

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) Sachs, Howard F.	2. Court or Organization Western District of Missouri	3. Date of Report 12/13/2017
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 01/01/2016 to 12/31/2016
7. Chambers or Office Address U.S. Courthouse 400 East 9th Street, Suite 6452 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, Revocable Trust A	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.)*

<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.		

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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	L	T					
2. UMB Bank	A	Interest	L	T					
3. Commerce IRA (Financial Square)	A	Interest	J	T					
4. Commerce Bond Fund-IRA	D	Interest	N	T					
5. Wells Fargo Bank - TA	A	Interest	J	T					
6. Franklin US Govt Fd CL C (FRUGX) - TA	C	Dividend			Sold	07/25/16	L		
7. Templeton Global Bond Fund CL C - TA	B	Dividend			Sold	07/25/16	L		
8. Empire District Electric Co. (EDE) - TA	B	Dividend			Sold	07/18/16	K		
9. Amer. Cap. Strat-(ACAS) - TA	A	Dividend			Sold	07/27/16	J		
10. Blackrock Health Sc. Trust (BME) - TA	C	Dividend			Sold	07/27/16	L		
11. Mut Ser FD Inc. Discovery Fund (TEDSX)	A	Dividend			Sold	07/25/16	K		
12. First Trust FGB - TA	B	Dividend			Sold	09/23/16	J		
13. Nuveen Mo Bonds	C	Interest	M	T					
14. Commerce Mo Bonds - TA	C	Interest	L	T					
15. Manulife Common Stock - TA	B	Dividend	L	T					
16. Metlife Total Control Account	A	Interest	K	T					
17. Commerce Mo tax free bond fund - TB	C	Interest	M	T	Buy	08/30/16	L		

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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☐ 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)

18. Blackrock Small Cap Growth Equity (High Yield) - IRA	A	Dividend	K	T					
19. iShares Russell Midcap Value Ind. Fund-TB	A	Dividend	J	T					
20. iShares Russell 1000 Growth Ind. Fund-TB	A	Dividend	L	T					
21. iShares Russell 1000 Value Ind. Fund-TB	B	Dividend	K	T					
22. iShares Russell 2000 Value Ind. Fund-TB	A	Dividend			Sold	09/01/16	J		
23. Morgan Stanley Inst. Fund Trust Mid-Cap Gro. Port. - TB	A	Dividend			Sold	06/01/16	J		
24. Vanguard Emerg. Mkt. Vipers-Btf-TB	A	Dividend			Sold	06/03/16	J		
25. Vanguard Dev. (ETF) TB	A	Dividend	J	T					
26. TR Price New Horizons TB	A	Interest	J	T					
27. (Legg Mason) Clearbridge Small Cap - TB	A	Interest	J	T					
28. AQR Managed Futures Strategy Fund I - TA (see also Line 46)	A	Dividend	J	T	Buy	07/25/16	J		
29. Baird Aggregate Bond Fund Is -TA	A	Interest	K	T	Buy	07/25/16	K		
30. Commerce Bond Fund - TA	B	Interest	L	T	Buy	07/25/16	L		
31. Dodge & Cox Income Fund - TA	A	Interest	K	T	Buy	07/25/16	K		
32. Eagle Small Cap Growth Fund I - TA	A	Interest	J	T	Buy	07/25/16	J		
33. Fidelity Advisor Emerging Markets - TA	A	Interest	J	T	Buy	07/25/16	J		
34. Clearbridge Small Cap - TA	A	Interest	J	T	Buy	07/25/16	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. MFS Research Intl Fund I - TA (see also Line 53)	A	Dividend	K	T	Buy	07/25/16	J		
36. Pimco Emerging Mkts Bond Fund Ins - TA	A	Interest	J	T	Buy	07/25/16	J		
37. Robeco Boston Partners Long/Short - TA (see also Line 62)	A	Dividend	J	T	Buy	07/25/16	J		
38. T Rowe Price Overseas Stock Fund I - TA	A	Interest	J	T	Buy	07/25/16	J		
39. TIAA-CREF Large Cap Value Index Fund - TA	A	Interest	K	T	Buy	07/25/16	K		
40. Vanguard REIT Index Fund Adm - TA	A	Interest	J	T	Buy	07/25/16	J		
41. Vanguard Morgan Growth Fund Ad - TA (see also Line 57)	A	Interest	K	T	Buy	07/25/16	K		
42. Vanguard Intermediate Term Investment Grade Fund Adm - TA	A	Interest	K	T	Buy	07/25/16	K		
43. Wells Fargo Premier Large Growth Fund-Class Inst-TA (see also Line 58)	A	Interest	J	T	Buy	07/25/16	J		
44. iShares Russell Midcap Value ETF - TA	A	Interest	J	T	Buy	07/27/16	J		
45. Invesco Developing Mkts Fund R6 - TA	A	Interest	J	T	Buy	08/18/16	J		
46. AQR Managed Futures Strategy Fund I - TA	A	Dividend			Buy	08/18/16	J		
47. Artisan Mid Cap Fund-Ins - TA	A	Interest	J	T	Buy	08/18/16	J		
48. Blackrock High Yield Bond Portfolio - TA	A	Interest	J	T	Buy	08/18/16	J		
49. DFA US Targeted Value Portfolio - TA	A	Interest	J	T	Buy	08/18/16	J		
50. DFA Intl Small Company - TA	A	Interest	J	T	Buy	08/18/16	J		
51. Hartford Midcap Fund Y - TA	A	Interest	J	T	Buy	08/18/16	J		

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52. Lazard Emerging Mkts Equity Port - TA	A	Interest	J	T	Buy	08/18/16	J		
53. MFS Research Intl Fund I - TA	A	Dividend			Buy	08/18/16	J		
54. Swan Defined Risk Fund I - TA (see also Line 61)	A	Dividend			Buy	08/18/16	J		
55. Principal Global Multi Strategy Fund Inst - TA	A	Interest	J	T	Buy	08/18/16	J		
56. Prudential Jennison Mid Cap Growth Fund Inc Q - TA	A	Interest	J	T	Buy	08/18/16	J		
57. Vanguard Morgan Growth Fund - TA	A	Interest			Buy	08/18/16	J		
58. Wells Fargo Premier Large Co Growth Fund-Class Inst - TA	A	Interest			Buy	08/18/16	J		
59. JP Morgan Alerian MLP Index Etn - TA	A	Interest	J	T	Buy	09/23/16	J		
60. Swan Defined Risk Fund I - TA	A	Dividend			Sold	09/21/16	J		
61. Robeco Boston Partners Long/Short Research Fund - TA	A	Interest			Sold	09/21/16	J		
62. First Trust Specialty Finance and Financial Opportunities Fund - TA	A	Dividend			Sold	09/23/16	J		
63. Financial Square Treasury Govt Fund - TA	A	Interest	K	T					
64. Financial Square Treasury Govt Fund - TB	A	Interest	J	T	Sold (part)	08/31/16	M		
65. Artisan Mid Cap Fund Ins. - TB	A	Interest	J	T					
66. DFA US Targeted Value Portfolio - TB	A	Interest	J	T	Buy	08/30/16	J		
67. Hartford Mid Cap Fund Y - TB	A	Interest	J	T					
68. Prudential Jennison Mid Cap Growth Fund Inc Q - TB	A	Interest	J	T	Buy	08/30/16	J		

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69. DFA Intl Small Company - TB	A	Interest	J	T	Buy	09/01/16	J		
70. Invesco Developing Mkts Fund R6 - TB	A	Interest	J	T	Buy	08/30/16	J		
71. Lazard Emerging Mkts Equity Port - TB	A	Interest	J	T	Buy	08/30/16	J		
72. MFS Research Intl Fund I - TB	A	Interest	K	T	Buy	09/01/16	J		
73. Ivy Municipal High Income Fund I - TB	A	Interest	J	T	Buy	08/30/16	J		
74. T Rowe Tax Free - TB	A	Interest	J	T	Buy	08/30/16	J		
75. AQR Managed Futures Strategy Fund I -TB	A	Interest	J	T	Buy	08/30/16	J		
76. Robeco Boston Partners Long/Short Research Fund - TB	A	Interest	J	T					
77. Vanguard REIT Index Fund Adm - TB	A	Interest	J	T	Buy	08/30/16	J		
78. Causeway Emerging Markets Fund Is - TB	A	Interest			Buy	06/01/16	J		
79. Causeway Emerging Markets Fund Is -TB	A	Interest			Sold	08/30/16	J		
80. Commerce Bank - IRA					Distributed	12/01/16	K	E	
81. Vanguard Intermed, Term Corp. Fund #71 - TA	A	Dividend	K	T					

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

Part I

Death of [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. Bank became co-trustee of Trust A in 2016.

Part VII

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

All sales and purchases were by co-trustee bank, without participation and apparently not designed for specific trusts.

Columns left blank are not filled in to avoid duplication of assets or income.

Regarding Amended Report:

1.) "Amer. Cap. Strat-(ACAS)" previously listed in the (2015) report on line 10, is also correctly listed on line line 9 of the (2016) report as "Amer. Cap. Strat-(ACAS) - TA." It is noted that this asset was sold on July 27, 2016, and is noted on line 9 of the (2016) report. But, it was incorrectly repeated on line 60 of the (2016) report as "American Capital LTD-TA" and has been deleted on this Amended Report.

2.) "Vanguard Intermed, Term Corp. Fund #71" which was listed on line 5 of the (2015) report, was inadvertently left off of the (2016) report, and is now listed on line 81 of this Amended Report.

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