

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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 05/15/2010
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 01/01/2009 to 12/31/2009
7. Chambers or Office Address United States Courthouse 200 West Eighth St., Suite 100 Austin, Texas 78701-2333	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. State Bar of Texas	March 6, 2009	San Antonio, Texas	Educational Seminar	Transportation
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. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____
4. _____	_____	_____
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. _____	_____	_____
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%)		None	L	T					
2.									
3. CASH ACCOUNTS:									
4. American Bank of Commerce	B	Interest	M	T					
5. Chase Bank of Texas Accounts	A	Interest	M	T					
6. RBC Prime Money Market Fund (formerly Dain Rauscher account)	C	Dividend	M	T					
7. Citibank	B	Interest			Closed	05/27/09	M	B	Market
8. Frost Bank	A	Interest	M	T	Open	05/27/09	M		Market
9.									
10. STOCKS:									
11. Occidental Petroleum	A	Dividend	J	T					
12.									
13. TAXABLE FIXED INCOME (CDs):									
14. Comerica Bk Detroit Mich	A	Interest			Redeemed	08/07/09	L	C	Market
15. Doral Bk Catano PR	A	Interest			Redeemed	06/12/09	L	A	Market
16.									
17. BONDS:									

1. Income Gain Codes:

(See Columns D3 and D4)

2. Value Codes

(See Columns C3 and D3)

3. Value Method Codes

(See Column C7)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

K = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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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)
18. Allen TX ISD GO	A	Interest			Redeemed	02/17/09	J	A	Market
19. Allen TX ISD GO	A	Interest	J	T					
20. Allen TX ISD GO	A	Interest	J	T					
21. Arlington TX ISD	A	Interest			Redeemed	02/17/09	K	A	Market
22. Austin TX Community College	B	Interest	K	T					
23. Austin Tx GO	A	Interest	K	T					
24. Austin TX Higher Ed Auth	A	Interest	J	T					
25. Barbers Hill TX GO	A	Interest	K	T					
26. Baytown Tx GO	B	Interest	K	T					
27. Bexar Cnty Tx GO	A	Interest	K	T					
28. Brazosport TX ISD	A	Interest	K	T	Buy	08/26/09	K		Market
29. Canadian River Mun. Tx. Rv.	B	Interest	K	T					
30. Canyon TX ISD GO	A	Interest	K	T					
31. Carrollton TX GO	A	Interest	K	T					
32. Cedar Hill TX ISD	A	Interest	J	T					
33. Cedar Park TX Util Sys	B	Interest	K	T					
34. Columbia & Brazoria Co. GO	B	Interest			Redeemed	02/02/09	K	A	Market

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

I = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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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/yyyy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. Columbia & Brazoria GO	B	Interest	K	T					
36. Conal TX ISD	A	Interest	J	T					
37. Conal TX ISD (incorrectly listed in 2008 as "Coman")	A	Interest	J	T					
38. Collin Co. TX GO	B	Interest	K	T					
39. Crowley TX ISD GO	A	Interest	K	T					
40. Crowley TX ISD GO	A	Interest	K	T					
41. Cypress-Fairbanks TX ISD	A	Interest	K	T	Buy	08/05/09	K		Market
42. Dallas TX GO	A	Interest	J	T					
43. Dallas TX ISD	A	Interest	K	T	Buy	10/15/09	K		Market
44. Dallas TX ISD	A	Interest	K	T					
45. Del Valle TX ISD	A	Interest	K	T	Buy	03/11/09	K		Market
46. Del Valle TX ISD GO	A	Interest	K	T					
47. Denton TX Util. Sys.	A	Interest	K	T					
48. Dickinson TX ISD GO	B	Interest	K	T					
49. Duncanville TX ISD	A	Interest	K	T					
50. Eagle Mtn. & Saginaw GO	A	Interest	K	T					
51. El Paso TX GO	A	Interest	K	T					

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$2,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$2,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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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.)

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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)
52. Fomey TX ISD GO	A	Interest			Redeemed	09/08/09	J	A	Market
53. Fomey Tx ISD GO	A	Interest			Redeemed	08/17/09	J	A	Market
54. Ft. Worth TX ISD GO	A	Interest	K	T					
55. Frisco Tx ISD GO	A	Interest			Redeemed	12/01/09	K	A	Market
56. Galveston TX Wtrwks	A	Interest	K	T					
57. Goose Creek TX Cons Indpt	A	Interest	K	T	Buy	03/13/09	K		Market
58. Grapevine TX GO	A	Interest	J	T					
59. Grapevine TX Wtr Swr	A	Interest			Redeemed	09/01/09	J	A	Market
60. Harlandale TX ISD GO	A	Interest	J	T					
61. Harris Cnty TX Flood GO	A	Interest			Redeemed	10/01/09	K	A	Market
62. Hawkins TX ISD GO	A	Interest	K	T					
63. Highland Park TX ISD	A	Interest			Redeemed	02/17/09	J	A	Market
64. Houston TX RFDG Pub Impt	A	Interest	L	T	Buy	08/25/09	L		Market
65. Humble TX ISD	A	Interest	K	T					
66. Huntsville TX Ind GO	A	Interest			Redeemed	08/17/09	J	A	Market
67. Irving TX Wtr Wk Swr	A	Interest	K	T					
68. Judson TX ISD	A	Interest			Redeemed	02/02/09	J	A	Market

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 I = 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 P = \$250,000.001 - \$500,000.000	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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69. Lampasas TX ISD	A	Interest	L	T					
70. Lancaster TX ISD GO	A	Interest	K	T					
71. La Vernia TX ISD	A	Interest	K	T	Buy	10/15/09	K		Market
72. Leander TX ISD GO	A	Interest	K	T					
73. Lewisville TX ISD GO	A	Interest			Redeemed	08/17/09	J	A	Market
74. Lindale TX ISD GO	A	Interest	J	T					
75. Lower Colo. Riv. Auth. Tex. Rev.	A	Interest	L	T					
76. Lubbock TX Elec. Lt & Pwr.	A	Interest	J	T					
77. Lubbock TX GO	A	Interest	K	T					
78. Lufkin TX Wtrwks	A	Interest	J	T					
79. McKinney TX ISD	A	Interest	K	T	Buy	08/25/09	K		Market
80. Meridan TX ISD GO	A	Interest	J	T					
81. Midcountry Bk Metropolis, Ill	A	Interest			Redeemed	08/28/09	L	A	Market
82. New Braunfels TX ISD	A	Interest	K	T	Buy	03/09/09	K		Market
83. New Braunfels TX Util Rev	A	Interest	K	T	Buy	10/20/09	K		Market
84. New Caney TX ISD GO	A	Interest	K	T					
85. North Forest ISD GO	A	Interest	J	T					

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes:

(See Columns C1 and D3)

3. Value Method Codes:

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

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R = Cost (Real Estate Only)

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C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

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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.)

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86. Northwest TX ISD	A	Interest	J	T	Buy	10/15/09	J		Market
87. Orange TX GO	A	Interest	K	T					
88. Pearland TX ISD GO	A	Interest	K	T					
89. Pflugerville TX GO	A	Interest	K	T					
90. Plano TX GO	A	Interest	K	T					
91. Plano TX GO BDS	A	Interest	L	T	Buy	08/25/09	L		Market
92. Richardson TX ISD	A	Interest	J	T	Buy	10/19/09	J		Market
93. Sam Rayburn TX Mun Pwr	A	Interest	J	T					
94. San Angelo TX GO	A	Interest	K	T					
95. San Antonio TX Rev	A	Interest	K	T					
96. San Marcos TX GO	B	Interest			Redeemed	08/17/09	K	A	Market
97. San Marcos TX GO PSF	A	Interest	K	T					
98. Sealy TX ISD GO	A	Interest	K	T					
99. Seguin TX GO	B	Interest	K	T					
100. Sheldon TX ISD GO	A	Interest	J	T					
101. Southlake TX GO	A	Interest	K	T					
102. Splendora TX ISD	A	Interest	K	T					

1. Income Gain Codes:

(See Columns B1 and D4)

A = \$1,000 or less

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H = \$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

I2 = More than \$5,000,000

I = \$15,001 - \$50,000

2. Value Codes

(See Columns C1 and D3)

J = \$15,000 or less

K = \$250,001 - \$500,000

L = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

E = \$50,001 - \$100,000

P1 = \$1,000,001 - \$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

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☐ NONE (No reportable income, assets, or transactions.)

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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)
103. Texas St GO	A	Interest	K	T					
104. Travis Co TX GO	A	Interest			Redeemed	03/02/09	J	A	Market
105. Williamson Cnty TX Rd	A	Interest	K	T					
106. UT Austin Rev.	B	Interest	K	T					
107.									
108. DAIN, RAUSCHER IRA:									
109. American Balance	E	Dividend	O	T	Buy (add'l)	01/22/09	N		Market. SEE Note in VIII.
110. Bristol Myers Squibb Co.	B	Dividend	K	T					
111. Chevron-Texaco Corp.	D	Dividend	N	T					
112. Friebe Goldman Halter		None	J	T					
113. Genitope Corp.		None	J	T					
114. Gov't Nat'l MTG Assn. II Pool 3663	B	Interest	K	T					
115. Gov't Nat'l MTG Assn. II Pool 622080	B	Interest	K	T					
116. Gov't Nat'l MTG Assn. II Pool 3700	C	Interest	L	T					
117. Gov't Nat'l MTG Assn. II Pool 3709	C	Interest	L	T					
118. Gov't Nat'l MTG Assn. II Pool 3772	B	Interest	L	T					
119. Gov't Nat'l MTG Assn. II Pool 3664	C	Interest	M	T					

1. Income Gain Codes:
(See Columns B1 and D4)
2. Value Codes:
(See Columns C1 and D3)
3. Value Method Codes:
(See Column C2)
- 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
F = \$50,001 - \$100,000
G = \$100,001 - \$1,000,000
H = \$1,000,001 - \$5,000,000
I = \$5,000,001 - \$25,000,000
J = \$13,000 or less
K = \$15,001 - \$50,000
L = \$50,001 - \$100,000
M = \$100,001 - \$250,000
N = \$250,001 - \$500,000
O = \$500,001 - \$1,000,000
P = \$1,000,001 - \$5,000,000
Q = \$5,000,001 - \$25,000,000
R = Cost (Real Estate Only)
S = Assessment
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)
120. Gov't Nat'l MTG Assn. II Pool 3747		D Interest	M	T					
121. Gov't Nat'l MTG Assn II Pool #1 (Reassigned Pool 579546)		A Interest	J	T					
122. Gov't Nat'l MTG Assn II Pool #2 (Reassigned Pool 3228)		A Interest	J	T					
123. Gov't Nat'l MTG Assn II Pool #3 (Reassigned Pool 3542)		A Interest	K	T					
124. Gov't Nat'l MTG Assn II Pool #4 (Reassigned Pool 3554)		A Interest	K	T					
125. Gov't Nat'l MTG Assn II Pool #5 (Reassigned Pool 3556)		D Interest	N	T					
126. Gov't Nat'l MTG Assn II Pool #6 (Reassigned Pool 003595)		C Interest	M	T					
127. Gov't Nat'l Mtg Assn Pool #3851		D Interest	M	T					
128. Gov't Nat'l Mrg Assn Pool #003830		C Interest	K	T					
129. Gov't Nat'l Mtg Assn Pool #003795		B Interest	K	T					
130. Halliburton		A Dividend	K	T					
131. Spanish Broadcasting, Inc.		None	J	T					
132. Steris Corp.		B Dividend	K	T					
133. RBC Prime Money Market Fund-formerly Tamarack Investment FDS		A Interest	J	T					
134.									
135. MISCELLANEOUS:									
136. LRF Limited Pship		A Royalty	J	W					

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash/Market

E = \$15,001 - \$50,000

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Name of Person Reporting

SPARKS, SAM

Date of Report

05/15/2010

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.									
138. ☐ - SEPARATE PROPERTY									
139. EDWARD JONES --									
140. Capital Income Builder Fund	B	Dividend	L	T					
141. Goldman Sachs Cap-A		None	J	T					
142. Growth Fund of Am.	A	Dividend	L	T					
143. Tax Exempt Bond Fd of Am	E	Interest	K	T					
144. Van Kampen Comstock		None	J	T					
145.									
146. BENEFICIARY: ☐ Trustee IRA ☐	C	Distribution	M	T					
147. American Mutual Fund Inc	A	Dividend	K	T					
148. Bond Fund of American Inc	A	Dividend	K	T					
149. Capital World Growth	A	Dividend	L	T					
150.									
151. IRA-EDWARD JONES CUSTODIAN									
152. Hartford Cap. Appreciation CLA	D	Dividend	K	T					
153. Hartford Global Leaders CLA	D	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I2 = 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 Q = \$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

SPARKS, SAM

Date of Report

05/15/2010

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. Hartford Stock Fund CLA	D	Dividend	J	T					
155. Annuity-Sunamerican Life Insurance Polaris Variable Annuity	A	Dividend	L	T					
156. Property - DeBaca Co, New Mexico		None	J	W					
157. Property - Brewster Co, TX		None	J	W					
158. Royalty Interest - Upton Co, TX	A	Royalty	J	W					
159. Royalty Interest - Palo Pinto Co, TX	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 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	I = \$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

SPARKS, SAM

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

Line 109. Transactions during period 01-22 through 12-22 where earned dividend was reinvested each month.

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Name of Person Reporting

SPARKS, SAM

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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

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544