

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) Sachs, Howard F.	2. Court or Organization Western District of Missouri	3. Date of Report 08/12/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Sachs, Howard F.

Date of Report

08/12/2020

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.)

DATE

SOURCE AND TYPE

INCOME

(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.)

DATE

SOURCE 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.)

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

3.

4.

5.

Name of Person Reporting	Date of Report
Sachs, Howard F.	08/12/2020

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Sachs, Howard F.

Date of Report

08/12/2020

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)
1. Commerce Bank	A	Interest	K	T					
2. UMB Bank	A	Interest	K	T					
3. Commerce IRA (Financial Square)	A	Dividend	J	T					
4. Commerce Bond Fund-IRA	D	Dividend	M	T	Sold	09/30/19	K	B	
5. Nuveen Mo Bonds	C	Interest	M	T					
6. Commerce Mo Bonds	B	Interest	L	T					
7. Manulife Common Stock - TA	B	Dividend	L	T					
8. Metlife Total Control Account	A	Interest	K	T					
9. Commerce Mo tax free bond fund - TB	C	Dividend	M	T	Sold	03/22/19	J		
10. iShares Russell Midcap Value Ind. Fund-TB	A	Dividend	K	T	Buy	03/25/19	J		
11. iShares Russell 1000 Growth Ind. Fund-TB	A	Dividend	L	T	Buy	03/25/19	J		
12. iShares Russell 1000 Value Ind. Fund-TB	B	Dividend	L	T	Buy	03/25/19	J		
13. TR Price New Horizons TB	A	Dividend	J	T					
14. Baird Aggregate Bond Fund Is -TA	A	Dividend	K	T					
15. Dodge & Cox Income Fund - TA	A	Dividend	K	T					
16. Clearbridge Small Cap - TA	A	Dividend	J	T					
17. MFS Research Intl Fund I - TA	A	Dividend	K	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Sachs, Howard F.

Date of Report

08/12/2020

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)
18. Pimco Emerging Mkts Bond Fund Ins - TA	A	Dividend	J	T					
19. T Rowe Price Overseas Stock Fund I -TA	A	Dividend	J	T					
20. TIAA-CREF Large Cap Value Index Fund - TA	A	Dividend	K	T					
21. Vanguard Intermediate Term Investment Grade Fund Adm -IRA	A	Dividend	K	T					
22. iShares Russell Midcap Value ETF - TA	A	Dividend	K	T					
23. Artisan Mid Cap Fund-Ins - TA	A	Dividend	J	T					
24. Blackrock High Yield Bond Portfolio - TA	A	Dividend	J	T	Sold	10/2/19	J		
25. DFA US Targeted Value Portfolio - TA	A	Dividend	J	T					
26. DFA Intl Small Company - TA	A	Dividend	J	T					
27. Hartford Midcap Fund Y - TA	A	Dividend	J	T					
28. Lazard Emerging Mkts Equity Port - TA	A	Dividend	J	T					
29. Financial Square Treasury Govt Fund - TA	A	Dividend	K	T					
30. Financial Square Treasury Govt Fund - TB	A	Dividend	K	T					
31. Artisan Mid Cap Fund Ins. - TB	A	Dividend	J	T					
32. Hartford Mid Cap Fund Y - TB	A	Dividend	J	T					
33. Lazard Emerging Mkts Equity Port - TB	A	Dividend	J	T					
34. T Rowe Tax Free - TB	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 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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Sachs, Howard F.

Date of Report

08/12/2020

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)
35. Vanguard Intermed, Term Corp. Fund #71 - TA	B	Dividend	K	T					
36. Cohen & Steers - TA	A	Dividend	J	T					
37. Hartford Floating Rate - TA	A	Dividend	J	T					
38. Gateway Fund - TB	A	Dividend	J	T					
39. Commerce Bond Fund -TA	C	Dividend	M	T					
40. Clearbridge Small Cap - TB	A	Dividend	J	T					
41. Causeway EM - TA	A	Dividend	J	T					
42. ishares Russell Mid Growth - TA	A	Dividend	J	T					
43. Laudus US L Cap Growth - TA	A	Dividend	K	T	Buy	02/06/19	K		
44. TRP New Horizon- TA	A	Dividend	J	T	Buy	02/06/19	J		
45. TIAA Growth - TA	A	Dividend	J	T	Buy	02/06/19	J		
46. TIAA Value - TA	A	Dividend	K	T	Buy	02/06/19	J		
47. Van High Yield - TA	A	Dividend	J	T	Buy	02/06/19	J		
48. Gateway Fund N -TA	A	Dividend	J	T	Buy	02/06/19	J		
49. Fidelity New Market - TA	A	Dividend	J	T					
50. ishares Russell Midcap Growth - TB	A	Dividend	J	T					
51. DFA US Targeted Value - TB	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 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	

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)
52. Vanguard FTSE Dev Market - TB	A	Dividend	J	T					
53. Causeway EM Market - TB	A	Dividend	J	T					
54. DFA Int. Small - TB	A	Dividend	J	T					
55. MFS Research Int F R6-TB	A	Dividend	K	T	Buy	03/22/19	J		
56. Vanguard High Yield Tx Ex - TB	A	Dividend	K	T					
57. Eagle Small Cap Growth Fund I - TA	A	Dividend		T	Sold	12/19/19	J		
58. Fidelity Advisor Emerging Markets Floating Rate - TA	A	Dividend		T	Sold	10/02/19	J		
59. Robeco Boston Partners Long/Short-TA	A	Dividend		T	Sold	02/06/19	J		
60. Vanguard Morgan Growth Fund Ad-TA	A	Dividend		T	Sold	02/06/19	K		
61. Robeco Boston Partners Long/Short Research Fund -TB	A	Dividend		T	Sold	03/22/19	J	A	
62. Commerce Bank - IRA				T	Distributed	10/29/19	K		

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

Page 8 of 9

Name of Person Reporting	Date of Report
Sachs, Howard F.	08/12/2020

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

Part I

Death of wife on January 5, 2009, 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.

Currently available annual and monthly reports from the Bank for my late wife's trust (actively administered solely by the Bank) do not permit reconciling or tracing certain assets newly reported at the end of 2019 or the deletion of certain older assets. While the numbers of items is considerable, they generally range well below J valuation (up to \$15,000). If and when further information becomes available an amended filing of the 2018 Report will be made.

Note - Values and income of assets listed in the IRA on line 62 are listed separately.

The annual distribution for Commerce Bank - IRA on line 62 is payment to me of the proceeds of the sale shown for the Commerce Bond Fund - IRA listed on line 4.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Sachs, Howard F.

Date of Report

08/12/2020

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/ **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