AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2021

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
Zapata, Frank R.	U.S. District Court	08/07/2023
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**
United States District Judge, Senior Status	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2021 to 12/31/2021
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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☑ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

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
1.	2021	Arizona State Retirement System
2.		
3.		
4.		

IV. REIMBURSEMENTS – *transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Zapata, Frank R.	08/07/2023

VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
1. Chase Bank Savings/Checking Account	A	Interest	O	T					
2. Pacific Premier Trust	B	Dividend			Closed	07/01/21	L		
3. Loomis Sayles LTD Term Govt & AGN CL A FR	A	Dividend			Merged (with line 20)	06/28/21	L		
4. Security Benefit Life TSA Topeka, KS	C	Interest	M	T	Redeemed (part)	03/01/21	J		
5. GWN Securities, Inc/Vanguard SAM Conservative IRA (H)	B	Dividend	L	T					
6. -Vanguard 500 Index Admiral (VFIAX)	A	Dividend	J	T					
7. -Vanguard Equity-Income ME ADM (VEIRX)	A	Dividend	J	T					
8. -Vanguard Total INTL Stock Index Admiral (VTIAX)	A	Dividend	J	T					
9. -Vanguard Short-Term Bond Index ADM (VBIRX)	A	Interest	J	T					
10. -Vanguard Short-Term Federal ADM (VSGDX)	A	Interest	K	T					
11. -Vanguard Total Bond Market Index ADM (VBTLX)	A	Interest	K	T					
12. American Funds: The Growth Fund of America-A	D	Int./Div.	L	T	Redeemed (part)	10/21/21	J		
13. Tucson Federal Credit Union Account	A	Interest	J	T					
14. Rental Property Tucson, AZ	D	Rent	M	W					
15. Ameriprise IRA Account (H)	D	Int./Div.	O	T					
16. -Ameriprise Issued Money Market	A	Int./Div.	J	T	Open	06/07/21	N		
17. -Ameriprise Issued Money Market	A	Int./Div.	J	T	Sold (part)	06/10/21	L		

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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18. -Ameriprise Issued Money Market	A	Int./Div.	J	T	Sold (part)	06/10/21	L		
19. -Ameriprise Issued Money Market	A	Int./Div.	J	T	Sold (part)	06/10/21	L		
20. -Loomis Sayles LTD Term Govt & AGN CL A FR	A	Int./Div.			Open	06/28/21	L		
21. -Loomis Sayles LTD Term Govt & AGN CL A FR	A	Int./Div.			Sold	11/15/21	L		
22. -Fidelity Advisor Total Bond CL C	A	Int./Div.	L	T	Buy	06/10/21	L		
23. -Franklin Income CL C	C	Int./Div.	L	T	Buy	06/10/21	L		
24. -Virtus AllianzGI Income & Growth CLC	A	Int./Div.	L	T	Buy	06/10/21	L		
25. -First Trust Balance Income Equity	B	Int./Div.	K	T	Buy	10/20/21	K		
26. -First Trust Balance Income Equity	E	Int./Div.	K	T	Buy (add'l)	11/16/21	K		
27. Riversouce Life Ins. Co Structured Solutions Annuity (H)	A	Int./Div.	N	T					
28. -IShares US Real Estate 1Y	A	Int./Div.	K	T	Buy	06/14/21	K		
29. -MSCI EAFE 1Y	A	Int./Div.	K	T	Buy	06/14/21	K		
30. -MSCI EAFE 6Y	A	Int./Div.	K	T	Buy	06/14/21	K		
31. -MSCI Emerging Markets 1Y	A	Int./Div.	K	T	Buy	06/14/21	K		
32. -NASDAQ 100 1Y	A	Int./Div.	K	T	Buy	06/14/21	K		
33. -Russell 2000 6Y	A	Int./Div.	K	T	Buy	06/14/21	K		
34. -S&P 500 1Y	A	Int./Div.	K	T	Buy	06/14/21	K		

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35. -S&P 500 6Y	A	Int./Div.	L	T	Buy	06/14/21	L		
36. Met Life	F	Distribution			Redeemed	03/23/21	L		
37. Met Life (X)	A	Dividend	J	T					
38. Brighthouse	A	Dividend			Sold	11/19/21	J	A	
39. Pacific Life	B	Int./Div.	K	T					
40. New York Life	A	Int./Div.	K	T					
41. Pacific Life	A	Int./Div.	J	T					

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J =$15,000 or less
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U =Book Value
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Name of Person Reporting	Date of 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. § 13141 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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544