

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) Carson, Joel M.	2. Court or Organization U.S. District Court for the District of New Mexico	3. Date of Report 11/13/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge - Part Time	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 N Richardson Roswell, New Mexico 88201		
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. Trustee	Family Trust No. 1
2. Vice-President & Secretary	Sierra Blanca Livestock Company
3. Manager	Sierra Blanca Mercantile LLC
4. Manager	Carson Ryan LLC
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.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Carson, Joel M.

Date of Report

11/13/2017

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2016	Carson Ryan LLC	\$152,850.27
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2016	BCA Medical Associates
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Carson, Joel M.

Date of Report

11/13/2017

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.	Farm Credit Services	Agricultural and Real Property Loan	L
2.	Citibank	Revolving Credit	K
3.	J.P. Morgan	Revolving Credit	K
4.	Artesia Credit Union	Mortgage on Rental Property	J
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Carson, Joel M.

Date of Report

11/13/2017

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. Wells Fargo Savings	A	Interest	J	T					
2. Wells Fargo Savings	A	Interest	J	T					
3. Wells Fargo Checking		None	J	T					
4. Wells Fargo HSA Savings (closed)		None			Closed	10/01/16	K		
5. Optum Bank HSA Savings		None	K	T	Open	10/01/16	K		
6. Pioneer Bank Checking		None	J	T					
7. Artesia Credit Union Savings	A	Interest	J	T					
8. Eagle Federal CU Savings	A	Interest	L	T					
9. Sierra Blanca Investments, LP (company)	C	Royalty	J	W					
10. Carson Agriculture LLC (company)		None	J	W					
11. Ameritrade Money Market	A	Int./Div.	J	T					
12. MRO	A	Dividend	J	T					
13. CXO		None	J	T					
14. DFA Emerging Markets Portfolio Retirement Account	A	Dividend	J	T	Buy	05/18/16	J		
15. DFA Global Equity Portfolio Retirement Account	A	Dividend	J	T	Buy	05/18/16	J		
16. Janus Triton Retirement Account	A	Dividend	J	T	Buy	05/18/16	J		
17. Pioneer Select Mid Cap Growth Retirement Account	A	Dividend	J	T	Buy	05/18/16	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 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 9

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Carson, Joel M.

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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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18. SSgA S&P Mid Cap Index Retirement Account	A	Dividend	J	T	Buy	05/18/16	J		
19. SSgA Russell Large Cap Growth Index Retirement Account	A	Dividend	J	T	Buy	05/18/16	J		
20. American Century Government Bond Ret Acct	C	Int./Div.	M	T					
21. Loomis Sayles Investment Grade Bond Ret Acct		None	M	T					
22. Transamerica Stable Value Core Acct	A	Int./Div.	J	T					
23. Vanguard Small Cap Value Index Ret Acct	A	Int./Div.	K	T					
24. SWMXX	A	Int./Div.	N	T					
25. COP	A	Dividend	K	T					
26. PSX	A	Dividend	J	T					
27. BABA		None	K	T					
28. ILMN		None	J	T					
29. TMO		None	J	T					
30. TGT	A	Dividend	J	T					
31. MCD	A	Dividend	J	T					
32. AMGN	A	Dividend	J	T					
33. WBA	A	Dividend	J	T					
34. AAL	A	Dividend	J	T	Buy	05/09/16	J		

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	
3. Value Method Codes	P3 –\$25,000,001 - \$50,000,000	R –Cost (Real Estate Only)	P4 –More than \$50,000,000	S –Assessment	T –Cash Market
(See Column C2)	Q –Appraisal	V –Other	W –Estimated		
	U –Book Value				

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

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35. AAPL	A	Dividend	K	T	Buy	05/09/16	K		
36. COKE	A	Dividend	K	T	Buy	05/09/16	K		
37. JNJ	A	Dividend	K	T	Buy	05/09/16	K		
38. DIS	A	Dividend	K	T	Buy	05/09/16	K		
39. LUV	A	Dividend	J	T	Buy	05/09/16	J		
40. NTDOY	A	Dividend	J	T	Buy	05/09/16	J		
41. NextGen 529 Blackrock Age 8-10 Yrs A		None	K	T					
42. NextGen 529 Blackrock Age 11-13 Yrs A		None	K	T					
43. T Rowe Price Retirement 2030 R	B	Int./Div.	M	T					
44. Rental Property #1, Roswell, NM	D	Rent	M	W					
45. Trust No. 1 (H)									
46. -ITW	A	Dividend	J	T	Buy	03/11/16	J		
47. -ESV	A	Dividend	J	T	Buy	03/11/16	J		
48. -JNJ	A	Dividend	J	T	Buy	03/11/16	J		
49. -BP	A	Dividend	J	T	Buy	03/11/16	J		
50. -JPM	A	Dividend	J	T	Buy	03/11/16	J		
51. -TUP	A	Dividend	J	T	Buy	03/11/16	J		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Carson, Joel M.

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52. -XEL	A	Dividend	J	T	Buy	03/11/16	J		
53. -CHKP	A	Dividend	J	T	Buy	03/11/16	J		
54. -FDS	A	Dividend	J	T	Buy	03/11/16	J		
55. -LOW	A	Dividend	J	T	Buy	03/11/16	J		
56. -MCHP	A	Dividend	J	T	Buy	03/11/16	J		
57. -PFE	A	Dividend	J	T	Buy	03/11/16	J		
58. -SLB	A	Dividend	J	T	Buy	03/11/16	J		
59. -SHO	A	Dividend	J	T	Buy	03/11/16	J		
60. -RIG	A	Dividend	J	T	Buy	03/11/16	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Carson, Joel M.

Date of Report

11/13/2017

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

With respect to entry nos. 41 & 42 on Part VII, Merrill Lynch states that income and yields are not reported on customer statement and are not otherwise available.

On Line 30, TGT inadvertently not listed on initial 2015 report. Stock acquired prior to 2014 and initial report for this filer.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Carson, Joel M.

Date of Report

11/13/2017

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/ Joel M. Carson**

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