

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) SPARKS, SAM	2. Court or Organization DISTRICT COURTS--Texas Western	3. Date of Report 10/10/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) ACTIVE ARTICLE III 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 United States Courthouse 501 W. Fifth Street, Suite 4120 Austin, Texas 78701-3822		
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.		
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.)*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. Condominium (20%) [REDACTED], [REDACTED]		None	L	Q					
2.									
3. CASH ACCOUNTS (H)									
4. American Bank of Commerce	A	Interest	N	T					
5. Chase Bank of Texas Accounts	A	Interest	M	T					
6. ML Bank Deposit Program (formerly BIF Tax-exempt Fund)	C	Dividend	O	T					
7. Frost Bank	A	Interest	N	T					
8.									
9. STOCKS (H)									
10. California Resource	A	Dividend	J	T					
11. Occidental Petroleum	A	Dividend	J	T					
12. Excelon Corporation	C	Dividend	L	T					
13. Royal Dutch Shell PLC	E	Dividend	N	T					
14. Goldman Sachs FTF 5.5% Preferred	C	Dividend	M	T	Buy	03/30/16	M		
15. Goldman Sachs FR Preferred	B	Dividend	M	T	Buy	06/30/16	M		
16. HSBC USA Series G FLT Preferred	A	Dividend			Buy	03/30/16	L		
17. HSBC USA Series G FLT Preferred	A	Dividend			Redeemed	06/30/16	L	D	

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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18. Morgan Stanley New Money Series A FLT Preferred	C	Dividend	M	T	Buy	03/30/16	M		
19. Seadrill Limited SHS	A	Dividend	J	T					
20. Powershares Variable Rte Poreferred ETF	C	Dividend	M	T	Buy	10/05/16	M		
21. Wells Fargo FTF 5.85% Preferred	C	Dividend	M	T	Buy	03/30/16	M		
22.									
23. BONDS (H)									
24. Abilene TX CTFS	A	Interest	L	T					
25. Austin TX LTD GO	A	Interest	L	T					
26. Beaumont TX ISD	A	Interest	L	T					
27. Cypress-Fairbanks TX ISD	A	Interest	K	T					
28. Dallas Cnty Tx Comnty College	A	Interest	K	T					
29. Dallas TX GO BDS 2007	A	Interest	K	T					
30. Dallas TX ISD	A	Interest	K	T					
31. Ft. Worth TX ISD	A	Interest	K	T					
32. Frisco TX ISD GO	A	Interest	K	T					
33. Goose Creek TX Cons Indpt	A	Interest			Redeemed	02/15/16	K	A	
34. Granbury TX ISD	A	Interest	L	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 \$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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35. Harris Cnty TX G/O RFDG	A	Interest	K	T					
36. Hawkins TX ISD GO	A	Interest			Redeemed	10/06/16	K	A	
37. Houston TX RFDG Pub Impt	A	Interest	L	T					
38. Humble TX ISD	A	Interest	K	T					
39. Jacksonville TX ISD	A	Interest	L	T					
40. La Joya TX ISD	A	Interest	J	T					
41. La Joya TX ISD	A	Interest	L	T					
42. Lampasas TX ISD	A	Interest			Redeemed	02/15/16	L	A	
43. La Vernia TX ISD	A	Interest			Redeemed	08/15/16	K	A	
44. Lubbock TX CTFS	A	Interest	L	T					
45. New Braunfels TX ISD	A	Interest			Redeemed	03/10/16	K	A	
46. New Braunfels TX Util Rev	A	Interest	K	T					
47. New Caney TX ISD GO	A	Interest			Redeemed	02/15/16	K	A	
48. Northwest TX ISD GO	A	Interest	K	T					
49. Northwest TX ISD	A	Interest			Redeemed	02/15/16	J		
50. Pearland ISD GO	A	Interest	K	T					
51. Plano TX GO BDS	A	Interest	L	T					

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52. Richardson TX ISD	A	Interest	J	T					
53. Richardson TX GO	A	Interest			Redeemed	06/27/16	K	A	
54. SOCORRO Tex ISD G/O	A	Interest	K	T					
55. Splendora TX ISD	A	Interest	K	T					
56. UT Austin Rev.	B	Interest	K	T					
57.									
58. MERRILL LYNCH IRA (H)									
59. American Balance	E	Dividend	P1	T					
60. Bristol Myers Squibb Co.	B	Dividend	L	T					
61. Chevron-Texaco Corp.	D	Dividend	N	T					
62. DTE Energy PFD	C	Dividend	L	T					
63. Entergy Arkansas PFD	C	Dividend	L	T					
64. Entergy LA PFD	C	Dividend	L	T					
65. Exxon Mobil Corp	C	Dividend	M	T					
66. Genitope Corp.		None	J	T					
67. Goldman Sachs PFD	D	Dividend	M	T					
68. Goldman Sachs FLT Perpetual	B	Dividend	M	T	Buy	06/30/16	M		

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69. Halliburton	A	Dividend	L	T					
70. HSBC PFD	C	Dividend			Redeemed	06/30/16	L	D	
71. iShares 7-10 ETF - See note in Section VIII.	D	Dividend	N	T					
72. Johnson & Johnson	D	Dividend	M	T					
73. Meg Energy		None	K	T					
74. Morgan Stanley PFD	C	Dividend	L	T					
75. Nextera Energy PFD	C	Dividend	L	T					
76. Proctor & Gamble Co.	C	Dividend	M	T					
77. Royal Dutch Shell PLC	D	Dividend	L	T					
78. SCE Trust PFD	C	Dividend	L	T					
79. Spanish Broadcasting, Inc.		None	J	T					
80. Steris Corp.	B	Dividend	L	T					
81. Wells Fargo Co. PFD	D	Dividend	M	T					
82. Bank of America, NA (formerly FIA Card SVS NA)	A	Interest	M	T					
83.									
84. MISCELLANEOUS (H)									
85. LRF Limited Pship	A	Royalty	J	W					

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
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86.									
87. SPOUSE - SEPARATE PROPERTY (H)									
88. EDWARD JONES -- (H)									
89. Am Fund Co. Class A Capital Income Builder Fund	B	Dividend	M	T					
90. Am Fund Co. Class A Growth Fund of Am.	A	Dividend	M	T					
91. Pacific Life Fund Optimization Conservative Class A	B	Dividend	M	T					
92. Tax Exempt Bond Fd of Am Class A - See VIII for explanation	E	Interest			Sold	03/12/04	K	A	
93.									
94. BENIFICIARY-CB&T Trustee IRA of Spouse's Dec'd Parent	C	Distribution	L	T					
95. American Mutual Fund Inc Class A	A	Dividend	K	T					
96. Bond Fund of American Inc Class A	A	Dividend	K	T					
97. Capital World Growth & Income Class A	A	Dividend	K	T					
98. Annuity American General Polaris II Variable Annuity--B Share	A	Dividend	L	T					
99.									
100. IRA-EDWARD JONES CUSTODIAN (H)									
101. John Hancock Lifestyle Growth	A	Dividend	K	T					
102. STOCKS (H)									

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103. Conagra Foods, Inc.	A	Dividend	J	T					
104. Lamb Weston Holding, spin-off of Conagra Foods, Inc.	A	Dividend	J	T	Spinoff (from line 103)	11/10/16	J		
105. Coca-Cola Co.	A	Dividend	J	T					
106. Chevron Corp.	A	Dividend	J	T					
107.									
108. Property - DeBaca Co, New Mexico		None	J	W					
109. Property - Brewster Co, TX		None	J	W					
110. Royalty Interest - Upton Co, TX	A	Royalty	J	W					
111. Royalty Interest - Palo Pinto Co, TX	A	Royalty	J	W					

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

Line 71. Separate purchases of iShares 7-10 ETC shown in 2015 Report on lines 68, 70, 72, 74, and 76 combined on this report in Line 71.

Line 92. The 2004 sale of Tax Exempt Bond Fd of Am Class A was overlooked and inadvertently remained on subsequent reports until its discovery when preparing the 2016 report. Values shown are from 2004 sale.

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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/ SAM SPARKS

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