

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) Garza, Carmen E.	2. Court or Organization U.S. District Court, District of NM	3. Date of Report 09/27/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full-time magistrate judge	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 N. Church St., Las Cruces, New Mexico 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	
2.	
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. 2017	Carmen E. Garza, Single Investment Account from former self employment
2. 2017	Carmen E. Garza, Traditional Individual Retirement Account from former self employment
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.)*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. _____

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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.	University of Southern California	Round trip airline ticket from Los Angeles, California to Honolulu, Hawaii, Nov. 2017	\$800.00
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.	Quicken Loans	mortgage on real property (rental #2)	M
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. Fort Bliss Federal Credit Union accounts	A	Interest	L	T					
2. First American Bank accounts		None	M	T					
3. Rental property #1, Las Cruces, NM purchase 2000-\$125,000	E	Rent	M	W					
4. Rental property #2, Las Cruces purchase 2008-\$240,000	D	Rent	M	W					
5. Time share property, San Diego, Ca, purchase 2005-\$5,0000		None	J	W					
6.									
7. Franklin Mutual Global Discovery	A	Dividend	J	T					
8. AB Intermediate Diversified Municipal		None	J	T					
9. AT&T	A	Dividend	J	T	Buy	03/08/17	J		
10. Abbott Laboratories	B	Dividend	J	T	Buy	03/08/17	J		
11.					Sold (part)	05/11/17	J		
12.					Sold (part)	09/25/17	J		
13. Accenture PIC	B	Dividend	J	T	Buy	03/08/17	J		
14. Alps Alerian Mlp ETF		None	J	T	Buy	03/08/17	J		
15.					Buy (add'l)	09/25/17	J		
16. Altria Group Inc.	A	Dividend	J	T	Buy	11/14/17	J		
17. American Express		None			Buy	03/08/17	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 = \$250,000,001 - \$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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18.					Sold (part)	07/27/17	J		
19.					Sold (part)	09/20/17	J		
20.					Sold	09/21/17	J		
21. American Fund High (High formerly) Income		None	J	T					
22. Apple Inc	A	Dividend	J	T	Buy	03/08/17	J		
23. Arthur J. Gallagher & Co.	A	Dividend	J	T	Buy	03/08/17	J		
24. BB& T Corp.	A	Dividend	J	T	Buy	03/08/17	J		
25. BCE Inc.	A	Dividend	J	T	Buy	03/08/17	J		
26. Beckton Dickinson & Co.	A	Dividend	J	T	Buy	03/08/17	J		
27. Blackrock Equity	A	Dividend	J	T					
28. Blackrock National Municipal	A	Dividend	J	T					
29. American Fund Capital World Bond (formerly Capital World Bond)		None			Sold	03/03/17	J		
30. CBA Aggressive Growth I	A	Dividend	J	T					
31. Chevron Corporation	B	Dividend	J	T	Buy	03/08/17	J		
32.					Buy (add'l)	03/22/17	J		
33. Cisco Systems Inc.	A	Dividend	J	T	Buy	03/08/17	J		
34. Coca Cola Company	A	Dividend	J	T	Buy	03/08/17	J		

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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				
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35. Colgate-Palmolive	A	Dividend	J	T	Buy	03/08/17	J		
36. CVS Health Corp		None	J	T	Buy	04/27/17	J		
37.					Buy (add'l)	05/12/17	J		
38.					Buy (add'l)	07/17/17	J		
39. Deere & Co.		None	J	T	Buy	03/08/17	J		
40.					Sold (part)	04/27/17	J		
41.					Sold (part)	05/23/17	J		
42. Diageo Plc	B	Dividend	J	T	Buy	03/08/17	J		
43.					Sold (part)	09/25/17	J		
44. Dimensional DFA Intl Value Fd	B	Dividend			Sold	03/03/17	K		
45. Dodge & Cox Stock	C	Dividend			Sold	03/03/17	J		
46. American Fund Europacific (formerly Europacific Growth)	B	Dividend			Sold	03/03/17	K		
47. Eversource Energy	A	Dividend	J	T	Buy	03/08/17	J		
48. Exxon Mobile Corp	A	Dividend	J	T	Buy	03/08/17	J		
49.					Buy (add'l)	03/22/17	J		
50. Franklin Fed Int-Term T/F Inc		None	J	T					
51. Franklin Mutual Shares C1 Z	A	Dividend			Sold	03/03/17	J		

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52. American Fundamental Investors Fund (Formerly Fundamental Investors)	B	Dividend	J	T					
53. General Electric		None			Buy	02/08/17	J		
54.					Buy (add'l)	09/25/17	J		
55.					Sold	11/13/17	J		
56. Genuine Parts Co.	A	Dividend	J	T	Buy	03/08/17	J		
57. Harbor Capital Appreciation	A	Dividend	J	T					
58. Hartford Dividend and Growth	A	Dividend	J	T					
59. IBM Corp		None	J	T	Buy	03/08/17	J		
60.					Buy (add'l)	09/25/17	J		
61. Intel Corporation	B	Dividend	J	T	Buy	03/08/17	J		
62. Invesco Comstock	A	Dividend	J	T					
63. Invesco International Growth	B	Dividend	J	T					
64. Ishares Interm Credit	A	Dividend	K	T	Buy	03/08/17	K		
65. Ishares MBS ETF Iv		None	K	T	Buy	08/03/17	K		
66. Ishares MSCI Eafe Value	C	Dividend	J	T					
67. I shares 1-3 Year Credit		None	K	T	Buy	03/08/17	L		
68.					Sold (part)	07/18/17	K		

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69.					Sold (part)	08/03/17	K		
70. 1 Shares 3-7 Year Credit	A	Dividend			Buy	03/08/17	K		
71.					Sold	08/03/17	K		
72. JH Disciplined Value Mid Cap	A	Dividend			Sold	03/03/17	J		
73. Johnson & Johnson	B	Dividend	J	T	Buy	03/08/17	J		
74. JP Morgan Chase & Co	A	Dividend	J	T	Buy	03/08/17	J		
75. Leggett & Platt Inc		None	J	T	Buy	03/08/17	J		
76.					Sold (part)	04/27/17	J		
77.					Sold (part)	07/17/17	J		
78.					Sold (part)	07/18/17	J		
79.					Sold (part)	07/19/17	J		
80. Lockheed Martin Corp	A	Dividend	J	T	Buy	03/08/17	J		
81. Lowes Companies Inc	A	Dividend	J	T	Buy	03/08/17	J		
82. Mainstay Icap Select Equity	B	Dividend			Sold	03/03/17	J		
83. Metropolitan West Ttl Ret Bd.		None			Sold	03/03/17	K		
84. MFS Growth Fund	C	Dividend			Sold	03/03/17	J		
85. MFS International Value	B	Dividend			Sold	02/03/17	J		

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86. Microsoft Corp	B	Dividend	J	T	Buy	03/08/17	J		
87. Nestle SA	A	Dividend	J	T	Buy	03/08/17	J		
88. Novartis AG	A	Dividend	J	T	Buy	03/08/17	J		
89. Occidental Petrol Co	A	Dividend	J	T	Buy	03/08/17	J		
90. Omnicom Group Inc		None	J	T	Buy	03/08/17	J		
91.					Buy (add'l)	09/25/17	J		
92. Oracle Corporation	A	Dividend	J	T	Buy	03/08/17	J		
93. Parker-Hannifin Corp	B	Dividend	J	T	Buy	03/08/17	J		
94. Pfizer Incorporated	A	Dividend	J	T	Buy	03/08/17	J		
95. Philip Morris Intl		None	J	T	Buy	03/08/17	J		
96. Pimco Total Return IV		None			Sold	03/03/17	K		
97. PPG Industries Inc.	B	Dividend	J	T	Buy	03/08/17	J		
98. Proctor & Gamble	A	Dividend	J	T	Buy	03/08/17	J		
99. Prudential High-Yield	B	Dividend			Sold	03/03/17	K		
100. Prudential Jennison Mid Cap (formerly Perkins Mid Cap Value)	A	Dividend			Sold	03/03/17	K		
101. Raytheon Company	A	Dividend	J	T	Buy	03/08/17	J		
102.					Sold (part)	09/25/17	J		

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103. Siemens	A	Dividend			Buy	03/08/17	J		
104.					Sold	03/22/17	J		
105. Spdr Blmbrg Brclly		None	K	T	Buy	07/24/17	K		
106. Spdr Short Term		None	K	T	Buy	07/24/17	K		
107. Starbucks Corp		None	J	T	Buy	07/27/17	J		
108. T Rowe Instl Lrge Cp Gr	C	Dividend			Sold	03/03/17	K		
109. T Rowe Price Intl Discovery I	A	Dividend			Sold	03/03/17	J		
110. T Rowe Price Group	B	Dividend	J	T	Buy	03/08/17	J		
111. T Rowe Intl Stock (converted to T Rowe Intl Stock Fd I)	B	Dividend			Sold	03/03/17	J		
112. American Fd. Tax Exempt Bd. (formerly Tax Exempt Bd.)		None	J	T					
113. Texas Instruments	B	Dividend	J	T	Buy	03/08/17	J		
114. Thornburg Limited Term Muni		None	J	T					
115. TJX Companies Inc.	A	Distribution	J	T	Buy	09/20/17	J		
116.					Buy (add'l)	09/21/17	J		
117. United Technologies	A	Dividend	J	T	Buy	03/08/17	J		
118. Vanguard FTSE Dev. Mkts	B	Dividend	J	T					
119. Vanguard Small Cap Growth ETF	B	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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Garza, Carmen E.

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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)
120. Vanguard Intermediate	A	Dividend	K	T	Buy	03/08/17	K		
121. Vanguard Small Cap Value	B	Dividend	J	T					
122. Verizon Communicatn	A	Dividend	J	T	Buy	03/08/17	J		
123. VF Corporation	B	Dividend	J	T	Buy	02/08/17	J		
124. Victory Sycamore Small Co C1 I	B	Dividend			Sold	03/03/17	J		
125. Watso Inc	A	Dividend	J	T	Buy	03/08/17	J		
126. Wells Fargo Bk NA	A	Dividend	J	T	Buy	03/08/17	J		
127. Wells Fargo SH Term Mun Bd I converted toWells Fargo S/T Mun Bond CIA)		None	J	T					
128. 3M Company	B	Dividend	J	T	Buy	03/08/17	J		
129.									
130.									
131.									
132.									
133.									
134.									
135.									
136.									

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	

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)
137.									
138.									
139.									

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

In December, 2016 I transferred all of my investments from Edward Jones to Charles Schwab.

I have found 3 errors on my last financial disclosure report. First, I actually sold all of my Columbia Acorn International stock on June 16, 2016. I earned a dividend amount code B. The value code was J.

Additionally, I listed Blackrock Equity and Blackrock National twice. They should have only been listed once.

Finally, Edward Jones transferred cash from my IRA to Schwab. Schwab re-invested it in various stocks on March 3, 2017.

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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/ Carmen E. Garza**

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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