

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) Thuma, David T.	2. Court or Organization United States Bankruptcy Court for the District of New Mexico	3. Date of Report 05/08/2017
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 01/01/2016 to 12/31/2016
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.		

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
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.	

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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. NCBJ mid-year meeting

04/13-04/16

San Antonio, TX

Attend NCBJ mid-year
meeting

two night's hotel; transportation; food

2. NCBJ annual conference

10/25-10/28 04/13-04/15

San Francisco, CA

Attend NCBJ annual
conference

three night's hotel; transportation; food

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.		
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 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.	L	T					
4. Vanguard Tax-Exempt Money Market Fund	A	Int./Div.	L	T					
5. Vanguard 500 Index Fund Admiral Shares	A	Int./Div.			Sold	05/15/16	M	A	
6. Vanguard Prime Money Market Fund	A	Int./Div.			Sold	05/15/16	K	A	
7. Vanguard Balanced Fund Admiral Shares	A	Int./Div.	L	T					
8. Vanguard Energy Fund Investor Shares	A	Int./Div.			Sold	05/15/16	K	A	
9. Vanguard Prime Money Market Fund	A	Int./Div.			Sold	05/15/16	J	A	
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.	O	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	C	Int./Div.	L	T					
16. Vanguard Inflation-Protected Securities	A	Int./Div.			Sold	05/15/16	K	A	
17. TD Ameritrade FDIC Insured Money Market Account	A	Int./Div.			Sold	05/15/16	L	A	

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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	(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. Oppenheimer NM Education Plan (529) Conservative Portfolio	A	Int./Div.	L	T					
19. Oppenheimer Educ. Plan (529) Ultra Conservative Portfolio	A	Int./Div.	L	T	Buy (add'l)	12/31/16	J		
20. PBSWP, LLC	D	Rent	N	W	Sold (part)	05/15/16	N	G	
21. Wells Fargo Checking Account	A	Int./Div.	J	T					
22. Wells Fargo Savings Account	A	Int./Div.	K	T					
23. TD Ameritrade FDIC Insured Money Market Account	A	Int./Div.			Sold	05/15/16	J	A	
24. Exxon common stock	A	Int./Div.	J	T					
25. ABB Ltd	A	Int./Div.	J	T	Buy	06/01/16	J		
26. Alphabet Inc.	A	Int./Div.	J	T	Buy	06/01/16	J		
27. Amazon	A	Int./Div.	J	T	Buy	06/01/16	J		
28. American Intl Group	A	Int./Div.	J	T	Buy	06/01/16	J		
29. Apple, Inc.	A	Int./Div.	K	T	Buy	06/01/16	K		
30. Autozone, Inc.	A	Int./Div.	J	T	Buy	06/01/16	J		
31. Baidu Inc.	A	Int./Div.	J	T	Buy	06/01/16	J		
32. Bank of Hawaii	A	Int./Div.	J	T	Buy	06/01/16	J		
33. Berkshire Hathaway, Series B	A	Int./Div.	J	T	Buy	06/01/16	J		
34. Boeing Co.	A	Int./Div.	J	T	Buy	06/01/16	J		

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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. Brady Corp.	A	Int./Div.	J	T	Buy	06/01/16	J		
36. Carnival Corp.	A	Int./Div.	J	T	Buy	06/01/16	J		
37. Chevron Corp.	A	Int./Div.	J	T	Buy	06/01/16	J		
38. Citrix Systems, Inc.	A	Int./Div.	J	T	Buy	06/01/16	J		
39. Comcast Corp.	A	Int./Div.	J	T	Buy	06/01/16	J		
40. CSX Corp.	A	Int./Div.	J	T	Buy	06/01/16	J		
41. CVS Health Corp.	A	Int./Div.	J	T	Buy	06/01/16	J		
42. Diago PLC	A	Int./Div.	J	T	Buy	06/01/16	J		
43. Disney Co.	A	Int./Div.	J	T	Buy	06/01/16	J		
44. Dominion Res Inc.	A	Int./Div.	J	T	Buy	06/01/16	J		
45. Dow Chemical	A	Int./Div.	J	T	Buy	06/01/16	J		
46. Emerson Electric Co.	A	Int./Div.	J	T	Buy	06/01/16	J		
47. Energizer Holdings	A	Int./Div.	J	T	Buy	06/01/16	J		
48. Equity One Inc. REIT	A	Int./Div.	J	T	Buy	06/01/16	J		
49. Facebook Inc.	A	Int./Div.	J	T	Buy	06/01/16	J		
50. Federated Investments	A	Int./Div.	J	T	Buy	06/01/16	J		
51. Foot Locker Inc.	A	Int./Div.	J	T	Buy	06/01/16	J		

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52. FS Networks Inc.	A	Int./Div.	J	T	Buy	06/01/16	J		
53. General Dynamics Corp	A	Int./Div.	K	T	Buy	06/01/16	K		
54. Gilead Sciences	A	Int./Div.	K	T	Buy	06/01/16	K		
55. Glatfelter	A	Int./Div.	J	T	Buy	06/01/16	J		
56. Goldcorp Inc.	A	Int./Div.	J	T	Buy	06/01/16	J		
57. Halliburton Co.	A	Int./Div.	J	T	Buy	06/01/16	J		
58. Hawaiian Elec. Indus.	A	Int./Div.	J	T	Buy	06/01/16	J		
59. HCA Holdings Inc.	A	Int./Div.	J	T	Buy	06/01/16	J		
60. HD Supply HOLDINGS	A	Int./Div.	J	T	Buy	06/01/16	J		
61. Home Depot Inc.	A	Int./Div.	J	T	Buy	06/01/16	J		
62. Humana Inc.	A	Int./Div.	J	T	Buy	06/01/16	J		
63. Intercontinental Exchange	A	Int./Div.	J	T	Buy	06/01/16	J		
64. Interxion Holding NV	A	Int./Div.	J	T	Buy	06/01/16	J		
65. Ishares ET; growth	A	Int./Div.	J	T	Buy	06/01/16	J		
66. Ishares ET; value	A	Int./Div.	J	T	Buy	06/01/16	J		
67. Ishares Core ET; emerging markets	A	Int./Div.	K	T	Buy	06/01/16	K		
68. Ishares Core ET; small cap	A	Int./Div.	K	T	Buy	06/01/16	K		

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69. Ishares ET; Japan ETF	A	Int./Div.	J	T	Buy	06/01/16	J		
70. Ishares ET; Tip bond	A	Int./Div.	L	T	Buy	06/01/16	L		
71. JP Morgan Chase & Co.	A	Int./Div.	J	T	Buy	06/01/16	J		
72. Lam Research Corp.	A	Int./Div.	J	T	Buy	06/01/16	J		
73. Landstar Systems Inc.	A	Int./Div.	J	T	Buy	06/01/16	J		
74. Lazard Ltd.	A	Int./Div.	J	T	Buy	06/01/16	J		
75. McKesson Corp.	A	Int./Div.	J	T	Buy	06/01/16	J		
76. Mednax Inc.	A	Int./Div.	J	T	Buy	06/01/16	J		
77. Microsoft Corp.	A	Int./Div.	J	T	Buy	06/01/16	J		
78. One Gas Inc.	A	Int./Div.	J	T	Buy	06/01/16	J		
79. OneOK Inc.	A	Int./Div.	J	T	Buy	06/01/16	J		
80. Pepsico Inc.	A	Int./Div.	J	T	Buy	06/01/16	J		
81. Phillips 66	A	Int./Div.	J	T	Buy	06/01/16	J		
82. Pfizer Inc.	A	Int./Div.	J	T	Buy	06/01/16	J		
83. Powershares ET; small cap inform tech.	A	Int./Div.	J	T	Buy	06/01/16	J		
84. Priceline Group Inc.	A	Int./Div.	K	T	Buy	06/01/16	K		
85. Procter & Gamble	A	Int./Div.	J	T	Buy	06/01/16	J		

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86. Regency Centers Corp REIT	A	Int./Div.	J	T	Buy	06/01/16	J		
87. Sanofi ADR	A	Int./Div.	J	T	Buy	06/01/16	J		
88. Siemens AG	A	Int./Div.	J	T	Buy	06/01/16	J		
89. Sprouts Farmers Markets	A	Int./Div.	J	T	Buy	06/01/16	J		
90. State Natl Cos. Inc.	A	Int./Div.	J	T	Buy	06/01/16	J		
91. Toyota Mfr. Corp.	A	Int./Div.	J	T	Buy	06/01/16	J		
92. Unilever PLC	A	Int./Div.	J	T	Buy	06/01/16	J		
93. US Bancorp	A	Int./Div.	J	T	Buy	06/01/16	J		
94. Vanguard ET; Developed markets	A	Int./Div.	K	T	Buy	06/01/16	K		
95. Vanguard ET; inter. term govt bond fund	A	Int./Div.	M	T	Buy	06/01/16	M		
96. Vanguard ET; short term inflation protected bonds	A	Int./Div.	L	T	Buy	06/01/16	L		
97. Vanguard ET; REIT	A	Int./Div.	K	T	Buy	06/01/16	K		
98. Vanguard ET; short term bonds	A	Int./Div.	M	T	Buy	06/01/16	M		
99. Vanguard ET; short term corp. bonds	A	Int./Div.	M	T	Buy	06/01/16	M		
100. Verizon Comm.	A	Int./Div.	J	T	Buy	06/01/16	J		
101. Vodafone Group PLC	A	Int./Div.	J	T	Buy	06/01/16	J		
102. Williams Sonoma	A	Int./Div.	J	T	Buy	06/01/16	J		

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103. Wisdomtree Trust ET; Europe Hedged equity	A	Int./Div.	J	T	Buy	06/01/16	J		
104. Blackrock Funds II High Yield Bond Port.	A	Int./Div.	L	T	Buy	06/01/16	L		
105. Dodge & Cox Income Fund	A	Int./Div.	M	T	Buy	06/01/16	M		
106. Doublin Funds; total return bond fund	A	Int./Div.	M	T	Buy	06/01/16	M		
107. Metropolitan West funds; total return bond fund	A	Int./Div.	M	T	Buy	06/01/16	M		
108. Federal money market treas. govt. obligations fund	A	Int./Div.	L	T	Buy	06/01/16	L		
109. Ridgeworth Funds; floating rate high income	A	Int./Div.	L	T	Buy	06/01/16	L		
110. Thompson IM Funds; bond fund	A	Int./Div.	L	T	Buy	06/01/16	L		
111.									
112.									
113.									
114.									
115.									
116.									
117.									
118.									
119.									

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	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	P4 ~More than \$50,000,000
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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Thuma, David T.

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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.									
121.									
122.									
123.									
124.									
125.									
126.									
127.									
128.									
129.									
130.									
131.									
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133.									
134.									
135.									

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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Thuma, David T.	05/08/2017

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

Part I. PBSWP, LLC is a [REDACTED] LLC created to hold farm land in Indiana. It owns 54 acres of farm land in Hendricks County, Indiana. PBSWP sold 78 acres of farm land in Parke County, Indiana land in April, 2016 for \$426,250.

Part VII. In May, 2016, we retained Sandia Investment Group (part of Wells Fargo Advisors) to act as our investment advisors. The buying and sale activity disclosed in Part VII is a result of that retention. Our investment advisors retained some of our mutual funds, sold others, and invested in a number of stock, ETFs, and mutual funds. The PBSWP funds from the sale of the Parke county land were transferred to our Wells Fargo Advisors accounts.

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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/ **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
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Washington, D.C. 20544