

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Zapata, Frank R.	2. Court or Organization U.S. District Court	3. Date of Report 11/15/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge, Senior Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address Evo A. DeConcini U.S. Courthouse 405 W. Congress, Suite 5160 Tucson, AZ 85701-5050		
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.)*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. 2016

Arizona State Retirement System

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. _____

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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.	Just the Beginning - A Pipeline Organization (consisting primarily of judges)	Honored as one of five Trailblazer Judges / provided hotel accommodations and meals	\$1,489.00
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. Chase Bank Savings/Checking Account	A	Interest	N	T					
2. Pensco Trust Co. Denver, CO.	B	Dividend	L	T	Redeemed (part)	02/01/16	J		
3. -CGM ADV Targeted Equity FD CL A (31)					Merged (with line 4)	02/18/16	J		
4. -Loomis Sayles LTD TRM Gov & Agny FD CL A 1460	A	Dividend	K	T					
5. -Loomis Sayes Value CL A	A	Dividend	J	T					
6. Security Benefit Life TSA Topeka, CA	A	Interest	M	T	Redeemed (part)	11/15/16	J		
7. GWN Securities, Inc / Vanguard SAM Conservative (IRA)	A	Dividend	K	T	Open	11/17/16	L		
8. -Vanguard 500 Index Admiral (VFIAX)	A	Dividend	J	T					
9. -Vanguard Equity-Income ME ADM (VEIRX)	A	Dividend	J	T					
10. -Vanguard Total INTL Stock Index Admiral (VTIAX)	A	Dividend	J	T					
11. -Vanguard Short-Term Bond Index ADM (VBIRX)	A	Interest	K	T					
12. -Vanguard Short-Term Federal ADM (VSGDX)	A	Interest	J	T					
13. -Vanguard Total Bond Market Index ADM (VBTIX)	A	Interest	K	T					
14. Cambridge Investment Research, Inc. / Pershing LLC (IRA)		None			Closed	12/07/16	K		
15. -American Funds Fundamental Investors F		None			Closed	12/07/16	J		
16. -Ammerican Funds Inc Fund of America F		None			Closed	12/07/16	J		
17. -Brokerage Money Market		None			Closed	12/07/16	J		

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 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P = \$500,001 - \$1,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 Q = More than \$50,000,000	
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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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. -Fidelity Select Wireless Fund		None			Closed	12/07/16	J		
19. -Fidelity Small Cap Growth Fund		None			Closed	12/07/16	J		
20. -Frranklin Income Fund - Advisor Class		None			Closed	12/07/16	J		
21. -Franklin Utilities Fund - Advisor Class		None			Closed	12/07/16	J		
22. -Putnam Floating Rate Income CL-Y		None			Closed	12/07/16	J		
23. American Funds: The Growth Fund of America-A		None	K	T	Buy	12/09/16	K		
24. Tucson Federal Credit Union	A	Interest	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	

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

Part VII. Investments and Trusts

Line 2. Pensco Trust Co. Denver, Co value is corrected to L = 50,000 - \$100,000.

Undersigned's and [REDACTED] separate Pensco Trust Co. (IRA) accounts were previously reported as one account valued at M = \$100,001 - \$250-000, rather than two separate accounts.

[REDACTED] separate Pensco Trust Co. (IRA) was transferred to GWN Securities Inc./ Vanguard SAM Conservative (IRA) as reported on Line 7.

The correct value for undersign's Pensco Trust Co. is as shown in Line 2.

Line 14. Cambridge Investment Research, Inc. (IRA), and each of the assets therein, Lines 15 - 21, was closed on 12/07/16 with a value of K = \$15,001 - \$50,000. No income during reporting period.

The funds from this account were used to open American Funds: The Growth fund of America-A, listed on Line 23.

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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/ **Frank R. Zapata**

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
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