AO 10
Rev. 1/2019

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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)	2. Court or Organization	3. Date of Report
Brooks, Timothy L.	U.S. District Court, Western District of Arkansas	05/11/2023
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
District Court Judge - Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
John Paul Hammerschmidt Federal Building 35 E. Mountain Street, Room 559 Fayetteville, AR 72701		

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.		

Name of Person Reporting	Date of Report
Brooks, Timothy L.	05/11/2023

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.	Spring2021	Adjunct Faculty Salary - University of Arkansas School of Law	$10,000.00
2.	Fall 2021	Adjunct Faculty Salary - University of Arkansas School of Law	$10,000.00
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.	2021	Employment with the University of Arkansas
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.					

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.			

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Brooks, Timothy L.	05/11/2023

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. Bank of Fayetteville Deposit Accounts	A	Interest			Closed	04/01/21	J		
2. UARK Federal Credit Union Deposit	A	Interest	J	T	Open	01/10/21	J		
3. Arvest Bank Deposit Accounts	A	Interest	J	T					
4. Signature Bank Deposit Accounts	A	Interest	J	T					
5. TIAA IRA									
6. - CREF Growth R1	B	Interest	K	T					
7. - CREF Global Equities R1	C	Interest	L	T					
8. - T-C Social Ch Eq-Rtmt	C	Dividend	K	T					
9. - T-C Real Est Secs-Rtmt	C	Int./Div.	K	T					
10. - T-C Sm-Cap Bl Idx-Rtmt	D	Int./Div.	L	T					
11. - T-C Intl Eq Idx-Rtmt	B	Int./Div.	K	T					
12. - Nuveen Mid Cap Val I	B	Int./Div.	K	T					
13. - T-C Emrg Mrkts Eq-Rtmt	C	Int./Div.	K	T					
14. - Nuveen Divident Value 1	D	Dividend	L	T					
15. - T-C Intl Opps-Rtmt	B	Dividend	K	T					
16. - T-C SC Low Carbon Eq-Rtmt	C	Int./Div.	K	T					
17. - Nuveen International VI I	A	Dividend	K	T					

1 Income Gain Codes: (See Columns B1 and D4)
A =$1,000 or less B =$1,001 - $2,500 C =$2,501 - $5,000 D =$5,001 - $15,000 E =$15,001 - $50,000
F =$50,001 - $100,000 G =$100,001 - $1,000,000 H1 =$1,000,001 - $5,000,000 H2 =More than $5,000,000

2 Value Codes (See Columns C1 and D3)
J =$15,000 or less K =$15,001 - $50,000 L =$50,001 - $100,000 M =$100,001 - $250,000
N =$250,001 - $500,000 O =$500,001 - $1,000,000 P1 =$1,000,001 - $5,000,000 P2 =$5,000,001 - $25,000,000
P3 =$25,000,001 - $50,000,000 P4 =More than $50,000,000

3 Value Method Codes (See Column C2)
Q =Appraisal R =Cost (Real Estate Only) S =Assessment T =Cash Market
U =Book Value V =Other W =Estimated

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Brooks, Timothy L.	05/11/2023

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)
18. - TIAA Real Estate Account*	C	Interest	L	T					
19. - T-C Core Plus Bond-Rtmt	A	Dividend	K	T					
20. -T-C Bond Index-Rtmt	C	Dividend	K	T					
21. - T-C Core Iimpact Bond-Rtm	A	Dividend	K	T					
22. - Nuveen High Yield Inc I	A	Dividend	K	T					
23. - TIAA Retirement Reserves**	A	Int./Div.	K	T					
24. - TIAA-CREF SDA***		None	J	T					
25. TIAA UAF 403B Retirement Plan (H)									
26. - Vang Inst Indx Inst Plus	B	Int./Div.	K	T					
27. - Vang Extended Mkt Idx Ins	A	Dividend	J	T					
28. - Vang Ttl Intl Stk Idx Ins	A	Dividend	K	T					
29. - JP Morgan Equity Inc. Fd R6	A	Dividend	J	T					
30. - TIAA Real Estate		None	J	T					
31. - Vang Ttl Bd Mkt Indx Ins	A	Int./Div.	K	T					
32. - Metropolitan Tot Ret Pln	A	Int./Div.	J	T					
33. TIAA UAF 403B Supp Pln (H)									
34. - Vang Inst Tg Rtm Inst	A	Int./Div.	J	T					

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2 Value Codes (See Columns C1 and D3)
J =$15,000 or less K =$15,001 - $50,000 L =$50,001 - $100,000 M =$100,001 - $250,000
N =$250,001 - $500,000 O =$500,001 - $1,000,000 P1 =$1,000,001 - $5,000,000 P2 =$5,000,001 - $25,000,000
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII. I amended my 2020 year end disclosure form based on the Committee's letters dated October 26, 2022 and December 29, 2022. The issues raised in those letters (regarding itemization of each asset held in an IRA) necessitated this amended report for the 2021 year-end reporting period, for the same reasons.

*Line 19: I have carefully reviewed the account statement---which calls this line item "TIAA Real Estate." TIAA describes this account as follows: "The TIAA Real Estate Account is a variable annuity designed to maximize the benefits of real esate investing." I am not aware of any further specific asset names or descriptions associated with this line item.

**Line 24: I have carefully reviewed the account statement---which calls this line item "TIAA Retirement Reserves," under the category heading "Money Market." TIAA describes this line item as follows: "TIAA Retirement Reserves is a Negotiable Order of Withdrawal (NOW) account with TIAA, FSB's banking division (TIAA Bank) that is insured by the FDIC up to applicable limits." I am not aware of any further account names or descriptors for this line item.

***Line 25: I have carefully reviewed the account statement---which calls this line item "TIAA-CREF SDA" under the category heading "Other Investments." TIAA describes this line item as a "self-directed brokerage account." No income was earned during this reporting period and the balance remains $814.42.

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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/ Timothy L. Brooks

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
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