

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Holmes, III, Paul K.	2. Court or Organization U.S. District Court, Western District of Arkansas	3. Date of Report 04/24/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge-Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 30 South 6th Street Fort Smith, Arkansas 72901		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the <i>NONE</i> box for each part where you have no reportable information. Insert signature on last page.		

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. Of Counsel	Warner, Smith & Harris, PLC
2. Director	PKH Properties, LLC
3. Director	BECH Oil & Gas Company
4. Trustee	Lyon College
5. Trustee	Trust #1
6. Trustee	Trust #2
7. Trustee	Trust #3

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. 2011	Warner, Smith & Harris, PLC- Of Counsel Agreement
2. 2011	Warner, Smith & Harris, PLC, Pension and Profit Sharing Plan
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. 2011

Fort Smith Public School District- Substitute teaching

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.)*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. ABFS Common	A	Dividend	K	T					
2. CHS Common	A	Dividend	J	T					
3. CNP Common	A	Dividend	J	T					
4. COP Common	C	Dividend	L	T					
5. FDX Common	A	Dividend	L	T					
6. DBRN Common		None	J	T					
7. GE Common	B	Dividend	K	T					
8. HD Common	C	Dividend	M	T					
9. HIG Common	A	Dividend	K	T					
10. HPQ Common	B	Dividend	L	T					
11. HOT Common	A	Dividend	J	T					
12. IBKC Common	B	Dividend	L	T					
13. INTC Common	A	Dividend	K	T					
14. JBHT Common	A	Dividend	L	T	Buy (add'l)	09/22/11	K		
15. JNJ Common	B	Dividend	L	T					
16. MHS Common		None	K	T					
17. MON Common	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	

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18. MSFT Common	C	Dividend	M	T					
19. NUE Common	C	Dividend	L	T					
20. PFE Common	D	Dividend	M	T					
21. RF Common	A	Dividend	J	T					
22. RIG Common	A	Dividend	J	T					
23. SLB Common	B	Dividend	M	T					
24. SO Common	C	Dividend	M	T					
25. T Common	A	Dividend	J	T					
26. WMMVY Common	A	Dividend	K	T					
27. WMT Common	D	Dividend	N	T					
28. Vanguard Total Stock Index Fund	B	Dividend	M	T					
29. Vanguard Extended Market Index Fund	A	Dividend	L	T					
30. Vanguard Growth Index Fund	A	Dividend	L	T					
31. Vanguard Capital Opportunity Fund	A	Dividend	M	T	Buy (add'l)	07/28/11	J		
32.					Buy (add'l)	09/23/11	J		
33. Vanguard Developed Markets Index Fund	C	Dividend	M	T					
34. Vanguard Total Int. Stock Index Fund	A	Dividend	M	T	Buy (add'l)	01/18/11	K		

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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35. Vanguard Inter-Term Inv. Grade Fund	A	Dividend	M	T					
36. Vanguard Inflation-Protect Sec.	B	Dividend	L	T					
37. Vanguard Inter-Term Tax Exempt Inv.	C	Interest	M	T					
38. Vanguard Inter-Bond Index Fund	A	Dividend	L	T					
39. Fidelity Int. Muni Income Fund	D	Interest	M	T					
40. MFS Investors Trust-A Fund	A	Dividend	K	T					
41. T.Rowe Price Growth Stock Fund	A	Dividend	K	T					
42. T.Rowe Price Personal Strategy Growth Fund	A	Dividend	K	T					
43. T.Rowe Price New Horizons Fund	A	Dividend	J	T					
44. T.Rowe Price International Stock Fund	B	Dividend	L	T					
45. U.S.Treasury Notes	C	Interest	K	T					
46. First National Bank of Fort Smith Accounts	A	Interest	J	T					
47. Schwab Cash Reserves	A	Interest	K	T					
48. T.Rowe Price Tax-Exempt Money Mkt. Fund	A	Interest	K	T					
49. Vanguard Tax-Exempt Money Mkt. Fund	A	Interest	O	T					
50. Vanguard Prime Money Mkt. Fund	A	Interest	L	T					
51. Fidelity Municipal Money Mkt. Fund	A	Interest	M	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	

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52. PKH Properties, LLC		None	J	W					
53. BECH Oil & Gas Company	D	Distribution	K	W					
54. HSA Bank Money Mkt. Fund	A	Interest	K	T					
55. TD Ameritrade Money Mkt. Fund (HSA)	A	Interest	J	T					
56. TD Ameritrade SPY Index Fund (HSA)	A	Dividend	K	T					
57. First National Trustee WSH Pension & Profit Sharing Plan	A	Dividend	N	T					
58. -VIMSX Fund					Sold	07/20/11	M		
59. -FIGRX Fund					Sold	07/20/11	N		
60. -FNB Money Mkt.					Sold	07/20/11	J		
61. T.Rowe Price- Rollover IRA Act.	E	Dividend	P1	T					
62. -POMIX									
63. -PRGIX (spouse)									
64. -TRMCX									
65. -PRTIX									
66. -PRTXX									
67. -TRRBX									
68. -RPSIX									

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69. -INTC Common									
70. -MHS Common									
71. -MRK Common									
72. -NUE Common									
73. -CVX Common									
74. -VIMSX					Buy	07/26/11	M		
75. -FIGRX					Buy	07/26/11	N		
76. T.Rowe Price- Ind. 401K	A	Dividend	K	T					
77. -TRRHX					Buy	07/26/11	L		
78. Vanguard Ind. Roth IRA		None	J	T					
79. -NAESX					Buy	03/30/11	J		
80. -NAESX (spouse)					Buy	03/30/11	J		
81. Lincoln National Whole Life		None	K	T					
82. Union Central Whole Life	A	Dividend	J	T					
83. Transamerica Whole Life	A	Dividend	J	T					
84. Trust #1	E	Int./Div.	P1	T					
85. -ABFS Common									

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86. -BAC Common									
87. -CNP Common									
88. -DELL Common									
89. -DOW Common									
90. -FCX Common									
91. -GEN Common (formerly RRI Common)									
92. -JBHT Common									
93. -JPM Common									
94. -MHP Common									
95. -MSFT Common									
96. -NUE Common									
97. -PNC Common									
98. -PSA Common									
99. -SLB Common									
100. -SO Common									
101. -SPY Index									
102. -MOS Common									

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103. -RIG Common									
104. -WIN Common									
105. -Fort Smith Waste Rev. Bond					Redeemed	01/03/11	K		
106. -Alma School Dist. Bond					Redeemed	01/03/11	K		
107. -Univ. AR Rev. Bond					Redeemed	01/03/11	K		
108. -Little Rock Health Fac. Bond									
109. -Pulaski Tech. College Rev. Bond									
110. -Univ. AR Rev. Bond									
111. -Little Rock Cap. Imp. Bond									
112. -AR Dev. Auth. Bond									
113. -Warren Waste Rev. Bond									
114. -Univ. AR Rev. Bond									
115. -Conway Waste Rev. Bond									
116. -Lewisville Sch. Dist. Bond					Redeemed	01/03/11	K		
117. -Springdale Sch. Dist. Bond					Redeemed	06/01/11	K		
118. -Beaver Wtr. Dist. Bond									
119. -Fed. Govt. Money Mkt. Fund									

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120. Trust #2	D	Dividend	N	T					
121. -BAC Common									
122. -BP Common									
123. -ABC Common									
124. -HPQ Common									
125. -GE Common									
126. -GPS Common									
127. -INTC Common									
128. -MHS Common									
129. -MRK Common									
130. -JNJ Common									
131. -IBKC Common									
132. -RF Common									
133. -RAI Common									
134. -T Common									
135. -TWC Common									
136. -TWX Common									

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04/24/2012

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)
137. -CVX Common									
138. -WMT Common									
139. -Schwab Cash Reserves									
140. -MFS Investors Trust-A Fund									
141. -American Century Ultra Fund									
142. -US Treasury Bonds					Redeemed (part)	11/15/11	K		
143. Trust #3	D	Dividend	N	T					
144. -BAC Common									
145. -BP Common									
146. -HPQ Common									
147. -GE Common									
148. -GPS Common									
149. -INTC Common									
150. -MHS Common									
151. -MRK Common									
152. -JNJ Common									
153. -IBKC Common									

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

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Name of Person Reporting

Holmes, III, Paul K.

Date of Report

04/24/2012

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)
154. -RF Common									
155. -RAI Common									
156. -T Common									
157. -TWC Common									
158. -TWX Common									
159. -CVX Common									
160. -WMT Common									
161. -Schwab Cash Reserves									
162. -MFS Investors Trust-A Fund									
163. -T.Rowe Price New Horizons Fund									
164. -American Century Select Fund									
165. -Vanguard Total St. Mkt. Index Fund									
166. -US Treasury Notes					Redeemed (part)	11/15/11	K		

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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Name of Person Reporting

Holmes, III, Paul K.

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

I. POSITIONS- I serve on the Board of Trustees of Lyon College, a private liberal arts college.

I. POSITIONS- I am Trustee of Trusts #1, #2, and #3, but have no beneficial ownership or contingent interest in the trusts.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Holmes, III, Paul K.

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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/ Paul K. Holmes, III**

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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Washington, D.C. 20544