

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 05/15/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
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.)

<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.				
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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	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	N	T					
4. ML Bank Deposit Program	C	Interest	L	T					
5. Frost Bank	A	Interest	N	T					
6. Preferred Deposit Money Market	A	Interest	L	T					
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					
16. Vaneck Vectors Preferred Securities Ex. Financials	A	Dividend	M	T					
17.									

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

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
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			Redeemed	02/24/19	K	A	
23. Dallas Cnty TX Comnty College	A	Interest			Redeemed	01/04/19	K	A	
24. Granbury TX ISD	A	Interest	L	T					
25. Jacksonville TX ISD	A	Interest	L	T					
26. La Joya TX ISD	A	Interest	L	T					
27. Lubbock TX CTFS	A	Interest	L	T					
28. Northwest TX ISD GO	A	Interest	K	T					
29. Pearland ISD GO	A	Interest	K	T					
30. US Treasury Note	D	Interest			Redeemed	02/28/19	O	A	
31. US Treasury Note	A	Interest	O	T	Buy	10/31/19	O		
32. US Treasury Note	A	Interest	O	T	Buy	09/12/19	O		
33. US Treasury Note	A	Interest	O	T	Buy	03/01/19	O		
34.					Sold (part)	07/17/19	O	A	

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35.					Redeemed	09/03/19	N	A	
36.									
37. MERRILL LYNCH IRA (H)									
38. CASH ACCOUNT (H)									
39. Bank of America, NA	A	Interest	K	T					
40.									
41. STOCKS (H)									
42. ALPS Alerian MLPETF	D	Dividend	L	T					
43. American Balance	E	Dividend	P1	T					
44. Century Link Inc SHS	B	Dividend	L	T	Buy	09/13/19	L		
45. Century Link Inc SHS	A	Dividend	J	T	Buy	11/15/19	K		
46. Chevron-Texaco Corp.	D	Dividend	M	T	Sold (part)	03/01/19	L	A	
47.					Sold (part)	06/28/19	L	E	
48. DTE Energy PFD	C	Dividend	L	T					
49. Entergy Arkansas PFD	C	Dividend			Sold	09/11/19	J	D	
50. Entergy LA PFD	C	Dividend	L	T					
51. Exxon Mobil Corp	C	Dividend	L	T	Sold (part)	06/28/19	K	A	

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2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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52. Haliburton	B	Dividend			Sold	03/01/19	J	E	
53. IShares 7-10 ETF	D	Dividend	N	T					
54. IShares 20+ Year Treasury Bond ETF	B	Dividend	M	T					
55. Morgan Stanley PFD	C	Dividend	L	T					
56. Nextera Energy PFD	C	Dividend	L	T					
57. Invesco Variable (formerly Powershares Variable Rte Preferred ETF)	C	Dividend	M	T					
58. Royal Dutch Shell PLC	D	Dividend	L	T					
59. SCE Trust II PDFSTK 05.100% Jan. 1 2049	C	Dividend	L	T					
60. Vanguard (VCSH)	B	Dividend	L	T					
61. Vanguard (VCIT)	C	Dividend	L	T					
62. Vanguard (VCSH)	B	Dividend	L	T					
63. Vanguard (VCIT)	C	Dividend	L	T					
64. Vanguard (VCSH)	A	Dividend	L	T					
65. Vanguard (VCIT)	B	Dividend	K	T					
66.									
67. BONDS (H)									
68. US Treasury Note 2%	A	Interest	L	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

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69. US Treasury Note 1.000%	A	Interest			Buy	03/04/19	N		
70.					Redeemed	11/15/19	N	A	
71. US Treasury Note 1.125%	A	Interest	M	T	Buy	11/15/19	M		
72. US Treasury Note 3.375%	A	Interest			Buy	07/01/19	M		
73.					Redeemed	11/15/19	J	A	
74. MISCELLANEOUS (H)									
75. LRF Limited Pship	A	Royalty	J	W					
76.									
77. ████████ - SEPARATE PROPERTY (H)									
78. EDWARD JONES -- (H)									
79. Am Fund Co. Class A Capital Income Builder Fund	B	Dividend	M	T					
80. Am Fund Co. Class A Growth Fund of Am.	A	Dividend	M	T					
81. Pacific Life Fund Optimization Conservative Class A	B	Dividend	M	T					
82.									
83. BENIFICIARY-CB&T Trustee IRA █████ ██████████	C	Distribution	L	T					
84. American Mutual Fund Inc Class A	A	Dividend	K	T					
85. Bond Fund of American Inc Class A	A	Dividend	K	T					

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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. Capital World Growth & Income Class A	A	Dividend	K	T					
87. Annuity Americal General Polaris II Variable Annuity--B Share	A	Dividend	L	T					
88.									
89. IRA-EDWARD JONES CUSTODIAN (H)									
90. STOCKS (H)									
91. Conagra Foods, Inc.	A	Dividend	J	T					
92. Lamb Weston Holding, Spin-off of Conagra Foods, Inc.	A	Dividend	J	T					
93. Coca-Cola Co.	A	Dividend	J	T					
94. Chevron Corp.	A	Dividend	J	T					
95.									
96. Property-DeBaca Co, New Mexico		None	J	W					
97. Property-Brewster Co, TX		None	J	W					
98. Royalty Interest - Upton Co, TX	A	Royalty	J	W					
99. 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