

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 05/20/2014
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 01/01/2013 to 12/31/2013
7. Chambers or Office Address 628 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

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.)

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.	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.	Membership Dues	American Bar Association	\$350.0
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.	American Express	Credit Card	J
2.	J. P. Morgan Chase Bank, N.A.	Mortgage [REDACTED]	L
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	A	Int./Div.	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. - Pimco Total Return Administrative Shs (PTRAX)					Buy (add'l)	03/12/13	J		
5. - Pimco Short Term Administrative Shs (PSFAX)									
6. - Fidelity Total Bond (FTBFX)					Buy (add'l)	03/12/13	J		
7.					Buy (add'l)	03/13/13	J		
8. -Strategic Advisers Small-M Cap Fd f/ka Fidelity (FSCFX)					Buy (add'l)	03/12/13	J		
9. - Strategic Adv Intl Fund f/k/a Fidelity PAS Intl F (FILFX)					Buy (add'l)	01/25/13	J		
10.					Buy (add'l)	03/12/13	J		
11.					Buy (add'l)	03/18/13	J		
12.					Buy (add'l)	04/24/13	J		
13.					Buy (add'l)	06/26/13	J		
14.					Buy (add'l)	10/15/13	J		
15.					Sold (part)	10/30/13	J	A	
16. - Strategic Advisers US Oppty Fund f/k/a Fidelity US(FUSOX)					Buy (add'l)	03/12/13	J		
17. - Fidelity Select Gold (FSAGX)					Sold	05/23/13	J	A	

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 - \$500,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$5,000,000	L ~\$50,001 - \$100,000 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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	(1) Amount Code I (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. - Templeton Global Bond Class A (TPINX)									
19. - Strategic Advisers Value Fund (FVSAX)					Buy (add'l)	03/12/13	J		
20.					Sold (part)	10/30/13	J	A	
21. - Strategic Advisers Core Fund (FCSAX)					Buy (add'l)	03/12/13	J		
22.					Sold (part)	06/26/13	J	A	
23.					Sold (part)	10/30/13	J	A	
24. - Strategic Advisers Growth Fund (FSGFX)					Buy (add'l)	03/12/13	J		
25.					Sold (part)	10/30/13	J	A	
26. - Strategic Advisers Emerging Markets (FSAMX)					Buy (add'l)	03/12/13	J		
27. - Strategic Advisers Core Income Fund (FPCIX)					Buy (add'l)	01/25/13	J		
28.					Sold (part)	03/12/13	K	A	
29.					Buy (add'l)	03/18/13	J		
30.					Buy (add'l)	05/23/13	J		
31.					Buy (add'l)	07/24/13	J		
32.					Buy (add'l)	09/13/13	J		
33.					Sold (part)	10/30/13	J	A	
34.					Buy (add'l)	11/07/13	J		

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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	(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)
35. - Strategic Advisers Income Opportunities (FPIOX)					Sold (part)	01/25/13	J	A	
36. - FIMM MMKT Inst. C1 (FNSXX)					Sold (part)	03/18/13	J	A	
37.					Sold (part)	05/23/13	J	A	
38.					Sold (part)	08/08/13	J	A	
39. - Merger Fund (MERFX)					Sold (part)	03/12/13	J	A	
40. - Fidelity Short Term Bond (FSHBX)					Sold	03/12/13	J	A	
41. - Fidelity GNMA Fund (FGMNX)					Sold	03/12/13	J	A	
42. - Strategic Advisers Short Duration Fund (FAUDX)					Buy (add'l)	03/18/13	J		
43.					Buy (add'l)	07/24/13	J		
44.					Sold (part)	08/08/13	J	A	
45. - Arden Alternative Strategies C1 1 Conf (ARDNX)									
46. - Blackstone Alternvtv Multi Manager (BXMMX)					Buy	08/08/13	J		
47. - Metropolitan West Low Duration M					Buy	03/12/13	J		
48.					Sold	11/07/13	J		
49. MERRILL LYNCH IRA ACCOUNT (H)									
50. - Cash, f/k/a/ Beyond Banking - Money Account		None	J	T					
51. - ML Bank USA RASP - Cash Account (Y)									

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 \$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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52. - American Income Fund of America Cl C (IFAFX)	A	Dividend	K	T					
53. - First Eagle Global Class C (FESGX)	A	Dividend	K	T					
54. - Pioneer Strategic Income Fund Cl C Shares (PSRCX)	B	Dividend	K	T	Sold (part)	09/05/13	J	A	
55. BROKERAGE #1 - Merrill Lynch Account (H)									
56. - Cash, f/k/a Beyond Banking - Money Account (X)		None	J	T					
57. - ML Bank Deposit Program f/k/a ML Bank USA RASP (X)	A	Interest	J	T					
58. - Franklin Income Fund Cl C (FCISX)	C	Dividend	L	T					
59. - Black Rock Global Allocation Fund Inc C (MCLOX)	A	Dividend	L	T					
60. - Ivy Asset Strategy Fund Cl C (WASCX)	A	Dividend	L	T					
61. - American Capital Income Builder Cl C (CIBCX)	A	Dividend	K	T					
62. - Blackrock National Muni Bond Fund Cl C (MFNLX)	C	Dividend	L	T	Sold (part)	09/05/13	K	C	
63. - First Eagle Global Cl C (FESGX)	A	Dividend	L	T					
64. - Franklin US Govt Securities Fund Cl C (FRUGX)	C	Dividend	L	T	Sold (part)	09/05/13	K	B	
65. - Nuveen Kansas Municipal (FCKSX)	C	Dividend	L	T	Sold (part)	09/05/13	K		
66. - American Balanced Fund Cl C (BALCX)	A	Dividend	K	T	Buy	09/11/13	K		
67. - Blackrock Multi Asset Income Portfolio C (BCICX)	A	Dividend	L	T	Buy	09/05/13	K		
68. UMB Bank, n.a., Overland Park, KS - accounts	A	Interest	K	T					

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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69. American Century IRA (H)	A	Dividend	K	T					
70. - One Choice Portfolio: Moderate (AOMIX)									
71. Trust # 1 (Income Beneficiary) (H)	E		N	W					
72. - 160 Acres of farm land in Grant County, KS		Rent							
73. - Linn Operating Co. gas lease, Grant Co, KS (Royalty)		Royalty							
74. - Pioneer Natural Resources, gas lease, Grant County, KS		Royalty							
75. - First National Bank, Overland Park, KS		Interest							
76. Variable Annuity-Ohio National Life Insurance Co.									
77. IRA - Sunlife Assurance Co.									
78. Morgan Stanley Smith Barney Brokerage (H) Account (X)									
79. - American Century Growth Fund	A	Dividend							
80. - American Century Income & Growth Fund					Sold	01/16/13	M	E	
81. - American Century Equity Growth Fund	A	Dividend			Sold (part)	01/16/13	J	A	
82.					Sold	04/02/13	M	E	
83. - First TR Intern Dur Prf & Inc Fd	B	Dividend							
84. - Clearbridge Amern Engy MLP Fnd									
85. - Cushing MLP Premier C									

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86. - Morgan Stanley Bank N.A.	A	Interest							
87. - SG Ranac Rty 6ML	A	Interest			Buy	04/19/13	K		
88.					Buy (add'l)	10/19/13	K		
89. - Lehigh Gas Partners LP	B	Distribution	K	T	Buy	05/16/13	K		
90. IRA - Morgan Stanley & Co.									
91. Metcalf Bank f/k/a 1st Nat'l Bank of Olathe, KS - Accounts	A	Interest	L	T					
92. GPH Family Tree LLC loan - note receivable									
93. GPH Family Tree LLC - Part Ownership					Donated				
94. Elizabeth Ann Page Trust									
95. 1st Nat'l. Bank of Omaha, f/k/a 1st N.B Overland Park KS	A	Interest	L	T					
96. Chase Home Finance LLC - Mortgagee		None							
97. Morgan Stanley Smith Barney Variable Rate Annuity - IRA									
98. Learning Quest 529 Savings Program. Shawnee Msn, KS		None	J	T	Buy (add'l)	01/04/13	J		
99.					Donated (part)				
100.					Buy (add'l)	07/24/13	J		
101.					Buy (add'l)	12/23/13	J		
102.					Donated (part)				

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103.									
104.									
105.									
106.									
107.									

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

Part VII. Lines 50, 51, 56 and 57. The cash account for Brokerage #1-Merrill Lynch Account was mistakenly omitted from the Financial Disclosure Report for Calendar Years 2012. ML Bank Deposit Program, f/k/a ML Bank USA RASP Cash Account, was mistakenly reported in the Financial Disclosure Report for Calendar Year 2012 as an asset of the Merrill Lynch IRA Account, but should have been reported as an asset of Brokerage #1 Merrill Lynch Account.

Part VII. Lines 76 through 97 (except Lines 91 and 95). All of the assets listed on Lines 76 through 97, except for Lines 91 and 95, are the sole financial interest or responsibility of the reporting person's [REDACTED]. They are not derived from the assets, income or activities of the reporting person. The reporting person does not derive or expect to derive a benefit from them; and he has no knowledge about them, except for the limited information stated on these lines. This is to comply with Section 102(e)(1)(E) of the applicable statute. Corresponding lines on the prior reports for calendar years 2011 and 2012 did include information as to income, year-end values, and transactions, all of which related solely to my wife and was provided by her. For the calendar year 2013 the reporting person has provided all the information about these assets that has been provided to him, and he has no additional knowledge of whatever transactions or values may be attributable to these assets.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Rushfelt, Gerald L.

Date of Report

05/20/2014

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
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