

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 09/14/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
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 8

Name of Person Reporting

Brack, Robert C.

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09/14/2018

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. 2017

Spouse's Non-Investment Income: Western Management, LP (Owner/Partner)

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.

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Brack, Robert C.

Date of Report

09/14/2018

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	K
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Brack, Robert C.

Date of Report

09/14/2018

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. [REDACTED] - IRA - Edw. Jones, LCNM, (See Part VIII)	C	Dividend	K	T					
3. 401K - Edward Jones, Portales, NM, (See Below)		None							
4. American Mutual	A	Dividend			Sold	01/13/17	J	A	
5. Capital Income Builder	A	Dividend			Sold	01/13/17	K	A	
6. Chevron	A	Dividend			Sold	01/13/17	J	A	
7. Invesco Energy	A	Dividend			Sold	01/13/17	J	A	
8. U.S Oil Eqp./Ser.	A	Dividend			Sold	01/13/17	J	A	
9. Kinder Morgan	A	Dividend			Sold	01/13/17	J	A	
10. American New Econ. FD.	A	Dividend			Sold	01/13/17	J	A	
11. Wash. Mutual Inv. FD.	A	Dividend			Sold	01/13/17	K	A	
12. 401K - ABG Rocky Mtn. Consultants, Denver, CO, (See Below)		None							
13. Black Rock High Yield Bond Inst1	A	Dividend	J	T	Buy	04/01/17	J		
14. Columbia Dividend Income Inst2	A	Dividend	K	T	Buy	04/01/17	K		
15. DFA Emerging Markets1	A	Dividend	J	T	Buy	04/01/17	J		
16. Dodge & Cox Income	A	Dividend	J	T	Buy	04/01/17	J		
17. Fidelity Advisor Small Cap Growth1	A	Dividend	J	T	Buy	04/01/17	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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 8

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Brack, Robert C.

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	(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. Fidelity Select Health Care	A	Dividend	J	T	Buy	04/01/17	J		
19. Ivy International Core Equity Y	A	Dividend	K	T	Buy	04/01/17	K		
20. Janus Henderson Enterprise T	A	Dividend	J	T	Buy	04/01/17	J		
21. MetLife Stable Value Fund	A	Dividend	K	T	Buy	04/01/17	K		
22. PIMCO Income A	A	Dividend	J	T	Buy	04/01/17	J		
23. T. Rowe Price Blue Chip Growth	A	Dividend	K	T	Buy	04/01/17	K		
24. Undiscovered Mgmt. Behavioral Val Rg	A	Dividend	J	T	Buy	04/01/17	J		
25. Vanguard Information Technology Idx Adm	A	Dividend	J	T	Buy	04/01/17	J		
26. Vanguard Real Estate Index Admiral	A	Dividend	J	T	Buy	04/01/17	J		
27. Wells Fargo Special Mid Cap Value Inst	A	Dividend	J	T	Buy	04/01/17	J		
28. Northwestern Mutual Whole Life Insurance Policy - Cash Value	A	Interest	K	T					
29. Citizens Bank, LCNM (Accounts)	A	Interest	K	T					
30. Joint Account, Edw. Jones, LCNM	A	Interest	J	T					
31.									
32.									
33.									
34.									

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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FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Brack, Robert C.

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35.									
36.									
37.									
38.									
39.									
40.									

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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Brack, Robert C.

Date of Report

09/14/2018

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Brack, Robert C.

Date of Report

09/14/2018

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
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