

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 5/15/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) SENIOR ARTICLE III JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
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.)*

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.)*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. CASH ACCOUNTS (H)									
2. American Bank of Commerce	A	Interest	N	T					
3. Chase Bank of Texas Accounts	A	Interest	M	T					
4. ML Bank Deposit Program	C	Interest	J	T					
5. Frost Bank	A	Interest	N	T					
6. Preferred Deposit Money Market	A	Interest	M	T	Buy	12/04/18	M		
7.									
8. STOCKS (H)									
9. AIPS Alerian MLP ETF	B	Dividend	L	T					
10. California Resource	A	Dividend	J	T					
11. Invesco Variable (formerly Powershares Variable Rte Preferred ETF)	D	Dividend	M	T					
12. Morgan Stanley New Money Series A FLT Preferred	D	Dividend	M	T					
13. Occidental Petroleum	A	Dividend	J	T					
14. Royal Dutch Shell PLC	E	Dividend	N	T					
15. SCE Trust Preferred	D	Dividend	L	T	Buy	01/24/18	L		
16. Vaneck Vectors Preferred Securities Ex. Financials	A	Dividend	L	T					
17.									

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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18. BONDS (H)									
19. Abilene TX CTFS	A	Interest	L	T					
20. Austin TX LTD GO	A	Interest	L	T					
21. Beaumont TX ISD	A	Interest	L	T					
22. Cypress-Fairbanks TX ISD	A	Interest	K	T					
23. Dallas Cnty Tx Comnty College	A	Interest	K	T					
24. Dallas TX ISD	A	Interest			Redeemed	02/15/18	K	A	
25. Ft. Worth TX ISD	A	Interest			Redeemed	02/15/18	K	A	
26. Granbury TX ISD	A	Interest	L	T					
27. Harris Cnty TX G/O RFDG	A	Interest			Redeemed	10/1/18	K	A	
28. Houston TX RFDG Pub Impt	A	Interest			Redeemed	03/01/18	L	A	
29. Humble TX ISD	A	Interest			Redeemed	02/15/18	K	A	
30. Jacksonville TX ISD	A	Interest	L	T					
31. La Joya TX ISD	A	Interest	L	T					
32. La Joya TX ISD	A	Interest			Redeemed	02/15/18	J	A	
33. Lubbock TX CTFS	A	Interest	L	T					
34. Northwest TX ISD GO	A	Interest	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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35. Pearland ISD GO	A	Interest	K	T					
36. Plano TX GO BDS	A	Interest			Redeemed	03/01/18	L	A	
37. Richardson TX ISD	A	Interest			Redeemed	02/15/18	J	A	
38. SOCORRO Tex ISD G/O	A	Interest			Redeemed	02/15/18	K	A	
39. UT Austin Rev.	B	Interest			Redeemed	08/15/18	K	A	
40. US Treasury Note	D	Interest	O	T	Buy	07/30/18	O		
41.									
42.									
43. MERRILL LYNCH IRA (H)									
44. CASH ACCOUNT: (H)									
45. Bank of America, NA	A	Interest	M	T					
46.									
47. STOCKS (H)									
48. ALPS Alerian MLPETF	D	Dividend	L	T					
49. American Balance	E	Dividend	P1	T					
50. Bristol Myers Squibb Co.	B	Dividend			Sold	02/22/18	L	E	
51. Chevron-Texaco Corp.	D	Dividend	N	T	Sold (part)	01/24/18	L	F	

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52. DTE Energy PFD	C	Dividend	L	T					
53. Entergy Arkansas PFD	C	Dividend	L	T					
54. Entergy LA PFD	C	Dividend	L	T					
55. Exxon Mobil Corp	C	Dividend	L	T					
56. Halliburton	B	Dividend	K	T					
57. iShares 7-10 ETF	D	Dividend	N	T					
58. iShares 20+ Year Treasury Bond ETF	B	Dividend	M	T					
59. Johnson & Johnson	D	Dividend			Sold (part)	02/22/18	M	F	
60.	D	Dividend			Sold	07/30/18	M	F	
61. Morgan Stanley PFD	C	Dividend	L	T					
62. Nextera Energy PFD	C	Dividend	L	T					
63. Invesco Variable (formerly Powershares Variable Rte Poreferred ETF)	C	Dividend	M	T					
64. Proctor & Gamble Co.	C	Dividend			Sold	03/11/18	M	D	
65. Royal Dutch Shell PLC	D	Dividend	L	T					
66. SCE Trust II PDFSTK 05.100% Jan. 1 2049	C	Dividend	L	T					
67. Steris Corp.	B	Dividend			Sold	01/24/18	L	F	
68. Vanguard (VCSH)	B	Dividend	L	T	Buy	01/24/18	L		

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69. Vanguard (VCIT)	C	Dividend	L	T	Buy	02/24/18	L		
70. Vanguard (VCSH)	B	Dividend	L	T	Buy	02/22/18	L		
71. Vanguard (VCIT)	C	Dividend	L	T	Buy	02/21/18	L		
72. Vanguard (VCSH)	A	Dividend	L	T	Buy	05/11/18	L		
73. Vanguard (VCIT)	B	Dividend	K	T	Buy	05/11/18	L		
74.									
75. BONDS: (H)									
76. US Treasury Bill	B	Interest			Buy	07/30/18	M		
77.					Redeemed	11/15/18	M	A	
78. US Treasury Note 2%	A	Interest	L	T	Buy	08/02/18	L		
79.									
80. MISCELLANEOUS (H)									
81. LRF Limited Pship	A	Royalty	J	W					
82.									
83. ████████ - SEPARATE PROPERTY (H)									
84. EDWARD JONES -- (H)									
85. Am Fund Co. Class A Capital Income Builder Fund	B	Dividend	M	T					

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86. Am Fund Co. Class A Growth Fund of Am.	A	Dividend	M	T					
87. Pacific Life Fund Optimization Conservative Class A	B	Dividend	M	T					
88.									
89. BENIFICIARY-CB&T Trustee IRA of Spouse's Dec'd Parent	C	Distribution	L	T					
90. American Mutual Fund Inc Class A	A	Dividend	K	T					
91. Bond Fund of American Inc Class A	A	Dividend	K	T					
92. Capital World Growth & Income Class A	A	Dividend	K	T					
93. Annuity American General Polaris II Variable Annuity--B Share	A	Dividend	L	T					
94.									
95. IRA-EDWARD JONES CUSTODIAN (H)									
96. John Hancock Lifestyle Growth	A	Dividend			Sold	05/18/18	L	A	
97. STOCKS (H)									
98. Conagra Foods, Inc.	A	Dividend	J	T					
99. Lamb Weston Holding, spin-off of Conagra Foods, Inc.	A	Dividend	J	T					
100. Coca-Cola Co.	A	Dividend	J	T					
101. Chevron Corp.	A	Dividend	J	T					
102.									

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103. Property - DeBaca Co, New Mexico		None	J	W					
104. Property - Brewster Co, TX		None	J	W					
105. Royalty Interest - Upton Co, TX	A	Royalty	J	W					
106. Royalty Interest - Palo Pinto Co, TX	A	Royalty	J	W					

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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/ 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