

**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) Brack, Robert C.	2. Court or Organization U.S. District Court	3. Date of Report 05/14/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III - Senior Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 100 North Church Street Suite 580 Las Cruces, NM 88001		
IMPORTANT NOTES: <i>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>		

I. POSITIONS. *(Reporting individual only; see pp. 9-13 of filing instructions)*

☒ NONE *(No reportable positions.)*

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
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.		

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Brack, Robert C.

Date of Report

05/14/2020

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. 2019	Spouse's Non-Investment Income: Western Management, LP (Owner/Partner)
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.				

Name of Person Reporting	Date of Report
Brack, Robert C.	05/14/2020

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. Northwestern Mutual	Loan	J
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. Vacation Home - Ruidoso, NM (1/2 Interest)		None	L	W					
2. ACCOUNT, CHARLES SCHWAB, LCNM	A	Interest	J	T					
3. Schwab Govt. Money Fund Investor	A	Dividend	K	T	Buy	12/31/19	M		
4. Splunk Inc.		None	J	T	Buy	08/23/19	J		
5. Alphabet Inc. Class C		None	J	T					
6. Twitter Inc.		None	J	T	Buy	09/18/19	J		
7. Costar Group Inc.		None	J	T	Buy	01/22/19	J		
8. Redhat Inc.		None			Sold	01/23/19	J		
9. Globan Payments Inc.		None			Sold	01/04/19	J		
10. Mongoddb Inc. Class A		None	J	T					
11. Idexx Labs Inc.		None	J	T					
12. Roku Inc. Class A		None	J	T					
13. Tyler Technologies		None	J	T					
14. Illumina Inc.		None			Sold	10/29/19	J		
15. Adobe Systems Inc.		None	J	T					
16. Mastercard Inc. Class A	A	Dividend	J	T					
17. Gartner Inc.		None			Sold	08/29/19	J		

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

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. Microsoft Corp.	A	Dividend	J	T					
19. Visa Inc. Class A	A	Dividend	J	T					
20. Yext Inc.		None			Sold	06/20/19	J		
21. Intuitive Surgical		None	K	T					
22. Veeva Systems Inc. Class A		None	J	T					
23. Service Now Inc.		None	J	T	Buy	08/06/19	J		
24. Walt Disney Co.	A	Dividend	J	T	Buy	09/18/19	J		
25. Pinckney MI CMTY 6.6%27GO UTX	A	Interest	J	T	Buy	08/23/19	J		
26. Perry OH LSD STA 5.65%GO UTX	A	Interest	J	T	Buy	08/23/19	J		
27. Whitehall MI DS 6.5%29GO UTX	A	Interest	K	T	Buy	08/29/19	K		
28. Utica MI CMNTY S 6.05%24GO UTX	A	Interest	J	T	Buy	10/10/19	J		
29. US Treasury Bill2OU S T Bill Due 02/13/20		None	J	T	Buy	11/15/19	J		
30. █████ - IRA - CHARLES SCHWAB, LCNM	A	Dividend	J	T					
31. Alphabet Inc. Class C		None	J	T					
32. Schwab Govt. Money Fund Investor	A	Dividend	K	T					
33. Twitter Inc.		None	J	T					
34. Splunk Inc.		None	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

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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)
35. Roku Inc. Class A		None	J	T					
36. Tyler Technologies		None	J	T					
37. Illumina Inc.		None			Sold	10/29/19	J		
38. Mastercard Inc. Class A	A	Dividend	J	T					
39. Adobe Systems Inc.		None	J	T					
40. Idexx Labs Inc.		None	J	T					
41. Yext Inc.		None			Sold	06/20/19	J		
42. MongoDB Inc. Class A		None	J	T					
43. Intuitive Surgical		None	J	T					
44. Visa Inc. Class A	A	Dividend	J	T					
45. Veeva Systems Inc. Class A		None	J	T					
46. Global Payments Inc.	A	Dividend			Sold	01/04/19	J		
47. Gartner Inc.		None			Sold	08/29/19	J		
48. Microsoft Corp.	A	Dividend	J	T					
49. Costar Group Inc.		None	J	T	Buy	01/22/19	J		
50. Service Now Inc.		None	J	T	Buy	08/06/19	J		
51. Walt Disney Co.	A	Dividend	J	T	Buy	08/07/19	J		

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	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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52. 401K - ABG ROCKY MOUNTAIN CONSULTANTS, DENVER, CO									
53. Blackrock High Yield Bond Inst. 1		None			Sold	11/05/19	J		
54. Columbia Dividend Income Inst. 2		None			Sold	11/05/19	K		
55. DFA Emerging Markets I		None			Sold	11/05/19	J	B	
56. Dodge & Cox Income		None			Sold	11/05/19	J		
57. Fidelity Advisor Small Cap Growth I		None			Sold	11/05/19	J		
58. Fidelity Select Health Care		None			Sold	11/05/19	J		
59. Ivy International Core Equity Y		None			Sold	11/05/19	K		
60. Janus Henderson Enterprise T		None			Sold	11/05/19	J		
61. MetLife Stable Value Fund		None			Sold	08/30/19	K		
62. PIMCO Income A		None			Sold	11/05/19	K		
63. T. Rowe Price Blue Chip Growth		None			Sold	11/05/19	K		
64. Undiscovered Managers Behavioral Val R6		None			Sold	11/05/19	J		
65. Vanguard Information Technology Index Admiral		None			Sold	11/05/19	J		
66. Vanguard Real Estate Index Admiral		None			Sold	11/05/19	J		
67. Wells Fargo Special Mid Cap Value Inst.		None			Sold	11/05/19	J		
68. ABG Growth CIF R1 (CUSIP No. 41023L860)		None	M	T	Buy	12/18/19	M		

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(See Columns C1 and D3)

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69. 529 - CHARLES SCHWAB, [REDACTED]									
70. Aggressive Track - 40% Equity Portfolio		None	K	T					
71. 529 - CHARLES SCHWAB, [REDACTED]									
72. Aggressive Track - 70% Equity Portfolio		None			Sold	11/05/19	K		
73. Aggressive Track - 60^ Equity Portfolio		None	K	T	Buy	11/05/19	K		
74. 529 - CHARLES SCHWAB, [REDACTED]									
75. Aggressive Track - 80% Equity Portfolio		None			Sold	10/07/19	K		
76. Aggressive Track - 70% Equity Portfolio		None	K	T	Buy	10/07/19	K		
77. 529 - CHARLES SCHWAB, [REDACTED]									
78. Aggressive Track - 70% Equity Portfolio		None	K	T					
79. Northwestern Mutual Whole Life Insurance Policy - Cash Value	A	Interest	L	T					
80. Citizens Bank, LCNM (Accounts)	A	Interest	M	T					
81. Citizens Bank - IRA (Formerly listed as NM Bank and Trust	A	Interest	J	T					
82.									
83.									
84.									

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

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Date of Report

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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/ **Robert C. Brack**

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