. --JP Morgan ETF Ultra Sht	A	Int./Div.			Buy	03/01/19	J		
46.					Sold	08/02/19	J	A	
47. --Prudential HY Z	A	Int./Div.			Buy	03/01/19	K		
48.					Buy (add'l)	08/15/19	K		
49.					Sold	08/15/19	K	A	
50. --Pru GIM	A	Int./Div.			Buy	08/15/19	K		
51.					Sold	08/26/19	K	A	

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52. --PIMCO Income	A	Int./Div.			Sold	03/01/19	J	A	
53. --PIMCO Corp and Inc	A	Int./Div.			Buy	03/01/19	J		
54.					Sold	08/15/19	J		
55. --IShares TR Russell	A	Int./Div.			Sold	03/01/19	J	A	
56. --IShares Inc Min Vol GBL	A	Int./Div.	K	T	Buy	03/01/19	K		
57. --SPDR S&P 600 Small Cap	A	Int./Div.			Sold	03/01/19	J	A	
58. Trans Am Flex Inc	A	Int./Div.	J	T	Buy	03/01/19	J		
59.									
60. Roth IRA(H)									
61. --United Development Funding IV	A	Int./Div.	J	T					
62.									
63. R/O IRA #2 (H)									
64. --Fidelity Gov't MM Daily Money Fund (R/O IRA)	A	Int./Div.	K	T					
65. --American Funds Fundamental Inv.	C	Int./Div.	K	T					
66. --American Funds Growth	C	Int./Div.	K	T					
67. --AmFunds Income Fund America	B	Int./Div.	K	T					
68.									

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69. Simple IRA #1 (H)									
70. --American Funds as below:									
71. --American Mutual Fund A	B	Int./Div.	J	T	Buy (add'l)	01/08/19	J		
72.					Buy (add'l)	05/06/19	J		
73.					Buy (add'l)	12/09/19	J		
74. --American Mutual Fund C	A	Int./Div.	K	T					
75. --Fundamental Investors	B	Int./Div.	J	T	Buy (add'l)	01/08/19	J		
76.					Buy (add'l)	06/03/19	J		
77.					Buy (add'l)	07/08/19	J		
78.					Buy (add'l)	08/15/19	J		
79.					Buy (add'l)	09/09/19	J		
80.					Buy (add'l)	10/07/19	J		
81.					Buy (add'l)	11/18/19	J		
82. --Capital Income Builder	B	Int./Div.	K	T					
83. --Growth Fund of America A	A	Int./Div.	J	T	Buy	04/15/19	J		
84. --Growth Fund America C	B	Int./Div.	K	T					
85. --Capital World Growth	A	Int./Div.	K	T	Buy (add'l)	02/11/19	J		

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86.									
87. Emprise Bank Cash Accounts	A	Interest	J	T					
88. CrossFirst Bank Cash Accounts	B	Interest	M	T					
89. Citizens Bank Saving	A	Interest	J	T					
90. Learning Quest 529 Fund Short-term (American Century)	A	Int./Div.	J	T					
91. Vanguard MMA	A	Dividend	J	T					
92. Northwestern Mutual Whole Life #1	A	Dividend	K	T					
93. Northwestern Mutual Whole Life #2	A	Dividend	K	T					
94. Northwestern Mutual Whole Life #3	A	Dividend	J	T					
95. Realty LLC	G	Distribution	K	U					
96. Emerald Farms--X	E	Distribution	N	W					
97.									
98. Bulls & Bears Investment Club (H)--see Part VIII									
99. --Alphabet A	A	Int./Div.	J	T					
100. --Alphabet C	A	Int./Div.	J	T					
101. --Amazon	A	Int./Div.	J	T					
102. --Apple	A	Int./Div.	J	T					

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103. --Amgen	A	Int./Div.	J	T					
104. --Bank of America	A	Int./Div.	J	T					
105. --Boeing	A	Int./Div.	J	T					
106. Citi--X	A	Int./Div.	J	T					
107. --Dow Dupont--X	A	Int./Div.			Sold	02/13/19	J	A	
108. --General Dynamics	A	Int./Div.	J	T					
109. --Gray TV--X	A	Int./Div.	J	T					
110. --Northrup Grumman	A	Int./Div.	J	T					
111. --Illumina Inc--X	A	Int./Div.			Sold	07/12/19	J	A	
112. --JP Morgan	A	Int./Div.	J	T					
113. --Micron--X	A	Int./Div.	J	T					
114. --Microsoft--X	A	Int./Div.	J	T					
115. --Northrup Grumman--X	A	Int./Div.	J	T					
116. --OKTA Inc	A	Int./Div.	J	T					
117. --Phillips 66	A	Int./Div.	J	T					
118. --Raytheon	A	Int./Div.	J	T					
119. --Spirit Aviation	A	Int./Div.	J	T					

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120. --Union Pacific	A	Int./Div.	J	T					
121. --Walt Disney	A	Int./Div.	J	T	Buy	04/10/19	J		
122. --Williams Co	A	Int./Div.	J	T					
123.									

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Nugent, Robert E.

Date of Report

10/09/2020

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

Part 7--Bulls & Bears Investment Club: The following assets were not of reportable amounts before 2019, but appreciated such that they became reportable as of 12/31/19: Citi, Gray Television, Micron, Microsoft, and Northrup Grumman. Illumina was acquired prior to 2019, but was not of reportable value until July of 2019 when the club's position was sold in a reportable amount.

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Nugent, Robert E.

Date of Report

10/09/2020

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
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Washington, D.C. 20544