

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) Yarbrough, Steven C.	2. Court or Organization United States District Court - New Mexico	3. Date of Report 04/24/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge - Full Time	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 333 Lomas Blvd. NW, Ste. 670 Albuquerque, NM 87102		
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.	
2. Board of Directors	Los Ojos de la Familia (501(c)(3) charity)
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.)*

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 AND TYPE

1. 2016

Rock Me Baby Records, Inc.

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.

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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.	Sunwest Bank	Mortgage on rental property: Albuquerque, NM 87113	L
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. Vanguard Extended Mkt Index Adm	A	Dividend	K	T					
2. Vanguard High Divident Yld Idx Inv	A	Dividend	J	T					
3. Vanguard High Yield Corp Fund Inv	A	Dividend	J	T					
4. Vanguard Pacific Stock Index Inv	A	Dividend	K	T					
5. Vanguard Precious Metal and Mining	A	Dividend	J	T					
6. Vanguard Prime Money Market	A	Int./Div.	L	T					
7. Vanguard REIT Index Fund	A	Dividend	J	T					
8. Vang Tot Intl Stock lx Adm	A	Dividend	K	T					
9. Vang Total Bond Mkt Indx	A	Dividend	J	T					
10. Vang 500 Index Fund	B	Dividend	L	T					
11. Market Vectors Gold Miners ETF	A	Dividend	J	T					
12. Caterpillar	A	Dividend	J	T					
13. Cisco Systems Inc.	A	Dividend	J	T					
14. HP Enterprises Co.	A	Dividend	J	T					
15. HP Inc.	A	Dividend	J	T					
16. Intel Corp	A	Dividend	J	T					
17. JNJ	A	Dividend	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	

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☐ 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 I (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. PG	A	Dividend	J	T					
19. SONVF	A	Dividend	J	T					
20. MMM	A	Dividend	J	T					
21. Vang GNMA Fund Inv Shares	A	Dividend	J	T					
22. Vanguard Aggressive Age Based Option: Vanguard Agg Growth Port 529 (3)	A	Dividend	K	T	Buy (add'l)	01/05/16	J		
23.					Buy (add'l)	12/28/16	J		
24. Vanguard Mod Growth 529 (3)	A	Dividend	J	T	Buy (add'l)	01/05/16	J		
25.					Buy (add'l)	12/28/16	J		
26. Vanguard Agg Age Based Option: Vanguard Agg (2) Growth Port 529 (2)	A	Dividend	K	T	Buy (add'l)	01/05/16	J		
27.					Buy (add'l)	12/28/16	J		
28. Vanguard Mod Growth 529 (2)	A	Dividend	J	T	Buy (add'l)	01/05/16	J		
29.					Buy (add'l)	12/28/16	J		
30. The Education Plan 529 - Aggressive Index Portfolio New Mexico (1)	A	Dividend	K	T					
31. Vang 500 Index Fund (wife)	A	Dividend	K	T					
32. Vang Develop Mkts Idx Fund (wife)	A	Dividend	J	T					
33. Vang Emerging Mkt Idx Fund (wife)	A	Dividend	J	T					
34. Vang European Stock Idx Fund (wife)	A	Dividend	J	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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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. Vang Growth and Income Fund Inv (wife)	A	Dividend	K	T					
36. Vang Mid Cap Idx Fund (wife)	A	Dividend	K	T					
37. Vang Prime Money Mkt Fund (wife)	A	Int./Div.	J	T					
38. Vang Small Cap Growth Idx Fund (wife)	A	Dividend	K	T					
39. Vang Total Int'l Stock Idx Fund (wife)	A	Dividend	K	T					
40. Vang Windsor II Fund Inv (wife)	A	Dividend	K	T					
41. GOOG (wife)	A	Dividend	J	T					
42. GOOGL (wife)	A	Dividend	J	T					
43. DIS (wife)	A	Dividend	J	T					
44. Vang Balanced Index F Trad IRA (wife)	A	Dividend	J	T					
45. Vang Life Strategy Growth Trad IRA (wife)	A	Dividend	J	T					
46. Vang Mid-Cap Growth Trad IRA (wife)	A	Dividend	J	T					
47. Vang Tot Stock Mkt Index Trad IRA (wife)	A	Dividend	J	T					
48. Vang Life Strategy Conserv Growth Rollover IRA (wife)	A	Dividend	J	T					
49. Vang Long Term Bond Idx Fund Rollover IRA (wife)	A	Dividend	J	T					
50. Vang Long Term Invest-GR Inv (wife)	A	Dividend	J	T					
51. Vang Precious Metals and Mining Fund Rollover IRA (wife)	A	Dividend	J	T					

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52. Vang Star Fund Rollover IRA (wife)	A	Dividend	K	T					
53. Vang strat equity fund Rollover IRA (wife)	A	Dividend	J	T					
54. Vang wellesley inc fund inv rollover ira (wife)	A	Dividend	K	T					
55. vang european stock idx fund inv roth ira (wife)	A	Dividend	J	T					
56. vang total int'l stock idx fund roth ira (wife)	A	Dividend	J	T					
57. vang strategic equity fund roth ira (wife)	A	Dividend	J	T					
58. vang star fund simple ira (wife)	A	Dividend	L	T	Buy (add'l)	04/07/16	J		
59. vang total int'l stock idx fund simle ira (wife)	A	Dividend	K	T	Buy (add'l)	04/07/16	J		
60. vang prime money market fund utma account (1)	A	Dividend	J	T					
61. BAC (1)	A	Dividend	J	T					
62. F (1)	A	Dividend	J	T					
63. GE (1)	A	Dividend	J	T					
64. DIS (1)	A	Dividend	J	T					
65. GOOGL(1)		None	J	T					
66. WIN(1)	A	Dividend	J	T					
67. Vang Aggressive Growth Port 529 (1)	A	Dividend	K	T					
68. Vang prime money market utma (3)	A	Int./Div.	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
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69. DIS (3)	A	Dividend	J	T					
70. vang prime money mkt utma (2)	A	Int./Div.	J	T					
71. DIS (2)	A	Dividend	J	T					
72. OCB Venture II LLC (real estate purchase and sell)		None	K	U					
73. Rental Property #1 - Taos, NM	D	Rent	N	W					
74. Rental Property # 2 - Albuquerque NM	D	Rent	M	W					
75. Undev Real Prop in brother's name and Sundollar Inv - rio rancho NM		None	J	W					
76. Loan to 505 Ventures LLC	C	Interest	L	T					
77. Rock Me Baby Records		None	M	W					

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

Part IIIB: My wife owns Rock Me Baby Records, Inc., an S-corporation. She draws income as an employee, the amount of which I did not list, pursuant to instructions on page 17 ("If spouse is self-employed in business or a profession, only the nature of such business or profession and the words 'self-employed' should be reported . . ."). In reporting year 2014, I listed the company as an investment in Part VII because the company has value and my wife owns the company. After filing my 2014 reporting year report, I received a letter from the Judicial Conference of the United States Committee on Financial Disclosure stating, "In the future, your wife's salary from "Rock Me Baby Records, Inc." should be reported in III.B as non-investment income instead of Parts VII or VIII . . ." Nonetheless, because, aside from any income my wife earns, her company constitutes an asset, I continued to list this company as an asset in Part VII. Further, pursuant to the above quoted instructions from page 17, I did not include her salary in spite of the above quoted language from the letter the Committee on Financial Disclosure sent me. My assumption is that the Committee did not realize that my wife is the sole proprietor of her business, as described on page 17 of the instructions.

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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/ Steven C. Yarbrough

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