AO 10
Rev. 1/2019

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)	2. Court or Organization	3. Date of Report
KLEIN-ROBBENHAAR, JOHN F.	United States District COurt, District of New Mexico	05/07/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
United States Magistrate Judge (full-time)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2019 **to** 12/31/2019

7. Chambers or Office Address

United States District Court, District of New Mexico
333 Lomas Blvd. NW, Suite 730
Albuquerque, New Mexico 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.	Trustee	Trust #1
2.	Trustee	Trust #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.		

Name of Person Reporting	Date of Report
KLEIN-ROBBENHAAR, JOHN F.	05/07/2020

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.)*

	DATE	SOURCE AND TYPE	INCOME (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.)*

	DATE	SOURCE AND TYPE
1.	2019	Erika Harding Consulting dba Amplify Consulting--earnings
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.					
2.					
3.					
4.					
5.					

Name of Person Reporting	Date of Report
KLEIN-ROBBENHAAR, JOHN F.	05/07/2020

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.	Capital One Bank	Credit Card	J
2.	U.S. Dept. of Education	Student Loans	L
3.			
4.			
5.			

Name of Person Reporting	Date of Report
KLEIN-ROBBENHAAR, JOHN F.	05/07/2020

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.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. IRA #1									
2. -Catalyst Insider Income Fund	A	Interest	J	T	Buy	04/23/19	J		
3. -Pershing Govt Cash Fund		Interest	K	T					
4. -Fidelity Advisor Total Bond Fund	A	Dividend	L	T					
5.					Buy (add'l)	04/23/19	J		
6. -Invesco Dynamic Credit Opp Fund	A	Dividend	K	T					
7. -Ishares High Yield Corp Bd Fund	A	Dividend							
8.					Sold	04/23/19	K		
9. -Ishares S&P Pfd Stock Index Fund	A	Dividend	K	T					
10. -JP Morgan Strat Inc. Opp. Fund	A	Dividend	K	T					
11. -Nuveen Equity Prem.	A	Dividend	K	T					
12. -Transamerica Intl. Equity	A	Dividend	K	T					
13. -Vanguard Spec. Portfolios Div.	A	Dividend	L	T					
14. -Vanguard Index FDS Growth ETF	A	Dividend	K	T					
15. -Vanguard Index FDS Mid-cap	A	Dividend	K	T					
16. -Vanguard Total Stock Mkt ETF	A	Dividend	L	T					
17.									

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
KLEIN-ROBBENHAAR, JOHN F.	05/07/2020

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.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)
18. Trust #1 (H)									
19. -Pershing Cash Acct	A	Interest	J	T					
20. -Intel Common Stock	A	Dividend			Sold	07/03/19	J		
21.									
22. 529 Account: Education Plan #2 (Moderate Option)	A	Int./Div.			Sold	08/30/19	J		
23.									
24. NM Educ. Ret Assn. Ret. Acct. (controlled solely by NMERA)	A	Dividend	J	T					
25.									
26. Nusenda Credit Union: Share Cert. IRA	A	Dividend	J	T					
27.									
28. Trust #2 (H)									
29. -Real Property (Fairfield County, CT: appraisal: August 2010)		None	O	Q					
30. -Fidelity Govt Cash Reserves		Interest	M	T					
31. -Amazon.Com Inc.	A	Dividend	K	T					
32. -Bank of America	A	Dividend	K	T					
33. -AT&T Inc. Com	A	Dividend	J	T	Buy	09/20/19	J		
34. -Berkshire Hathaway	A	Dividend	M	T					

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
KLEIN-ROBBENHAAR, JOHN F.	05/07/2020

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.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. -Bookings Hldgs Inc. Com.	A	Distribution	K	T	Buy	12/18/19	K		
36. -Chevron Corp. New Com.	A	Dividend			Sold	03/26/19	K		
37. -Cisco Sys. Inc. Com.	A	Dividend	K	T	Buy	12/10/19	J		
38. -Constellation Brands Inc. Com.	A	Dividend	K	T	Buy	10/18/19	K		
39. -Disney Walt Co.	A	Dividend	K	T	Buy	04/22/19	K		
40. -Edwards Lifesciences Corp.	A	Dividend	K	T	Buy	01/28/19	K		
41. -Facebook Inc.	A	Dividend	L	T					
42. -Invesco QQQ TR	A	Dividend	L	T					
43. -JP Morgan Chase	B	Dividend	K	T					
44. -Lululemon Athletica Inc. Com.	A	Dividend	K	T	Buy	01/22/19	K		
45. -Morgan Stanley Com.	A	Dividend	K	T					
46. -Nike Inc. Class B Com.	A	Dividend	K	T	Buy	03/06/19	K		
47. -Palo Alto Networks Inc. Com.	A	Dividend			Buy	02/07/19	K		
48.					Sold	06/06/19	K		
49. -PayPal Holdings Inc. Com.	A	Dividend	K	T	Buy	02/19/19	K		
50.					Buy (add'l)	04/15/19	J		
51. -Pfizer Inc.	A	Dividend			Sold	01/30/19	K		

1 Income Gain Codes: (See Columns B1 and D4) — 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; 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 (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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 (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

Name of Person Reporting	Date of Report
KLEIN-ROBBENHAAR, JOHN F.	05/07/2020

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.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. -Raytheon Co.	A	Dividend			Sold	04/08/19	K		
53. -Salesforce.com Inc. Com.	A	Dividend	J	T	Buy	02/25/19	J		
54. -SPDR S&P 500 ETF Fund	C	Dividend	M	T					
55. -Tesla Inc. Com.	A	Dividend			Sold	04/08/19	K		
56. -TJX Cos. Inc. New Com.	A	Dividend	K	T	Buy	10/21/19	K		
57.					Buy (add'l)	11/06/19	J		
58. -Twilio Inc. CL A	A	Dividend	J	T	Buy	01/15/19	J		
59.					Buy (add'l)	02/15/19	J		
60. -Unilever PLC Spon	A	Dividend	K	T					
61. -Unilever NV Euro. 16	A	Dividend	J	T					
62. -Verizon Communications	B	Dividend	L	T					
63. -Visa Inc. Com. CL A	A	Dividend	M	T					
64. -Workday Inc. Com. CL A	A	Dividend			Buy	01/10/19	K		
65.					Sold	09/06/19	K		
66. -Zoetis Inc. Com	A	Dividend	J	T	Buy	09/24/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
KLEIN-ROBBENHAAR, JOHN F.	05/07/2020

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

Line 20: This line has been amended to reflect that all stock in Intel was sold on July 3, 2019. The date of sale was inadvertently omitted from the original report.

Name of Person Reporting	Date of Report
KLEIN-ROBBENHAAR, JOHN F.	05/07/2020

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/ JOHN F. KLEIN-ROBBENHAAR

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