

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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) Thuma, David T.	2. Court or Organization United States Bankruptcy Court for the District of New Mexico	3. Date of Report 11/15/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Court Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☒ Initial ☐ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 11/15/2012
7. Chambers or Office Address 500 Gold Avenue, SW 13th Floor 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. Insert signature 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. Member and manager	PBSWP, LLC, a New Mexico limited liability company (family LLC)
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. 6/1995	Jacobvitz, Thuma & Matthews 401k profit-sharing plan with former law firm, no control.
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

Thuma, David T.

Date of Report

11/15/2012

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. 2012	Salary from Thuma & Walker, P.C., former law firm.	\$391,615.00
2. 2012	Distributions from Thuma & Walker, P.C., former law firm.	\$108,857.00
3. 2012	Dividend from Thuma & Walker, P.C., former law firm.	\$22,000.00
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.	
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. National Bankruptcy Judge's Conference	10/23-10/27	San Diego, CA	Attend annual National Bankruptcy Judge's Conference	Two night's hotel.
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

Thuma, David T.

Date of Report

11/15/2012

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Thuma, David T.

Date of Report

11/15/2012

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 500 Index Fund Admiral Shares	A	Int./Div.	M	T					
2. Vanguard Admiral Treasury Money Market Fund	A	Int./Div.	J	T					
3. Vanguard Balanced Index Fund Admiral Shares	A	Int./Div.	K	T					
4. Vanguard Tax-Exempt Money Market Fund	A	Int./Div.	L	T	Redeemed (part)	04/27/12	K	A	
5. Vanguard Inflation-Protected Securities Fund Admiral Shares	A	Int./Div.	M	T					
6. Vanguard Prime Money Market Fund	A	Int./Div.	K	T					
7. Vanguard Balanced Fund Admiral Shares	A	Int./Div.	L	T					
8. Vanguard Energy Fund Investor Shares	A	Int./Div.	K	T					
9. Vanguard Prime Money Market Fund	A	Int./Div.	K	T					
10. Vanguard Tax-Managed Balanced Fund Admiral Shares	A	Int./Div.	M	T					
11. Vanguard Precious Metals and Mining Fund	A	Int./Div.	J	T					
12. Vanguard Target Retirement 2025 Fund	A	Int./Div.	K	T					
13. Vanguard Total Stock Market Index Fund Inv. Shares	A	Int./Div.	J	T					
14. Vanguard Admiral Treasury Money Market Fund	A	Int./Div.	J	T					
15. Vanguard Balanced Index Fund Admiral Shares	A	Int./Div.	K	T					
16. Fidelity Select Materials Mutual Fund	A	Int./Div.	K	T					
17. Vanguard Short Term Bond Fund	A	Int./Div.	M	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 5 of 7

Name of Person Reporting

Thuma, David T.

Date of Report

11/15/2012

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. Vanguard Precious Metals Fund	A	Int./Div.	K	T					
19. Vanguard Inflation-Protected Securities Fund	A	Int./Div.	L	T					
20. Vanguard Prime Money Market Fund	A	Int./Div.	L	T					
21. Vanguard Target Retirement 2030 Fund Investor Shares	A	Int./Div.	M	T					
22. TD Ameritrade Money Market Portfolio Class A	A	Int./Div.	M	T					
23. Vanguard Inflation-Protected Securities	A	Int./Div.	K	T					
24. TD Ameritrade FDIC Insured Money Market Account	A	Int./Div.	L	T					
25. Oppenheimer NM Education Plan (529) Conservative Portfolio	A	Int./Div.	K	T					
26. Oppenheimer Educ. Plan (529) Ultra Conservative Portfolio	A	Int./Div.	K	T					
27. PBSWP, LLC	A	Rent	N	R	Open	05/14/12	N		
28. Wells Fargo Checking Account	A	Int./Div.	M	T					
29. Wells Fargo Savings Account	A	Int./Div.	K	T					
30. TD Ameritrade FDIC Insured Money Market Account	A	Int./Div.	J	T					
31. Exxon common stock	A	Int./Div.	J	T					
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
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 7

Name of Person Reporting

Thuma, David T.

Date of Report

11/15/2012

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

PBSWP, LLC is a family owned LLC created to hold 54 acres of farm land in Hendricks County, Indiana. The land was purchased in May, 2012 from the Evelyn Thomas Revocable Trust. The purchase price was \$383,000. PBSWP rents the land to a unrelated tenant farmer (Searcy Farms, LLC). The income reported is net of expenses.

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Thuma, David T.

Date of Report

11/15/2012

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/ **David T. Thuma**

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