

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) Rushfelt, Gerald L.	2. Court or Organization District of Kansas	3. Date of Report 12/11/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full Time Magistrate 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 603 United States Courthouse 500 State Avenue Kansas City, Kansas 66101		
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Co-Trustee	Trust # 1
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
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.)*

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.

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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.	Membership Dues	American College of Trial Lawyers	\$700.0
2.	Membership Dues	American Board of Trial Advocates	\$500.00
3.	Reduced Membership Dues	International Society of Barristers	\$475.0
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.	J.P. Morgan Chase Bank, N.A.	Mortgage on residence of [REDACTED] in Portland, OR.	L
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. Life Ins. VA, Whole Life,- Philadelphia, PA	B	Interest	K	T					
2. U.S. Savings Bonds	B	Interest	K	T					
3. FIDELITY MANAGEMENT TRUST CO. (IRA - Mutual Funds) - #1 (H)	D	Dividend	N	T					
4. - Strategic Advisers Small-Mid Cap Fund (/FSCFX)	A	Dividend	J	T	Sold (part)	07/01/16	J	A	
5. - Strategic Adv Intl Fund f/k/a Fidelity PAS Intl F (FILEX)	A	Dividend	K	T	Buy (add'l)	02/17/16	J		
6.					Sold (part)	05/19/16	J		
7.					Sold (part)	07/01/16	J	A	
8.					Sold (part)	09/08/16	J	B	
9.					Sold (part)	10/28/16	J	A	
10.					Sold (part)	12/02/16	J		
11. - Templeton Global Bond Class A (TPINX)	A	Dividend	J	T	Sold (part)	11/07/16	J		
12. - Strategic Advisers Value Fund (FVSAX)	B	Dividend	K	T	Sold (part)	07/01/16	J	B	
13. - Strategic Advisers Core Fund (FCSAX)	B	Dividend	K	T	Buy (add'l)	01/12/16	J		
14.					Buy (add'l)	02/17/16	J		
15.					Sold (part)	03/07/16	J		
16.					Sold (part)	07/01/16	J	C	
17.					Sold (part)	07/27/16	J	B	

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 H ~\$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 ~\$250,000,001 - \$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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18. - Strategic Advisers Growth Fund (FSGFX)	B	Dividend	K	T	Sold (part)	07/01/16	J	B	
19.					Sold (part)	07/27/16	J	A	
20. - Strategic Advisers Emerging Markets (FSAMX)	A	Dividend	J	T	Sold (part)	07/01/16	J	A	
21. - Strategic Advisers Core Income Fund (FPCIX)	C	Dividend	L	T	Sold (part)	01/12/16	J		
22.					Sold (part)	02/17/16	J		
23.					Buy (add'l)	03/07/16	J		
24.					Buy (add'l)	07/01/16	J		
25.					Buy (add'l)	07/27/16	J		
26.					Sold (part)	09/08/16	J	A	
27.					Sold (part)	10/28/16	J	B	
28.					Buy (add'l)	12/02/16	J		
29. - Strategic Advisers Income Opportunities (FPIOX)	A	Dividend	J	T	Sold (part)	07/27/16	J	A	
30. - FIMM MMKT Inst. CI (FNSXX)		None			Sold	02/17/16	J		
31. - Merger Fund (MERFX)		None			Sold (part)	02/17/16	J		
32.					Buy (add'l)	07/01/16	J		
33.					Sold (part)	09/08/16	J	A	
34.					Sold	10/06/16	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 = \$5,000,001 - \$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	
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35. - Strategic Advisers Short Duration Fund (FAUDX)	A	Dividend	K	T	Sold (part)	02/17/16	J	A	
36.					Buy (add'l)	07/01/16	J		
37.					Buy (add'l)	09/08/16	J		
38.					Buy (add'l)	10/06/16	J		
39.					Buy (add'l)	10/07/16	J		
40.					Sold (part)	10/28/16	J		
41.					Sold (part)	11/07/16	J	A	
42. - Arden Alternative Strategies CI 1 Conf (ARDNX)		None			Sold	03/31/16	J		
43. - Blackstone Alternv Multi Manager (BXMMX)		None			Sold (part)	03/07/16	J		
44.		None			Sold	05/24/16	J		
45. - Fidelity SAI U.S. Large Cap Index (FLCPX)	A	Dividend	J	T	Buy	07/27/16	J		
46. - Fidelity SAI Emerg Markets Index (FERGX)	A	Dividend	J	T	Buy	05/19/16	J		
47.					Buy (add'l)	11/07/16	J		
48.					Sold (part)	12/02/16	J		
49. - AQR Multi Strgy Alternative Class N (ASANX)	A	Dividend	J	T	Buy	02/17/16	J		
50. - AQRManaged Futures Fund CI N (AQMNX)	A	Dividend	J	T	Buy	05/19/16	J		
51.					Buy (add'l)	07/01/16	J		

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52. - Fidelity GNMA Fund (FGMNX)	A	Dividend	J	T	Buy	07/01/16	J		
53. - Eaton Vance Global Macro Abslts Rt Cl 1 (EIGMX)	A	Dividend	J	T	Buy	05/19/16	J		
54. - Pimco Commodity Real Return Inst (PCRIX)	A	Dividend	J	T	Buy	03/18/16	J		
55.					Buy (add'l)	05/19/16	J		
56. - FIMM Government Portfolio: Instl Cl (FRGXX)	A	Dividend	J	T	Buy	02/17/16	J		
57.					Buy (add'l)	02/18/16	J		
58.					Buy (add'l)	03/07/16	J		
59.					Buy (add'l)	04/07/16	J		
60.					Sold (part)	05/19/16	J		
61. MERRILL LYNCH IRA ACCOUNT (H)									
62. - Cash, f/k/a/ Beyond Banking - Money Account		None	J	T					
63. -Bank of America NA RASP f/k/a/ ML Bank USA RASP - Cash Account	A	Interest	J	T					
64. -American Funds Inc. Fund of America Cl F2 (AMEFX f/k/a/IFAFX) FAFX)	A	Dividend	K	T					
65. - First Eagle Global Class I (SGIIX f/k/a (FESGX)	A	Dividend	K	T	Redeemed (part)	11/03/16	J	A	
66. - Pioneer Strategic Income Fund Cl Y (STRYX f/k/a/ PSRCX)	B	Dividend	K	T	Redeemed (part)	11/03/16	J	A	
67. - Nuveen Intm Dur Muni Bond Fd Cl 1		None	K	T	Buy	11/04/16	K		
68. BROKERAGE #1 - Merrill Lynch Account (H)									

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69. - Cash, f/k/a Beyond Banking - Money Account (X)		None	J	T					
70. - ML Bank Deposit Program f/k/a ML Bank USA RASP (X)	A	Interest	K	T					
71. - Franklin Income Fd ADV (FRIAX f/k/a FCISX)	D	Dividend	L	T					
72. - Black Rock Global Allocation Fd Inc Instl (MALOX f/k/a/ MCLOX)		None			Sold	11/03/16	L		
73. - American Capital Income Builder Fd Cl F2 (CAIFX f/k/a CIBCX)	B	Dividend	K	T					
74. - Blackrock National Muni Fund Instl (MANLX f/k/a MFNLX)	B	Dividend	L	T					
75. - First Eagle Global Cl I (SGIIX f/k/a FESGX)	A	Dividend			Redeemed	11/03/16	J		
76. - Franklin US Govt Secs Fd Adv Cl (FUSAX f/k/a FRUGX)	B	Dividend	L	T	Redeemed (part)	11/03/16	J		
77. - Nuveen Kansas Municipal Bond FD Cl I (FRKSX f/k/a FCKSX)	C	Dividend	L	T					
78. - American Funds American Balanced Fund Cl F2 (AMBFX f/k/a BALCX)	B	Dividend	L	T					
79. - Blackrock Multi Asset Income Portfolio Instl (BIICX f/k/a BCICX)	C	Dividend	L	T					
80. - iShares Core S&P 500 ETF	A	Dividend	K	T	Buy	11/04/16	K		
81. - Lord Abbott Floating Rate Fund Cl F	A	Dividend	K	T	Buy	11/04/16	K		
82. - Nuveen Intm Dur Muni Bond Fd Cl I	A	Dividend	K	T	Buy	11/04/16	K		
83. UMB Bank, n.a., Overland Park, KS - accounts	A	Interest	L	T					
84. American Century IRA (H)									
85. - One Choice Portfolio: Moderate (AOMIX)	A	Dividend	K	T					

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86. Trust # 1 (Income Beneficiary) (H)									
87. - 160 Acres of farm land in Grant County, KS - appraised 08/10/2010	C	Rent	L	Q					
88. - Linn Operating Co. gas leases, Grant Co, KS (Royalty)	E	Royalty	M	W					
89. - First National Bank of Omaha, f/k/a 1st Nat'l Bank Overland Pk, KS	A	Interest	J	T					
90. Central Bank of the Midwest f/k/a/ Metcalf Bank - Accounts	A	Interest	M	T					
91. 1st Nat'l. Bank of Omaha, f/k/a 1st N.B Overland Park KS	A	Interest	L	T					
92. Learning Quest 529 Savings Program.- 4688 Money Mkt - Shawnee Msn, KS		None	J	T					
93.									
94.									
95.									
96.									
97.									

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of 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/ Gerald L. Rushfelt

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