

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 04/12/2019
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 01/01/2018 to 12/31/2018
7. Chambers or Office Address 333 Lomas Blvd, NW Suite 360 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 (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.	
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. June 2018	Lexis-Nexis payment for editing a portion of Collier on Bankruptcy	\$4,300.00
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.	
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. NCBJ annual conference	10/28/18-10/31/18	San Antonio, TX	Attend NCBJ annual conference	three night's hotel; transportation; food
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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
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	C	Int./Div.	L	T					
4. Vanguard Tax-Exempt Money Market Fund	A	Int./Div.	L	T					
5. Vanguard Balanced Fund Admiral Shares	A	Int./Div.	L	T					
6. Vanguard Tax-Managed Balanced Fund Admiral Shares	A	Int./Div.	N	T					
7. Vanguard Precious Metals and Mining Fund	A	Int./Div.	J	T					
8. Vanguard Target Retirement 2025 Fund	A	Int./Div.	L	T					
9. Vanguard Total Stock Market Index Fund Inv. Shares	A	Int./Div.	J	T					
10. Vanguard Admiral Treasury Money Market Fund	A	Int./Div.	J	T					
11. Vanguard Balanced Index Fund Admiral Shares	C	Int./Div.			Sold	12/31/18	L		
12. Oppenheimer NM Education Plan (529) Conservative Portfolio	A	Int./Div.	M	T					
13. Oppenheimer Educ. Plan (529) Ultra Conservative Portfolio	A	Int./Div.	K	T					
14. PBSWP, LLC (owns farm land in Handricks County, Indiana)	D	Rent	N	W					
15. Wells Fargo Checking Account	A	Int./Div.	J	T					
16. Wells Fargo Savings Account	A	Int./Div.	J	T					
17. Exxon common stock	A	Int./Div.	J	T					

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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18. Alphabet Inc.	A	Int./Div.	K	T					
19. Amazon	A	Int./Div.	K	T					
20. Amgen	A	Int./Div.	J	T	Buy	12/31/18	J		
21. American Intl Group	A	Int./Div.			Sold	12/31/18	J		
22. Apple, Inc.	A	Int./Div.	K	T					
23. Bank of America common stock	A	Int./Div.	K	T					
24. Berkshire Hathaway, Series B	A	Int./Div.	K	T	Buy	12/31/18	J		
25. Blackrock Inc. common stock	A	Int./Div.			Sold	12/31/18	J		
26. Boeing Co.	A	Int./Div.	K	T					
27. Booking Holdings	A	Int./Div.	J	T	Buy	01/08/18	J		
28. Carnival Corp.	A	Int./Div.			Sold	12/20/18	J		
29. Caterpillar Inc.	A	Int./Div.	J	T	Buy	08/20/18	J		
30. Chevron Corp.	A	Int./Div.	K	T					
31. Citizens Financial	A	Int./Div.			Sold	12/19/18	J		
32. Comcast Corp.	A	Int./Div.	J	T					
33. CSX Corp.	A	Int./Div.	J	T					
34. CVS Health Corp.	A	Int./Div.			Sold	12/31/18	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	
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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35. Diageo PLC	A	Int./Div.	J	T					
36. Disney Co.	A	Int./Div.	K	T					
37. Dominion Res Inc.	A	Int./Div.			Sold	12/31/18	J		
38. Dow Chemical	A	Int./Div.			Sold	12/31/18	J		
39. Emerson Electric Co.	A	Int./Div.	J	T					
40. Facebook Inc.	A	Int./Div.	J	T	Sold (part)	12/21/18	J		
41. General Dynamics Corp	A	Int./Div.	J	T					
42. Gilead Sciences	A	Int./Div.	J	T					
43. HCA Holdings Inc.	A	Int./Div.	K	T					
44. HD Supply Holdings	A	Int./Div.			Sold	12/31/18	J		
45. Home Depot Inc.	A	Int./Div.	J	T					
46. Humana Inc.	A	Int./Div.	J	T					
47. Intel	A	Int./Div.	K	T					
48. Intercontinental Exchange	A	Int./Div.	K	T					
49. Interxion Holding NV	A	Int./Div.	J	T					
50. Intuitive Surgical Inc.	A	Int./Div.	J	T	Buy	09/05/18	J		
51. iShares Core U.S. Aggregate Bond ETF	A	Int./Div.	L	T	Buy	12/31/18	L		

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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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52. isharesMSCI EAFE Growth ETF	A	Int./Div.	K	T					
53. ishares ETF; value	A	Int./Div.			Sold	02/15/18	J		
54. ishares Core MSCI emerging markets ETF	A	Int./Div.	L	T	Buy (add'l)	11/01/18	K		
55. ishares ETF; Europe Financials	A	Int./Div.			Sold	02/15/18	J		
56. ishares Core MSCI EAFE ETF	A	Int./Div.	K	T	Buy	12/16/18	K		
57. ishares Core S&P small cap ETF	A	Int./Div.	L	T					
58. ishares ETF; Japan ETF	A	Int./Div.			Sold	12/24/18	J		
59. ishares ETF; U.S. oil and gas exploration	A	Int./Div.			Sold	12/31/18	J		
60. ishares ET; Tip bond	A	Int./Div.			Sold	02/15/18	L		
61. Johnson & Johnson	A	Int./Div.	J	T					
62. JP Morgan Chase & Co. common stock	A	Int./Div.	K	T					
63. Lam Research Corp.	A	Int./Div.	K	T					
64. Landstar Systems Inc.	A	Int./Div.			Sold	09/05/18	J		
65. Lazard Ltd.	A	Int./Div.			Sold	06/02/18	J		
66. Mastec Inc.	A	Int./Div.			Sold	12/04/18	J		
67. Microsoft Corp.	A	Int./Div.	K	T	Buy (add'l)	12/10/18	J		
68. Nextera Energy Inc.	A	Int./Div.	J	T	Buy	02/28/18	J		

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69. One Gas Inc.	A	Int./Div.			Sold	12/31/18	J		
70. OneOK Inc.	A	Int./Div.	K	T					
71. Packaging Corp of America	A	Int./Div.	J	T	Buy	12/31/18	J		
72. Pepsico Inc.	A	Int./Div.	J	T					
73. Pfizer Inc.	A	Int./Div.	K	T					
74. Pimco Active BankETF	A	Int./Div.	L	T	Buy	12/31/18	L		
75. Powershares ET'; small cap inform tech.	A	Int./Div.			Sold	12/21/18	J		
76. Priceline Group Inc.	A	Int./Div.			Sold	12/31/18	J		
77. Procter & Gamble	A	Int./Div.			Sold	02/15/18	J		
78. Progressive Corp.	A	Int./Div.	J	T	Buy	12/31/18	J		
79. Rio Tinto PLC	A	Int./Div.	J	T					
80. Royal Dutch Shell	A	Int./Div.	J	T	Buy	12/31/18	J		
81. Salesforce.com	A	Int./Div.	J	T	Buy	12/10/18	J		
82. Schlumberger LTD	A	Int./Div.			Sold	07/07/18	J		
83. Select Sector SPDR FD Materials	A	Int./Div.			Sold	02/15/18	J		
84. Sony Corp.	A	Int./Div.	J	T	Buy	12/26/18	J		
85. SPDR portfolio short term corp. bond ETF	A	Int./Div.	L	T	Buy	12/31/18	L		

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86. SPDR S&P Biotech ETF	A	Int./Div.			Sold	12/21/18	J		
87. Sprouts Farmers Markets	A	Int./Div.	J	T					
88. Thermo Fisher Scientific Inc.	A	Int./Div.	J	T					
89. TJX Cos Inc. New	A	Int./Div.	K	T					
90. Unilever PLC	A	Int./Div.	J	T					
91. US Bancorp	A	Int./Div.	J	T					
92. Vanguard ETF, FTSE Developed markets	A	Int./Div.			Sold	12/31/18	K		
93. Vanguard ETF, FTSE European	A	Int./Div.			Sold	12/31/18	J		
94. Vanguard ETF; inter. term govt bond fund	A	Int./Div.			Sold	12/31/18	M		
95. Vanguard ETF; short term inflation protected bonds	A	Int./Div.			Sold	12/07/18	L		
96. Vanguard real estate index fund ETF	A	Int./Div.	K	T					
97. Vanguard Scottsdale Inter-term Treas. Index ETF	A	Int./Div.	K	T	Buy	12/07/18	K		
98. Vanguard ETF; short term bonds	A	Int./Div.	L	T					
99. Vanguard ETF; short term corp. bonds	A	Int./Div.			Sold	12/31/18	L		
100. Verizon Comm.	A	Int./Div.	J	T	Buy (add'l)	12/31/18	J		
101. Vodafone Group PLC	A	Int./Div.			Sold	06/25/18	J		
102. Blackrock Funds II High Yield Bond Port.	A	Int./Div.			Sold	04/19/18	L		

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103. Dodge & Cox Income Fund	A	Int./Div.	M	T					
104. Doublin Funds; total return bond fund	A	Int./Div.	M	T	Buy (add'l)	12/04/18	J		
105. Metropolitan West funds; total return bond fund	A	Int./Div.	L	T					
106. Fidelity Investments money market treas. only	A	Int./Div.	L	T	Sold (part)	12/31/18	K		
107. FPA New Income Inc.	A	Int./Div.	K	T	Buy	02/05/18	K		
108. Ridgeworth Funds; floating rate high income/ nka Virtus Asset Tr.	A	Int./Div.	K	T	Sold (part)	12/04/18	K	A	
109. Thompson IM Funds; bond fund	A	Int./Div.	K	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	
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	

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

Part I. PBSWP, LLC is a family owned LLC that owns farm land in Hendricks County, Indiana.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Thuma, David T.

Date of Report

04/12/2019

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