

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Brack, Robert C.	2. Court or Organization U.S. District Court	3. Date of Report 05/21/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III - Senior Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address 100 North Church Street Suite 590 Las Cruces, NM 88001		
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Brack, Robert C.

Date of Report

05/21/2019

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. _____

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. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Brack, Robert C.

Date of Report

05/21/2019

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.	Northwestern Mutual	Loan	J
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Brack, Robert C.

Date of Report

05/21/2019

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. Vacation Home - Ruidoso, NM (1/2 Interest)		None	L	W					
2. JOINT ACCOUNT, CHARLES SCHWAB, LCNM	A	Interest	J	T					
3. Schwab Govt. Money Fund Investor	A	Dividend	K	T	Buy	09/09/18	M		
4. Splunk Inc.		None	J	T	Buy	09/20/18	J		
5. Alphabet Inc. Class C		None	J	T	Buy	09/18/18	J		
6. Twitter Inc.		None	J	T	Buy	09/19/18	J		
7. Cullen Frost Bankers		None	J	T	Buy	09/21/18	J		
8. Cullen Frost Bankers		None			Sold	11/02/18	J		
9. Redhat Inc.		None	J	T	Buy	09/25/18	J		
10. MongoDB Inc. Class A		None	J	T	Buy	09/27/18	J		
11. Idexx Labs Inc.		None	J	T	Buy	10/02/18	J		
12. Roku Inc. Class A		None	J	T	Buy	10/04/18	J		
13. Tyler Technologies		None	J	T	Buy	10/04/18	J		
14. Illumina Inc.		None	J	T	Buy	10/05/18	J		
15. Adobe Systems Inc.		None	J	T	Buy	10/08/18	J		
16. Mastercard Inc. Class A		None	J	T	Buy	10/10/18	J		
17. Gartner Inc.		None	J	T	Buy	10/10/18	J		

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	
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

Page 5 of 10

Name of Person Reporting

Brack, Robert C.

Date of Report

05/21/2019

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)
18. Microsoft Corp.	A	Dividend	J	T	Buy	10/10/18	J		
19. Visa Inc. Class A	A	Dividend	J	T	Buy	10/10/18	J		
20. Yext Inc.		None	J	T	Buy	10/12/18	J		
21. Intuitive Surgical		None	J	T	Buy	10/18/18	J		
22. Veeva Systems Inc. Class A		None	J	T	Buy	10/18/18	J		
23. Global Payments Inc.	A	Dividend	J	T	Buy	10/23/18	J		
24. █████ - IRA - CHARLES SCHWAB, LCNM	A	Dividend	J	T					
25. MFS Utilities Fund		None			Sold	09/26/18	K		
26. Alphabet Inc. Class C		None	J	T	Buy	09/27/18	J		
27. Schwab Govt. Money Fund Investor	A	Dividend	K	T	Buy	09/27/18	K		
28. Twitter Inc.		None	J	T	Buy	09/28/18	J		
29. Splunk Inc.		None	J	T	Buy	10/01/18	J		
30. Roku Inc. Class A		None	J	T	Buy	10/04/18	J		
31. Tyler Technologies		None	J	T	Buy	10/04/18	J		
32. Illumina Inc.		None	J	T	Buy	10/05/18	J		
33. Mastercard Inc. Class A		None	J	T	Buy	10/08/18	J		
34. Adobe Systems Inc.		None	J	T	Buy	10/10/18	J		

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Brack, Robert C.

Date of Report

05/21/2019

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)

35. Cullen Frost Bankers		None	J	T	Buy	10/10/18	J		
36. Cullen Frost Bankers		None			Sold	11/02/18	J		
37. Idexx Labs Inc.		None	J	T	Buy	10/10/18	J		
38. Yext Inc.		None	J	T	Buy	10/12/18	J		
39. MongoDB Inc. Class A		None	J	T	Buy	10/17/18	J		
40. Intuitive Surgical		None	J	T	Buy	10/18/18	J		
41. Visa Inc. Class A	A	Dividend	J	T	Buy	10/18/18	J		
42. Veeva Systems Inc. Class A		None	J	T	Buy	10/18/18	J		
43. Global Payments Inc.	A	Dividend	J	T	Buy	10/24/18	J		
44. Gartner Inc.		None	J	T	Buy	10/24/18	J		
45. Microsoft Corp.	A	Dividend	J	T	Buy	10/24/18	J		
46. 401K - ABG ROCKY MOUNTAIN CONSULTANTS, DENVER, CO									
47. Blackrock High Yield Bond Inst. 1		None	J	T					
48. Columbia Dividend Income Inst. 2		None	K	T					
49. DFA Emerging Markets 1		None	J	T					
50. Dodge & Cox Income		None	J	T					
51. Fidelity Advisor Small Cap Growth I		None	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 = \$250,001 - \$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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Brack, Robert C.

Date of Report

05/21/2019

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)

52. Fidelity Select Health Care		None	J	T					
53. Ivy International Core Equity Y		None	K	T					
54. Janus Henderson Enterprise T		None	J	T					
55. MetLife Stable Value Fund		None	K	T					
56. PIMCO Income A		None	K	T					
57. T. Rowe Price Blue Chip Growth		None	K	T					
58. Undiscovered Managers Behavioral Val R6		None	J	T					
59. Vanguard Information Technology Index Admiral		None	J	T					
60. Vanguard Real Estate Index Admiral		None	J	T					
61. Wells Fargo Special Mid Cap Value Inst.		None	J	T					
62. 529 - CHARLES SCHWAB, [REDACTED] - [REDACTED] NO. 2									
63. Aggressive Track - 50% Equity Portfolio		None	K	T	Buy	09/11/18	K		
64. Aggressive Track - 50% Equity Portfolio		None			Sold	11/05/18	K		
65. Aggressive Track - 40% Equity Portfolio		None	K	T	Buy	11/05/18	K		
66. 529 - CHARLES SCHWAB, [REDACTED] - [REDACTED] NO. 1									
67. Aggressive Track - 70% Equity Portfolio		None	K	T	Buy	09/11/18	K		
68. 529 - CHARLES SCHWAB, [REDACTED] - [REDACTED] NO. 1									

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	
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

Page 8 of 10

Name of Person Reporting

Brack, Robert C.

Date of Report

05/21/2019

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)
69. Aggressive Track - 80% Equity Portfolio		None	K	T	Buy	09/11/18	K		
70. 529 - CHARLES SCHWAB, [REDACTED] - [REDACTED] NO. 2									
71. Aggressive Track - 70% Equity Portfolio		None	K	T	Buy	09/11/18	K		
72. Northwestern Mutual Whole Life Insurance Policy - Cash Value	A	Interest	K	T					
73. Citizens Bank, LCNM (Accounts)	A	Interest	K	T					
74. Citizens Bank - IRA (Formerly listed as NM Bank and Trust	A	Interest	J	T					
75.									
76.									
77.									

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	
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

Page 9 of 10

Name of Person Reporting

Brack, Robert C.

Date of Report

05/21/2019

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

This Amended Report is submitted due to the inadvertent omission of Item No. 74, under Section VII: Investments and Trusts.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Brack, Robert C.

Date of Report

05/21/2019

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/ Robert C. Brack

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