

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) Holmes, III, Paul K.	2. Court or Organization U.S. District Court, Western District of Arkansas	3. Date of Report 5/1/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
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 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Director	PKH Properties, LLC
2. Director	BECH Oil & Gas Company
3.	
4.	
5.	

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.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Holmes, III, Paul K.

Date of Report

5/1/2020

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.

Name of Person Reporting	Date of Report
Holmes, III, Paul K.	5/1/2020

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Holmes, III, Paul K.

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5/1/2020

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. ARCB Common	A	Dividend	L	T					
2. CHS Common	A	Dividend			Sold	12/31/19	J		
3. CI Common	A	Dividend	K	T					
4. COP Common	C	Dividend	L	T					
5. DXC Common	A	Dividend	J	T					
6. EOG Common	A	Dividend	L	T					
7. FDX Common	A	Dividend	M	T					
8. GE Common	B	Dividend	K	T					
9. HD Common	C	Dividend	O	T					
10. HPQ Common	B	Dividend	L	T					
11. HPE Common	A	Dividend	L	T					
12. IBKC Common	B	Dividend	L	T					
13. INTC Common	A	Dividend	K	T					
14. JBHT Common	A	Dividend	M	T					
15. JNJ Common	B	Dividend	M	T					
16. JPM Common	A	Dividend	M	T					
17. MSFT Common	C	Dividend	O	T					

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	
3 Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

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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				
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18. MUR Common	B	Dividend	J	T					
19. MUSA Common		None	J	T					
20. NUE Common	C	Dividend	M	T					
21. PFE Common	D	Dividend	N	T					
22. PSX Common	A	Dividend	L	T					
23. RF Common	A	Dividend	J	T					
24. SLB Common	B	Dividend	M	T					
25. SO Common	C	Dividend	M	T					
26. T Common	A	Dividend	J	T					
27. WMMVY Common	A	Dividend	K	T					
28. WMT Common	D	Dividend	O	T					
29. VFH Index Fund	A	Dividend	K	T					
30. Vanguard Total Stock Index Fund	C	Dividend	N	T					
31. Vanguard Extended Market Index Fund	B	Dividend	N	T					
32. Vanguard Growth Index Fund	C	Dividend	N	T					
33. Vanguard Capital Opportunity Fund	D	Dividend	O	T					
34. Vanguard Developed Markets Index Fund	D	Dividend	N	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	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 11

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35. Vanguard Inter-Term Inv. Grade Fund	A	Dividend	M	T					
36. Vanguard Inflation-Protect Sec.	B	Dividend	M	T					
37. Vanguard Inter-Term Tax Exempt Inv.	B	Interest	M	T					
38. Vanguard Inter-Bond Index Fund	C	Dividend	L	T					
39. Fidelity Int. Muni Income Fund	D	Interest	N	T					
40. MFS Investors Trust-A Fund	B	Dividend	N	T					
41. T.Rowe Price Growth Stock Fund	A	Dividend	L	T					
42. T.Rowe Price Personal Strategy Growth Fund	B	Dividend	K	T					
43. T.Rowe Price New Horizons Fund	B	Dividend	L	T					
44. T.Rowe Price International Stock Fund	B	Dividend	M	T					
45. First National Bank of Fort Smith Accounts	A	Interest	J	T					
46. Schwab Cash Reserves	A	Interest	M	T					
47. T.Rowe Price Tax-Exempt Money Mkt. Fund	A	Interest	J	T					
48. Vanguard Tax-Exempt Money Mkt. Fund	A	Interest	N	T					
49. Vanguard Prime Money Mkt. Fund	A	Interest	M	T					
50. Fidelity Municipal Money Mkt. Fund	A	Interest	L	T					
51. PKH Properties, LLC		None	J	W					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 11

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52. BECH Oil & Gas Company	D	Distribution	J	W					
53. HSA Bank Money Mkt. Fund	A	Interest	J	T					
54. TD Ameritrade Money Mkt. Fund (HSA)	A	Interest	J	T					
55. TD Ameritrade SPY Index Fund (HSA)	A	Dividend	K	T					
56. T.Rowe Price- Rollover IRA Acct.(H)									
57. -POMIX	C	Dividend			Sold	11/19/19	M		
58. -PRGIX	E	Dividend			Sold	11/19/19	M		
59. -TRMCX	D	Dividend			Sold	11/19/19	M		
60. -PRTIX	C	Dividend			Sold	11/19/19	M		
61. -PRTXX	A	Dividend			Sold	11/19/19	L		
62. -TRRCX	D	Dividend			Sold	11/19/19	N		
63. -RPSIX	D	Dividend			Sold	11/19/19	M		
64. -NUE Common	C	Dividend			Sold	11/19/19	M		
65. -CVX Common	C	Dividend			Sold	11/19/19	L		
66. -VIMSX	D	Dividend			Sold	11/19/19	N		
67. -FIGRX	D	Dividend			Sold	11/19/19	N		
68. T.Rowe Price- Ind. 401K(H)									

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FINANCIAL DISCLOSURE REPORT

Page 8 of 11

Name of Person Reporting

Holmes, III, Paul K.

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69. -TRRHX	B	Dividend			Sold	11/19/19	L		
70. Vanguard Ind. Roth IRA(H)									
71. -VSMAX (See Part VIII)	A	Dividend	J	T					
72. -VSMAX (See Part VIII)	A	Dividend	J	T					
73. Lincoln National Whole Life		None	K	T					
74. Union Central Whole Life	A	Dividend	J	T					
75. Transamerica Whole Life	A	Dividend	J	T					
76. T.Rowe Price Equity Income Fund	C	Dividend	M	T					
77. T.Rowe Price Extended Equity Market Index Fund	C	Dividend	M	T					
78. T.Rowe Price Health Sciences Fund	C	Dividend	M	T					
79. T.Rowe Price New Horizons Fund	C	Dividend	M	T					
80. T.Rowe Price Science & Technology Fund	B	Dividend	M	T					
81. T.Rowe Price GNMA Fund	A	Dividend	L	T					
82. T.Rowe Price New Income Fund	A	Dividend	M	T					
83. T.Rowe Price Tax-Free High Yield Fund	A	Dividend	L	T					
84. T.Rowe PriceTax-Free Income Fund	A	Dividend	K	T					
85. T.Rowe Price Tax-Free Short Term Intermediate Fund	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 9 of 11

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Holmes, III, Paul K.

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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)
86. T.Rowe Price Government Money Fund	A	Dividend	J	T					
87. American Century International Growth Fund	A	Dividend	L	T					
88. Vanguard 500 Index Fund	A	Dividend	L	T					
89. Vanguard Wellsley Income Fund	A	Dividend	K	T					
90. T.Rowe Price Equity 500 Index Fund	B	Distribution	K	T					
91. AEP Common	A	Dividend	L	T					
92. BAC Common	A	Dividend	J	T					
93. FCX Common	A	Dividend	J	T					
94. MRK Common	A	Dividend	J	T					
95. PNC Common	A	Dividend	K	T					
96. PSA Common	B	Dividend	K	T					
97. SPGI Common	B	Dividend	M	T					
98. SPY Index Fund	B	Dividend	L	T					

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FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

Holmes, III, Paul K.

Date of Report

5/1/2020

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

1. Line 71 NAESX symbol changed to VSMAX- same asset.
2. Line 72 NAESX symbol changed to VSMAX- same asset.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Holmes, III, Paul K.

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5/1/2020

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544