

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 08/14/2020
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 01/01/2019 to 12/31/2019
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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Name of Person Reporting

Thuma, David T.

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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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	NCBJ annual conference	10/29/19-10/31/19	Washington, DC	Attend NCBJ annual conference	three night's hotel; transportation; food
2.	Arizona State Bar	6/27/19-6/29/19	Phoenix, AZ	Speak at state bar conference	two night's hotel; transportation
3.	ABI	8/29/19-8/31/19	Las Vegas, NV	Speak at ABI Southwest conference	two night's hotel; transportation
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.		

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Vanguard 500 Index Fund Admiral Shares	A	Int./Div.	N	T					
2. Vanguard Admiral Treasury Money Market Fund	A	Int./Div.	J	T					
3. Vanguard Balanced Index Fund Admiral Shares	C	Int./Div.	M	T					
4. Vanguard Tax-Exempt Money Market Fund	A	Int./Div.	L	T					
5. Vanguard Balanced Fund Admiral Shares	A	Int./Div.	N	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 Treasure Money Market Fund	A	Int./Div.	J	T					
11. The Education Plan-25% Active Equity Portfolio	A	Int./Div.	M	T	Buy	03/01/19	M		
12. The Education Plan-US Equity Index	A	Int./Div.	K	T	Buy	03/01/19	K		
13. The Education Plan-Bond Index	A	Int./Div.	J	T	Buy	03/01/19	J		
14. Oppenheimer NM Education Plan (529) Conservative Portfolio	A	Int./Div.			Sold	03/01/19	M		
15. Oppenheimer Educ. Plan (529) Ultra Conservative Portfolio	A	Int./Div.			Sold	03/01/19	K		
16. PBSWP, LLC (owns farm land in Handricks County, Indiana)	D	Rent	N	W					
17. Wells Fargo Checking Account	A	Int./Div.	J	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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Name of Person Reporting

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. Wells Fargo Savings Account	A	Int./Div.	J	T					
19. Exxon common stock	A	Int./Div.	J	T					
20. Abbot Laboratories	A	Int./Div.	K	T	Buy	01/02/19	J		
21. Alphabet Inc.	A	Int./Div.	K	T					
22. Amazon	A	Int./Div.	K	T					
23. Amgen	A	Int./Div.			Sold	05/10/19	J		
24. Apple, Inc.	A	Int./Div.	K	T					
25. Bank of America common stock	A	Int./Div.	K	T					
26. Berkshire Hathaway, Series B	A	Int./Div.	K	T					
27. Boeing Co.	A	Int./Div.	K	T					
28. Booking Holdings	A	Int./Div.	J	T					
29. Caterpillar Inc.	A	Int./Div.			Sold	08/15/19	J		
30. Chevron Corp.	A	Int./Div.	K	T					
31. Cisco Systems	A	Int./Div.	K	T	Buy	05/31/19	K		
32. Comcast Corp.	A	Int./Div.	J	T					
33. Constellation Brands	A	Int./Div.	K	T	Buy	01/16/19	K		
34. CSX Corp.	A	Int./Div.	J	T					

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

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Name of Person Reporting

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35. Diageo PLC	A	Int./Div.	J	T					
36. Disney Co.	A	Int./Div.	K	T					
37. Electronic Arts	A	Int./Div.	J	T	Buy	08/23/19	J		
38. Emerson Electric Co.	A	Int./Div.	J	T					
39. Facebook Inc.	A	Int./Div.	J	T					
40. General Dynamics Corp	A	Int./Div.			Sold	01/10/19	J		
41. Gilead Sciences	A	Int./Div.			Sold	10/28/19	J		
42. HCA Holdings Inc.	A	Int./Div.	K	T					
43. Home Depot Inc.	A	Int./Div.	J	T					
44. Honeywell	A	Int./Div.	K	T	Buy	10/28/19	K		
45. Humana Inc.	A	Int./Div.	J	T					
46. Intel	A	Int./Div.	K	T					
47. Intercontinental Exchange	A	Int./Div.	K	T					
48. Interxion Holding NV	A	Int./Div.	J	T					
49. Intuitive Surgical Inc.	A	Int./Div.			Sold	05/31/19	J		
50. ishares Core U.S. Aggregate Bond ETF	A	Int./Div.	L	T					
51. isharesMSCI EAFE Growth ETF	A	Int./Div.	K	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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Name of Person Reporting

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)
52. ishares Core MSCI emerging markets ETF	A	Int./Div.	L	T					
53. ishares Core MSCI EAFE ETF	A	Int./Div.	K	T					
54. ishares Core S&P Mid ETF	A	Int./Div.	K	T	Buy	01/28/19	K		
55. ishares Core S&P small cap ETF	A	Int./Div.	L	T					
56. Johnson & Johnson	A	Int./Div.			Sold	08/01/19	J		
57. JP Morgan Chase & Co. common stock	A	Int./Div.	K	T					
58. Lam Research Corp.	A	Int./Div.	K	T					
59. Lockheed Martin	A	Int./Div.	J	T	Buy	01/10/19	J		
60. Mastercard	A	Int./Div.	K	T	Buy	08/15/19	K		
61. Merck	A	Int./Div.	K	T	Buy	05/10/19	K		
62. Microsoft Corp.	A	Int./Div.	K	T					
63. Nextera Energy Inc.	A	Int./Div.	J	T					
64. OneOK Inc.	A	Int./Div.	K	T					
65. Packaging Corp of America	A	Int./Div.	J	T					
66. Pepsico Inc.	A	Int./Div.	J	T					
67. Pfizer Inc.	A	Int./Div.	K	T					
68. Pimco Active BankETF	A	Int./Div.	L	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
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Name of Person Reporting

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69. Progressive Corp.	A	Int./Div.	J	T					
70. Rio Tinto PLC	A	Int./Div.	J	T					
71. Royal Dutch Shell	A	Int./Div.	J	T					
72. Salesforce.com	A	Int./Div.	J	T					
73. Sony Corp.	A	Int./Div.			Sold	03/22/19	J		
74. SPDR portfolio short term corp. bond ETF	A	Int./Div.	L	T					
75. SPDR S&P Biotech ETF	A	Int./Div.	J	T	Buy	11/29/19	J		
76. Sprouts Farmers Markets	A	Int./Div.			Sold	11/06/19	J		
77. Starbucks	A	Int./Div.	J	T	Buy	11/06/19	J		
78. Thermo Fisher Scientic Inc.	A	Int./Div.	J	T					
79. TJX Cos Inc. New	A	Int./Div.	K	T					
80. Unilever PLC	A	Int./Div.	J	T					
81. US Bancorp	A	Int./Div.	J	T					
82. Vanguard real estate index fund ETF	A	Int./Div.	K	T					
83. Vanguard Scottsdale Inter-term Treas. Index ETF	A	Int./Div.	K	T					
84. Vanguard ETF; short term bonds	A	Int./Div.	L	T					
85. Verizon Comm.	A	Int./Div.	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
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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	

Table with 2 columns: Name of Person Reporting, Date of Report. Row 1: Thuma, David T., 08/14/2020

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.)

Table with 10 columns: A (Description of Assets), B (Income during reporting period), C (Gross value at end of reporting period), D (Transactions during reporting period), and sub-columns for each. Rows 86-92 list various funds and their transaction details.

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
2 Value Codes: J=\$15,000 or less, K=\$15,001 - \$50,000, L=\$50,001 - \$100,000, M=\$100,001 - \$250,000, P1=\$1,000,001 - \$5,000,000, P2=\$5,000,001 - \$25,000,000
3 Value Method Codes: Q=Appraisal, R=Cost (Real Estate Only), S=Assessment, T=Cash Market, U=Book Value, V=Other, W=Estimated

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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.

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544