

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) PARKER, JAMES A.	2. Court or Organization U.S. DISTRICT COURT	3. Date of Report 04/28/2017
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 01/01/2016 to 12/31/2016
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	JPFP Family, 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.		

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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.)*

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.

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. Bascom ValueAdded Apartment Investors II	E	Distribution	L	U					
2. Bank of Am Checking/Savings (Albuquerque, NM)	A	Interest	J	T					
3. Bank of Am CDs/Checking Acct (LLC) (Denver, CO)	A	Interest	J	T					
4. REAL ESTATE INTERESTS (H)									
5. Parcel #1, Harris Co., TX (Undivided 50%) (LLC) (\$278,174)		None	J	S					
6.									
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 43.75% (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 (LLC)	A	Royalty	J	W					
15. MINERAL PROPERTIES COLORADO: (H)									
16. Adams Co.(LLC)	A	Distribution	J	U					
17. Arapahoe Co. (LLC)		None			Sold	10/16/14	J	A	Sovereign Energy, LLC

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	

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☐ 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. (LLC)	C	Distribution	J	U					
19. Washington Co. (LLC)	A	Distribution	J	U	Sold (part)	10/16/14	J	A	Sovereign Energy, LLC
20. Mile Hi Flea Market (LLC)	A	Distribution			Sold	02/12/16	L	A	Mile Hi Flea Market
21. Westfield Res. Partners (LLC)		None	J	W					
22. Denver Minerals & Royalty	D	Distribution	J	W					
23.									
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	B	Int./Div.			Merged (with line 28)	03/15/16	M		Merger without gain
28. Franklin Custodian Fds Growth Adv Class	D	Int./Div.	O	T	Buy (add'l)	12/05/16	K		
29. Franklin Small Cap	A	Dividend	M	T	Buy (add'l)	12/19/16	J		
30. Franklin US Government Securities Fund	C	Interest	M	T					
31.									
32. Templeton Inst'l Funds Foreign Equity	A	Int./Div.			Merged (with line 41)	04/21/16	J		Merger--name change
33. Broadcom Ltd	A	Dividend	L	T	Merged (with line 35)	02/02/16	J		Merger without gain
34. Chubb Ltd	A	Dividend	J	T	Merged (with line 36)	01/19/16	J		Merger without gain

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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☐ 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		None				02/02/16	J		Merger with Line 33
36. ACE Ltd		None				01/19/16	J		Merger with Line 34
37. Apple Inc	A	Dividend	K	T					
38. ISHARES MSCI Emerging Markets	B	Dividend	M	T					
39. JP Morgan Chase	A	Dividend	K	T					
40. Apex Operating Co., LLC		None	M	W					
41. International Equity Series CL P	A	Int./Div.	K	T	Buy	09/07/16	K		Merger with Line 32
42.									
43. Pioneer Oak Ridge Small Cap		None	L	T					
44. Dell Technologies, Inc.		None	K	T	Merged (with line 46)	09/08/16	K		Merger without gain
45. Noble Energy	A	Dividend	L	T					
46. EMC, Corp		None				09/08/16	K		Merger with Line 44
47. Siemens AG	A	Dividend	J	T					
48. Johnson & Johnson	B	Dividend	K	T					
49. U.S. Treasury Notes									See line 30
50. Compass/BBVA check acct.	A	Interest	K	T					
51.									

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

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52. AXA IRA (93 holdings all below reporting threshold: \$33.05 to \$595.45)	B	Int./Div.	K	T					
53. USAA CDs	A	Interest	K	T					
54. USAA FUND ADVISOR ACCOUNT: (H)									
55. USAA Growth Fund Instl	A	Distribution	L	T	Buy (add'l)	02/19/16	J		
56. USAA Income Stock Fund Instl	B	Dividend	L	T	Buy (add'l)	02/19/16	J		
57. USAA International Fund	B	Dividend	M	T	Buy (add'l)	02/19/16	J		
58. USAA Small Cap Stock Fund	B	Distribution	L	T	Buy (add'l)	02/19/16	J		
59. USAA Emerging Markets Fund	A	Dividend	K	T	Buy (add'l)	02/19/16	J		
60. USAA Precious Metals Fund	A	Distribution			Sold	02/18/16	J		Sold at a loss
61. USAA High Income Fund	B	Distribution	K	T	Buy (add'l)	05/26/16	J		
62. USAA Income Fund Institutional	C	Dividend	M	T					
63. USAA Intrm-Term Bond Fund	A	Dividend	L	T					
64. USAA Real Return Funds	A	Dividend			Sold	02/18/16	J		Sold at a loss
65. USAA Short-Term Bond Fund	A	Interest	K	T					
66. USAA Managed Allocation Fund	B	Dividend	K	T					
67. USAA Subscriber's Account	A	Distribution	J	T					
68.									

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69.									
70. Charles Schwab Money Fund	A	Interest	K	T					
71.									
72. USAA Short-Term Bond Fund	A	Interest	K	T	Sold (part)	02/18/16	J		Sold at a loss
73.					Sold (part)	05/18/16	J		Sold at a loss
74.					Sold (part)	09/14/16	J		Sold at a loss
75.					Buy (add'l)	04/29/16	J		
76.					Buy (add'l)	05/31/16	J		
77. USAA Intermediate Term Bond Fund	A	Interest	L	T	Buy (add'l)	01/29/16	J		
78.					Buy (add'l)	02/19/16	J		
79.					Buy (add'l)	04/29/16	J		
80.					Buy (add'l)	05/19/16	J		
81.					Buy (add'l)	05/31/16	J		
82.									
83.									
84. USAA High Income Fund	B	Distribution	K	T	Buy (add'l)	02/19/16	J		
85.					Buy (add'l)	05/26/16	J		

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86.					Buy (add'l)	06/28/16	J		
87.									
88. USAA Income Fund Institutional	C	Dividend	M	T	Buy (add'l)	02/19/16	J		
89.					Buy (add'l)	04/27/16	J		
90.					Buy (add'l)	05/26/16	J		
91.					Buy (add'l)	06/28/16	J		
92.									

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

The entries on Lines 3,5,7,8,9,10,14,16,17,18,19,20, and 21, 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 J 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 C and that had a year end Value J under value code U.

The securities shown on Lines 25 through 49 of Part VII were held during 2016 by Fiduciary Trust International either in an I.R.A. account and/or in managed accounts.

The securities shown on Lines 55 through 67 and Lines 72, 77, 84, and 88 of Part VII were held during 2016 by USAA either in an I.R.A. account and/or in a managed account.

The asset shown on Line 6 of my 2015 report was sold to a qualified intermediary, Asset Preservation, in a 1031 exchange that was finalized April 4, 2016. The 1031 exchange increased the ownership interest of the asset shown on Line 10 from 25% to 43.75%.

I own interests in Denver Minerals & Royalty (Line 22, Part VII) both individually and through my 2% ownership of JPFP Family, LLC, which also owns an interest in Denver Minerals & Royalty. The income and year end values shown on Line 22 are a combination of my personal and derivative interests.

Frisco Energy, LLC; L.E. Jones Operating, Inc.; Mustang Fuel Corp.; XTO, Inc.; and Enterprise, Inc. paid royalties during 2016 on the mineral properties in Love County, Oklahoma shown on Line 12, Part VII.

Suncor Energy Marketing, Inc.; Peterson Energy Operating, Inc.; and Kerr-McGee Oil & Gas paid royalties or made distributions on working interests during 2016 on the mineral properties in Adams County, Colorado shown on Line 16, Part VII.

Sovereign Energy, LLC last paid royalties during 2015 on the mineral properties in Arapahoe County, Colorado (see Line 17, Part VII). These mineral properties were sold to Sovereign Energy, LLC on October 16, 2014, as reported on Line 17, Part VII.

Lilis Energy, Inc.; Noble Energy; Kerr-McGee Oil & Gas; Encana Oil & Gas; and Suncor Energy Marketing, Inc paid royalties or made distributions on working interests during 2016 on the mineral properties in Weld County, Colorado shown on Line 18, Part VII.

Plains Marketing, LP; made distributions on working interests during 2016 on the mineral properties in Washington County, Colorado shown on Line 19, Part VII. (Other mineral interests in Washington Co., Colorado were sold to Sovereign Energy, LLC on October 16, 2014 as shown on Line 19, Part VII)

Templeton Inst'l Funds Foreign Equity (reported on Line 32) changed its name to International Equity Series CL P (reported on Line 41).

On March 15, 2016 Franklin Large Cap Equity Fund (reported on Line 27) merged into Franklin Custodian Fds Growth Adv Class (reported on Line 28) without gain.

On September 8, 2016, EMC Corp, (reported on Line 46) merged into Dell Technologies, Inc., (reported on Line 44) without gain.

USAA Short Term Bond Fund is shown on both Lines 65 and 72 to allow space to show all transactions during 2016. Line 65 will be eliminated on my 2017 report.

USAA Intermediate Term Bond Fund is shown on both Lines 63 and 77 to allow space to show all transactions during 2016. Line 63 will be eliminated on my 2017 report.

USAA High Income Fund is shown on both Lines 61 and 84 to allow space to show all transactions during 2016. Line 61 will be eliminated on my 2017 report.

U.S. Treasury Notes (Line 49) should actually be identified as Franklin US Government Securities Fund (Line 30). Line 49 will be eliminated on my 2017 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/ 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