

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) Holmes, III, Paul K.	2. Court or Organization U.S. District Court, Western District of Arkansas	3. Date of Report 06/29/2017
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 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
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.	

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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

Fort Smith Public School District- Substitute teaching

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.		
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. ARCB Common	A	Dividend	L	T					
2. CHS Common	A	Dividend	J	T					
3. CNP Common	A	Dividend	J	T					
4. COP Common	C	Dividend	L	T					
5. EOG Common		None	L	T					
6. ESRX Common		None	L	T					
7. FDX Common	A	Dividend	M	T					
8. GE Common	B	Dividend	L	T					
9. HD Common	C	Dividend	N	T					
10. HPQ Common	B	Dividend	L	T					
11. HPE Common		None	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	L	T					
16. JPM Common	A	Dividend	L	T					
17. MON Common	A	Dividend	K	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 H = \$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	

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18. MSFT Common	C	Dividend	M	T					
19. MUR Common	B	Dividend	J	T					
20. MUSA Common		None	J	T					
21. NUE Common	C	Dividend	M	T					
22. PFE Common	D	Dividend	N	T					
23. PSX Common	A	Dividend	L	T					
24. RF Common	A	Dividend	J	T					
25. RIG Common	A	Dividend	J	T					
26. SLB Common	B	Dividend	M	T					
27. SO Common	C	Dividend	M	T					
28. T Common	A	Dividend	J	T					
29. WMMVY Common	A	Dividend	K	T					
30. WMT Common	D	Dividend	O	T					
31. VFH Index Fund	A	Dividend	K	T					
32. Vanguard Total Stock Index Fund	C	Dividend	N	T					
33. Vanguard Extended Market Index Fund	B	Dividend	M	T					
34. Vanguard Growth Index Fund	C	Dividend	M	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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35. Vanguard Capital Opportunity Fund	D	Dividend	O	T	Buy (add'l)	12/27/16	J		
36. Vanguard Developed Markets Index Fund	D	Dividend	M	T					
37. Vanguard Total Int. Stock Index Fund	C	Dividend			Sold	12/28/16	M		
38. Vanguard Inter-Term Inv. Grade Fund	A	Dividend	M	T					
39. Vanguard Inflation-Protect Sec.	B	Dividend	L	T					
40. Vanguard Inter-Term Tax Exempt Inv.	B	Interest	M	T					
41. Vanguard Inter-Bond Index Fund	C	Dividend	L	T					
42. Fidelity Int. Muni Income Fund	D	Interest	N	T					
43. MFS Investors Trust-A Fund	B	Dividend	L	T					
44. T.Rowe Price Growth Stock Fund	A	Dividend	L	T					
45. T.Rowe Price Personal Strategy Growth Fund	B	Dividend	K	T					
46. T.Rowe Price New Horizons Fund	B	Dividend	K	T					
47. T.Rowe Price International Stock Fund	B	Dividend	L	T					
48. First National Bank of Fort Smith Accounts	A	Interest	J	T					
49. Schwab Cash Reserves	A	Interest	L	T					
50. T.Rowe Price Tax-Exempt Money Mkt. Fund	A	Interest	J	T					
51. Vanguard Tax-Exempt Money Mkt. Fund	A	Interest	M	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
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52. Vanguard Prime Money Mkt. Fund	A	Interest	J	T					
53. Fidelity Municipal Money Mkt. Fund	A	Interest	L	T					
54. PKH Properties, LLC		None	J	W					
55. BECH Oil & Gas Company	D	Distribution	K	W					
56. HSA Bank Money Mkt. Fund	A	Interest	J	T					
57. TD Ameritrade Money Mkt. Fund (HSA)	A	Interest	J	T					
58. TD Ameritrade SPY Index Fund (HSA)	A	Dividend	K	T					
59. T.Rowe Price- Rollover IRA Acct.									
60. -POMIX	C	Dividend	M	T					
61. -PRGIX	E	Dividend	M	T					
62. -TRMCX	D	Dividend	M	T					
63. -PRTIX	C	Dividend	M	T					
64. -PRTXX	A	Dividend	L	T					
65. -TRRCX	D	Dividend	N	T					
66. -RPSIX	D	Dividend	M	T					
67. -ESRX Common		None	K	T					
68. -INTC Common	B	Dividend	L	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
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69. -NUE Common	C	Dividend	L	T					
70. -CVX Common	C	Dividend	L	T					
71. -VIMSX	D	Dividend	N	T					
72. -FIGRX	D	Dividend	N	T					
73. T.Rowe Price- Ind. 401K									
74. -TRRHX	B	Dividend	L	T					
75. Vanguard Ind. Roth IRA									
76. -NAESX	A	Dividend	J	T					
77. -NAESX	A	Dividend	J	T					
78. Lincoln National Whole Life		None	K	T					
79. Union Central Whole Life	A	Dividend	J	T					
80. Transamerica Whole Life	A	Dividend	J	T					
81. T.Rowe Price Equity Income Fund (X)		None	M	T					
82. T.Rowe Price Extended Equity Market Index Fund (X)		None	M	T					
83. T.Rowe Price Growth & Income Fund (X)	C	Dividend	K	T					
84. T.Rowe Price Health Sciences Fund (X)	C	Dividend	L	T					
85. T.Rowe Price New Horizons Fund (X)	C	Dividend	L	T					

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86. T.Rowe Price Science & Technology Fund (X)	B	Dividend	K	T					
87. T.Rowe Price GNMA Fund (X)	A	Dividend	L	T					
88. T.Rowe Price New Income Fund (X)	A	Dividend	M	T					
89. T.Rowe Price Tax-Free High Yield Fund (X)	A	Dividend	L	T					
90. T.Rowe Price Tax-Free Income Fund (X)	A	Dividend	K	T					
91. T.Rowe Price Tax-Free Short Term Intermediate Fund (X)	A	Dividend	J	T					
92. T.Rowe Price Government Money Fund (X)		None	J	T					
93. MFS Massachusetts Investors Trust A (X)	D	Dividend	M	T					
94. American Century International Growth Fund (X)	A	Dividend	K	T					
95. Vanguard 500 Index Fund (X)	A	Dividend	L	T					
96. Vanguard Wellsley Income Fund (X)	A	Dividend	K	T					
97. T.Rowe Price Equity 500 Index Fund (X)		None	J	T					

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

- I. MRK Common, which does not appear on the 2016 report, was sold in May 2015, and inadvertently omitted from the 2015 report by mistake.

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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/ 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