

UNITED STATES DISTRICT COURT

DISTRICT OF ARIZONA

Evo A. DeConcini United States Courthouse

405 West Congress Street

Suite 5160

Tucson, Arizona 85701-5010

Frank R. Zapata  
United States District Judge

Telephone: (520) 205-4530

Fax: (520) 205-4539

August 12, 2004

Honorable Mary M. Lisi, Chair  
Committee on Financial Disclosure  
Administrative Office of the United States Courts  
One Columbus Circle, N.E.  
Washington, D.C. 20544

RECEIVED  
AUG 19 10 53 AM '04  
FINANCIAL  
DISCLOSURE OFFICE

Dear Judge Lisi,

This letter is in response to your July 16, 2004 letter requesting additional information regarding my Financial Disclosure for the calendar year 2003 filing, specifically Parts VIII and VII.

In regard to Part VIII under "Resources Trust Denver, CO," the questioned assets listed "Loomis Sayles Govt Secs RD CL A (47)" and "CGM Advisor Targeted Equity FD CL A," are the same assets owned in 2002, as well as previous years, listed in the 2002 disclosure as "CDC Nvest Government Securities Fund Class A" and "CDC Nvest Targeted Equity Fund Class A." It is my understanding that the change in names reflects a change in the advisement and management of the funds only. The notice I received regarding this reorganization specifically states that no gain or loss will occur as a result of this change.

These listed funds are the same IRA account assets previously disclosed in all prior years. These funds are composed only of mutual funds/money markets and are not composed of individual stocks, bonds, or other assets.

If the Committee wishes, I will be happy to forward all correspondence I have received regarding the management and advisement changes of these funds which may be able to explain this more precisely.

In regard to Part VII, the questioned property was purchased on June 2, 1993. The purchase price was \$38,000.00.

I hope I have clarified your questions. Please feel free to contact me if you have any further questions.

Sincerely,

  
Frank R. Zapata

# FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (Last name, First name, Middle initial) Zapata, Frank R	2. Court or Organization U.S. District Court	3. Date of Report 4/30/2004
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge, Active	5. ReportType (check appropriate type) <input type="radio"/> Nomination,      Date <input type="radio"/> Initial <input checked="" type="radio"/> Annual <input type="radio"/> Final	6. Reporting Period 1/1/2003 to 12/31/2003
7. Chambers or Office Address 405 W. Congress, Suite 5160 Tucson, AZ 85701-5050	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations.  Reviewing Officer _____ Date _____	

**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. Sign on last page.

## I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

**NONE** - (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. \_\_\_\_\_

## II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

**NONE** - (No reportable agreements.)

DATE

PARTIES AND TERMS

1. \_\_\_\_\_

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DISCLOSURE OFFICE

**FINANCIAL DISCLOSURE REPORT**

Name of Person Reporting

Zapata, Frank R.

Date of Report

4/30/2004

**III. NON-INVESTMENT INCOME.** (Reporting individual and spouse; see pp. 17-24 of filing instructions)

**A. Filer's Non-Investment Incom**

**NONE** - (No reportable non-investment income.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>GROSS INCOME</u> (yours, not spouse's)
1.		

**B. Spouse's Non-Investment Incom** - (If you were married during any portion of the reporting year, please complete this section. (dollar amount not required except for honoraria)

**NONE** - (No reportable non-investment income.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2003	Tucson Unified School District

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

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

**NONE** - (No such reportable reimbursements.)

<u>SOURCE</u>	<u>DESCRIPTION</u>
1.	

# FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Zapata, Frank R

Date of Report

4/30/2004

## V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)

NONE - (No such reportable gifts.)

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		

## VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)

NONE - (No reportable liabilities.)

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		

**FINANCIAL DISCLOSURE REPORT**

Page 1 of 1

Name of Person Reporting Zapata, Frank R	Date of Report 4/30/2004
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**VII. INVESTMENTS and TRUSTS** – income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- H)	(5) Identity of buyer/seller (if private transaction)
<input type="checkbox"/> NONE (No reportable income, assets, or transactions)									
1. Rental Property Tucson, AZ	A	Rent	K	R					
2. Banc One saving/checking acct Tucson, AZ	A	Interest	J	T					
3. Banc One IRA Tucson, Ariz	A	Interest	J	T					
4. Resources Trust Denver, CO see attached description of asset	A	Dividend	L	T					
5. Security Benefit Life TSA Topeka, CA	D	Interest	M	T					
6. Metropolitan Life TSA, Denver Co	A	Interest	K	T					
7. 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 = \$250,000-\$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	

# FINANCIAL DISCLOSURE REPORT

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## VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

(Indicate part of Report.)

### SECTION VII: INVESTMENTS and TRUSTS

#### 4. Resources Trust Denver, CO Description/Ticker

LOOMIS SAYLES GOVT SECS FD CL A (47)  
CDC NVEST STAR VALUE FD CL A (32)  
CGM ADVISOR TARGETED EQUITY FD CL A

# FINANCIAL DISCLOSURE REPORT

Name of Person Reporting Zapata, Frank R.	Date of Report 4/30/2004
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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. § 501 et. seq., 5 U.S.C. §-7353, and Judicial Conference regulations.

Signature



Date

5-3-04

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

### FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure  
Administrative Office of the United States Courts  
Suite 2-301  
One Columbus Circle, N.E.  
Washington, D.C. 20544