

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) PARKER, JAMES A.	2. Court or Organization U.S. DISTRICT COURT	3. Date of Report 04/10/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S.DIST.JUDGE(SENIOR)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address 421 Gold Ave., S.W. ALBUQUERQUE, N.M. 87102		
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.	Co-Manager	JFPF [REDACTED], LLC
2.		
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

PARKER, JAMES A.

Date of Report

04/10/2015

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. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

PARKER, JAMES A.

Date of Report

04/10/2015

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

PARKER, JAMES A.

Date of Report

04/10/2015

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. Bascom ValueAdded Apartment Investors II	A	Distribution	L	U					
2. Bank of Am Checking/Savings (Albuquerque, NM)	A	Interest	L	T					
3. Bank of Am CDs/Checking Acct (LLC) (Denver, CO)	A	Interest	O	T					
4. REAL ESTATE INTERESTS (H)									
5. Parcel #1, Harris Co., TX (Undivided 50%) (LLC) (\$278,174)		None	J	S					
6. Parcel #3, Harris Co., TX (Undivided 50%) (LLC) (\$1,817,168)		None	J	S					
7. Parcel #1, Live Oak Co., TX (Undivided 50%) (LLC) (\$53,349)	A	Rent	J	S					
8. Parcel #1, Bernalillo Co. NM (Undivided 25%) (LLC) (\$40,725)		None	J	S					
9. Parcel #2, Bernalillo Co., NM (Undivided 50%) (LLC) (\$37,850)		None	J	S					
10. Parcel #1, La Plata Co., CO (Undivided 25%) (LLC) (\$55,000)	A	Rent	J	S					
11. MINERAL PROPERTIES OKLAHOMA: (H)									
12. Love Co.	B	Royalty	J	W					
13. MINERAL PROPERTIES TEXAS: (H)									
14. Live Oak Co	A	Royalty	J	W					
15. MINERAL PROPERTIES COLORADO: (H)									
16. Adams Co.	A	Distribution	J	U					
17. Arapahoe Co.	A	Distribution	J	U					

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 ~\$250,000,001 - \$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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

Name of Person Reporting

PARKER, JAMES A.

Date of Report

04/10/2015

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 I (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. Weld Co.	B	Distribution	J	U					
19. Washington Co.	B	Distribution	K	U					
20. Mile Hi Flea Market	A	Distribution	J	W					
21. Westfield Res. Partners		None	J	W					
22. Denver Minerals & Royalty	B	Distribution	J	W					
23. Prospect Global Resources		None			Closed	01/12/14	J		
24. FIDUCIARY TRUST INT'L ACCOUNT: (H)									
25. Celgene Corp		None	L	T					
26. Franklin Int'l Growth Fund	A	Interest	K	T					
27. Franklin Large Cap Equity	C	Interest	O	T	Sold (part)	08/26/14	J	A	
28.					Buy (add'l)	12/17/14	L		
29. Franklin U.S. Government Securities	A	Interest			Sold	08/26/14	J		Open Market (Loss)
30. Franklin Small Cap	A	Dividend	M	T	Buy (add'l)	12/18/14	J		
31. Templeton Income Global	B	Distribution			Sold	08/26/14	J	A	
32. Templeton Inst'l Funds Foreign Equity	A	Dividend	K	T	Sold (part)	08/26/14	J	A	
33. L'Occitane		None			Sold	06/17/14	J		Open Market (Loss)
34. Carefusion Corp.		None	J	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 11

Name of Person Reporting

PARKER, JAMES A.

Date of Report

04/10/2015

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)

35. Avago Technologies	A	Dividend	J	T					
36. ACE Ltd	A	Dividend	K	T					
37. Apple Inc	A	Dividend	K	T					
38. ISHARES MSCI Emerging Markets	A	Dividend	J	T	Buy	09/18/14	J		
39. JP Morgan Chase	A	Dividend	K	T					
40. Apex Operating Co., LLC		None	M	W					
41. Wisdom Tree Emerging Markets Fund	A	Dividend			Sold	09/12/14	K		(Open Market (Loss))
42. Hyundai Motor Co	A	Dividend	K	T					
43. Pioneer Oak Ridge Small Cap	D	Dividend	M	T					
44. Vanguard Emerging Markets	C	Interest	M	T	Sold (part)	09/12/14	K	B	
45. Noble Energy	A	Dividend	L	T					
46. EMC Corp	A	Dividend	K	T					
47. Siemens AG	A	Dividend	J	T					
48. Johnson & Johnson	A	Dividend	K	T					
49. U.S. Treasury Notes	D	Interest	M	T					
50. Compass/BBVA check acct.	A	Interest	K	T					
51. Compass/BBVA trust acct	A	Int./Div.			Donated				

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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person Reporting

PARKER, JAMES A.

Date of Report

04/10/2015

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)

52. AXA IRA (93 holdings all below reporting threshold: \$34.08-\$155.55)	A	Int./Div.	K	T					
53. USAA CDs	A	Interest	K	T					
54. USAA FUND ADVISOR ACCOUNT: (H)									
55. USAA Growth Fund International	D	Distribution	L	T	Sold (part)	03/19/14	J	A	
56. USAA Income Stock Fund	B	Dividend	L	T	Sold (part)	03/19/14	J	A	
57. USAA International Fund	A	Dividend	L	T	Sold (part)	03/19/14	J	A	
58. USAA Small Cap Stock Fund	B	Distribution	K	T					
59. USAA Emerging Markets Fund	A	Dividend	K	T	Buy (add'l)	03/19/14	J		
60. USAA Precious Metals Fund	A	Distribution	J	T	Sold (part)	03/19/14	J		Open Market (loss)
61. USAA High Income Fund	B	Distribution	K	T					
62. USAA Income Fund Institutional	B	Dividend	M	T	Sold (part)	03/19/14	J	A	
63. USAA Intrm-Term Bond Fund	B	Dividend	L	T	Buy (add'l)	03/19/14	J		
64. USAA Real Return Funds	A	Dividend	J	T	Buy (add'l)	03/19/14	J		
65. USAA Short-Term Bond Fund	B	Distribution	L	T	Buy (add'l)	03/19/14	J		
66. USAA Managed Allocation Fund	A	Dividend	L	T	Buy (add'l)	03/19/14	J		
67. USAA Subscriber's Account	A	Distribution	J	T					
68. CHARLES SCHWAB ACCOUNT: (H)									

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 \$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	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 8 of 11

Name of Person Reporting

PARKER, JAMES A.

Date of Report

04/10/2015

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)
69. Vanguard Short Term Tax Exempt	A	Dividend			Sold	10/24/14	K	A	
70. Vanguard Short Term Fund	A	Dividend			Sold	10/24/14	K	A	
71. Manning & Napier	B	Dividend			Sold	10/24/14	K	A	
72. Pimco Fundamental	A	Dividend			Sold	10/24/14	K		Open Market (Loss)
73. Pimco All Asset	A	Dividend			Sold	10/24/14	K		Open Market (Loss)
74. Pimco Global Bond	A	Dividend			Sold	10/24/14	K	A	
75. FPA New Income	A	Dividend			Sold	10/24/14	K		Open Market (Loss)
76. Copeland Risk Managed Fund	A	Dividend			Sold	10/24/14	K	C	
77. T Rowe Price Summit Muni Fund	A	Dividend			Sold	10/24/14	K	A	
78. Blackrock Strat Fund	A	Dividend			Sold	10/24/14	K	A	
79. Schwab Gov Money Fund	A	Interest			Sold	10/24/14	J		
80.									
81.									
82.									
83.									
84.									
85.									

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 \$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	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 9 of 11

Name of Person Reporting

PARKER, JAMES A.

Date of Report

04/10/2015

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)

86.									
87.									
88.									
89.									
90.									
91.									
92.									

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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

PARKER, JAMES A.

Date of Report

04/10/2015

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

The interest of JPFP [REDACTED], LLC in Prospect Global Resources (Line 26, Part VII) became worthless during 2014 and the LLC in December, 2014 formally disclaimed any further interest in Prospect Global Resources.

The entries on Lines 5,6,7,8,9,10,14,16,17,18,19,20,21,22, and 23, Part VII reflect my 2% ownership interest in JPFP Family, LLC which is the owner of the assets described on those lines.

The Adams Co., Colorado mineral properties reported on Line 16, Part VII are working interests; in addition there were royalty interests in Adams Co. that produced income in category A and that had a year end Value K under value code U.

The Weld Co., Colorado mineral properties reported on Line 18, Part VII are working interests; in addition there were royalty interests in Weld Co. that produced income in category G and that had a year end Value N under value code U.

The securities shown on Lines 25 through 49 of Part VII were held during 2014 by Fiduciary Trust International either in an I.R.A. account and/or in managed accounts.

The securities shown on Lines 55 through 67 of Part VII were held during 2014 by USAA either in an I.R.A. account and/or in a managed account.

The asset shown on Line 51, Part VII was given [REDACTED].

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

PARKER, JAMES A.

Date of Report

04/10/2015

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/ JAMES A. PARKER

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