

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 05/14/2018
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
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 Fmaily 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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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. 2017	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.)*

DATE	SOURCE AND TYPE
1. 2017	State of California, California Department of Public Health --- Salary
2. 2017	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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. National Conference of Bankruptcy Judges	04/3/17 - 04/06/17	Washington, DC	Meeting With AO, Informational Meeting With Members of Congress	Airfare, Lodging, Meals, Cab/Metro, Airport Parking, Mileage
2. Loyola Law School	06/08-09/17	Los Angeles, Cal	Cal-9th Cir Joint Judicial Council Presentation at Journalist Law School Program	Airfare, Lodging, Airport Parking
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. Rental Property, Sacramento, California	D	Rent	N	W					
2. Bank of America Demand Accounts	A	Dividend	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. XXXXXXXXXXXXX									
8. BROKERAGE ACCOUNT #1									
9. Merrill Lynch Direct Deposit (Cash) Account)	A	Int./Div.	J	T					
10. Adient PLC SHS -- ADNT	A	Int./Div.	J	T					
11. Johnson Controls Inter -- JCI		None	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)	05/09/17	K	D	
16. Pentair PLC -- PNR	A	Int./Div.	J	T					
17. Sirius SM -- SIRI	A	Int./Div.	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 = \$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 \$5,000,000	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. TE Connectivity -- TEL	A	Int./Div.	J	T					
19. -----									
20. Investments Completely Disposed of from Acct 1 in 2017									
21. Cesca Therapeutics, Inc. - KOOL					Sold	05/09/17	J	A	
22. XXXXXXXXXXXXX									
23. BROKERAGE ACCOUNT #3									
24. Insured Bank Deposit U.S. Bank	A	Int./Div.	J	T					
25. Dreyfus Technology Growth -- DTGRX	B	Distribution	K	T					
26. Gateway CL C Reinvestments -- GTECX	A	Int./Div.	J	T					
27. -----									
28. Investments Completely Disposed of from Acct 3 in 2017									
29. None									
30. XXXXXXXXXXXXX									
31. BROKERAGE ACCOUNT #8 IRA ROLLOVER									
32. General MMKT Class A Cash Fund	A	Int./Div.	J	T					
33. First Trust Senior Loan Fund - FTSL	A	Dividend	J	T	Buy	01/03/17	J		
34.					Sold (part)	07/25/17	J	A	

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35. First Trust Utilities Alphadex -- FXU	A	Dividend	J	T	Sold (part)	07/25/17	J	A	
36. Flexshares Trust Qlty Div Index Fund -- QDF	A	Dividend	J	T	Sold (part)	03/22/17	J	A	See Section VIII Note 1
37.					Sold (part)	07/25/17	J	A	
38. Global X MSZCI Norway ETF - NORW	A	Dividend	J	T	Sold (part)	07/25/17	J	A	
39. Goldman Sachs Activebeta US Large Cap Equity ETF -- GSLC	A	Dividend	J	T	Sold (part)	03/27/17	J	A	
40.					Sold (part)	07/25/17	J	A	
41. Ishares MSCI Australia ETF -- EWA	A	Dividend	J	T	Sold (part)	03/27/17	J	A	
42.					Sold (part)	07/25/17	J	A	
43. Ishares Core MSCI EAFE ETF - IEFA	A	Dividend	K	T	Buy	01/03/17	J		
44.					Buy (add'l)	03/22/17	J		
45.					Buy (add'l)	04/25/17	J		
46.					Buy (add'l)	07/19/17	J		
47.					Sold (part)	07/25/17	J	A	
48. Ishares Core MSCI Emerging Markets ETF -- IEMG	A	Dividend	J	T	Buy (add'l)	03/22/17	J		
49.					Buy (add'l)	04/25/17	J		
50.					Sold (part)	12/27/17	J	A	
51. Ishares Core S&P 500 ETF -- IVV	A	Dividend	J	T	Sold (part)	01/03/17	J	A	

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(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	
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52. Ishares MSCI EAFE ETF -- EFA	A	Dividend	J	T	Sold (part)	07/25/17	J	A	
53. Ishares MSCI EAFE Value ETF -- EFV	A	Dividend	K	T	Sold (part)	07/25/17	J	A	
54. Ishares MSCI EAFE Growth ETF -- EFG	A	Dividend	K	T	Buy (add'l)	01/03/17	J		
55.					Sold (part)	02/05/17	J	A	
56. Ishares MSCI All Country Asia Ex Japan - AAXJ	A	Dividend	J	T	Buy	03/27/17	J		
57.					Sold (part)	07/25/17	J	A	
58. Ishares U S Financial Services ETF -- IYG	A	Dividend	J	T	Buy (add'l)	03/27/17	J		
59.					Sold (part)	07/25/17	J	A	
60. Ishares Core S&P Small Cap ETF -- IJR	A	Dividend	J	T	Sold (part)	07/25/17	J	A	
61. Ishares U S Consumer Goods ETF -- IYK	A	Dividend	J	T					
62. Ishares MSCI Canada ETF - EWC	A	Dividend	J	T	Buy	02/23/17	J		
63.					Sold (part)	07/25/17	J	A	
64. Ishares Intl Select Dividend ETF -- IDV	A	Dividend	J	T	Sold (part)	07/25/17	J	A	
65. Powershares Aerospace & Defense ETF -- PPA	A	Dividend	J	T	Sold (part)	07/25/17	J	A	
66. Powershares QQQ ETF -- QQQ	A	Dividend	J	T	Sold (part)	07/25/17	J	A	
67. Powershares FTSE RAFI Emerereng ETF - PXH	A	Dividend	J	T	Buy	02/23/17	J		
68.					Sold (part)	07/25/17	J	A	

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69. SPDR Blackstone GSO SR LN - SRLN	A	Dividend	J	T	Buy	01/03/17	J		
70.	A	Distribution							
71. Sector Healthcare Select Sector SPDR ETF - XLV	A	Dividend	J	T	Buy	07/19/17	J		
72. Sector Financial Select Sector SPDR ETF -- XLF	A	Dividend	J	T	Sold (part)	07/25/17	J	A	
73. Consumer Discretionary Select Sector SPDR ETF - XLY	A	Dividend	J	T	Sold (part)	07/25/17	J	A	
74. SPDR Series Trust SPDR NYSE Technology - XNTK (FKA Morgan Stanley Tech	A	Dividend	K	T	Sold (part)	07/25/17	J	A	See VIII Note 2
75.	A	Distribution							
76. SPDR S&P Capital Markets ETF -- KCE	A	Dividend	J	T					
77. Vanguard Large Cap ETF -- VV	A	Dividend	K	T	Sold (part)	07/19/17	J	A	
78. Wisdomtree Trust Europe Hedged Equity Fund ETF -- HEDJ	A	Dividend	K	T	Sold (part)	01/03/17	J	A	
79.					Sold (part)	04/20/17	J	A	
80.					Buy (add'l)	10/24/17	J		
81. Wisdomtree Trust Intl Hedged Quality Dividend Growth Fund ETF -- IHDG	A	Dividend	K	T	Sold (part)	07/25/17	J	A	
82. Wisdomtree Japan Small Cap Dividend ETF -- DFJ	A	Dividend	J	T	Sold (part)	07/25/17	J	A	
83. ALPS Riverfront Strategic Income Fund -- RIGS	A	Dividend	J	T	Sold (part)	07/25/17	J	A	
84. Pimco Investment Grade Corporate Bond Index ETF - COPR	A	Distribution	J	T	Buy	02/03/17	J		

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85. -----									
86. Investments Completely Disposed of From Invst Acct 8 in 2017									
87. Ishares MSCI Switzerland Capped ETF - EWL		None			Sold	02/23/17	J	A	
88. Ishares US Health Care Providers ETF - IHF	A	Dividend			Sold (part)	07/25/17	J	A	
89.					Sold	10/24/17	J	A	
90. Ishares NASDAQ Biotechnology EFT - IBB		None			Sold	03/22/17	J	A	
91. Ishares Currency Hedged MSCI Japan ETF - HEWJ	A	Dividend			Buy (add'l)	03/27/17	J		
92.					Sold	04/20/17	J	A	
93. Powershares DBW Regional Banking ETF - KBWR	A	Dividend			Sold	03/27/17	J	A	
94. Powershares S&P 500 Ex Rate Sensitivity Low Vlty ETF - XKRv	A	Dividend			Sold	03/22/17	J	A	
95. Select Sector TR Real Estate SPDR EFT - XLRE	A	Dividend			Sold	03/27/17	J	A	
96. SPDR S&P Transportation ETF - XTN		None			Sold	01/03/17	J	A	
97. Wisdomtree Large Cap Value ETF - EYZ		None			Sold	01/03/17	J	A	
98. UBS AG Jersey Branch E Tracks LKD Alerian MLP Infrast Index - MLPI	A	Int./Div.			Sold (part)	06/07/17	J	A	
99.					Sold (part)	07/25/17	J	A	
100.					Sold	10/24/17	J	A	
101. Pimco 0-5 YR High Yield Corp Bond Index ETF - HYS	A	Dividend			Sold (part)	07/25/17	J	A	

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102.					Sold	10/24/17	J	A	
103. SPDR Bloomberg Barclays Short Term High Yield Bond ETF - SJNK	A	Dividend			Sold (part)	02/03/17	J	A	
104.					Sold	03/15/17	J	A	
105. XXXXXXXXXXXXXXXXX									
106. Brokerage Account 9 IRA Rollover									
107. CASH/MMONEY MARKET -- RW Baird Genal MMkt Class A	A	Int./Div.	J	T					
108. Gateway CL A Reinvestments GATEX	A	Dividend	K	T					
109. Oakmark Intl OAKIX (Hareris Oakmark on Prior Statements)	A	Dividend	M	T					
110.	A	Distribution							
111. Ishares Russell 1000 Growth EFT IWF	A	Dividend	L	T					
112. Ishares Russell Mid Cap IWR	A	Dividend	K	T					
113. Advisory Research MLP & Energy Income INFIX	A	Dividend	K	T	Sold (part)	02/09/17	J	A	
114.					Sold (part)	04/28/17	J	A	
115. Principal Mid Cap	B	Distribution	L	T	Sold (part)	07/20/17	J	A	
116.	A	Dividend							
117. SPDR Series Trust S&P Dividend SDY	B	Dividend	L	T					
118.	A	Distribution							

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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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)
119. Sterling Capital Stratton Small Cap STSCX	C	Distribution	L	T	Sold (part)	02/09/17	J	A	
120.	A	Dividend							
121. LOCORR Market Trend LOTIX	A	Dividend	K	T					
122. ASG (NATIXIS) Global Alternatives GAFYX	A	Dividend	K	T	Sold (part)	02/09/17	J	A	
123.					Sold (part)	11/15/17	J	A	
124. Principal Global Diversified Income PGPDX	B	Dividend	K	T					
125. Blackrock Strategic Income Oppty BSIXX	B	Dividend	K	T					
126. Eaton Vance Global Macro Absolute Return EIGMX	B	Dividend	K	T					
127. Loomis Sayles Bond Instl LSBDX	A	Dividend	K	T	Sold (part)	02/09/17	J	A	
128.	A	Distribution							
129. Templeton Global Bond Advisor TGBAX	B	Dividend	K	T					
130. -----									
131. Investments Completely Disposed of in 2017 From Account 9									
132. None									
133. XXXXXXXXXXXXXXXXX									
134. Trust #1									
135. California Bank and Trust -- Deposit Accounts	A	Interest			Closed	06/28/17	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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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)
136. Bank of America -- Deposit Accounts	A	Interest	J	T					
137.									
138. US Government Bonds	B	Interest	M	T	Sold (part)	11/06/17	K	D	

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

Part VII

Note 1 -

Line 36 the Stock Market abbreviation for Flexshares Trust Qlty Div Index Fund is "QDF." In the 2016 it was listed as "QSF," a typographical error (the "s" key being next to the "d" key). There has been no change in the investment, just correction of the typo in making the 2017 Annual Report.

Note 2 -

Line 75: Name Change from SPDR Series Trust SPDR Morgan Stanley Technology ETF to the the one listed on Line 75 of Section VII.

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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
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