

**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) Carson, Joel M.	2. Court or Organization United States Court of Appeals for the Tenth Circuit	3. Date of Report 08/13/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III - Active 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 500 N. Richardson Roswell, NM 88201		
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.)*

	<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
4.	Manager	Carson Ryan LLC
5.	Manager	Sierra Blanca Trading LLC

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.	

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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. 2019	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. University of Arizona School of Law	April 14-16, 2019	Tucson, AZ	Moot Court	Transportation, Meals, Lodging
2.				
3.				
4.				
5.				

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Name of Person Reporting	Date of Report
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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.	Farm Credit Services	Real Property Loan	O
2.	Citibank	Revolving Credit	J
3.	J.P. Morgan	Revolving Credit	K
4.			
5.			

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Name of Person Reporting

Carson, Joel M.

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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. Wells Fargo Savings	A	Interest	J	T					
2. Wells Fargo Savings	A	Interest	J	T					
3. Wells Fargo Checking		None	J	T					
4. Optum Bank HSA Savings	A	Interest	K	T					
5. Pioneer Bank Checking		None	K	T					
6. Artesia Credit Union Savings	A	Interest	K	T					
7. Eagle Federal CU Savings	A	Int./Div.	J	T					
8. Sierra Blanca Investments LP (company)	C	Royalty	J	U					
9. Carson Agriculture LLC (company)		None	J	U					
10. Ameritrade Money Market Account	A	Interest	J	T					
11. Ameritrade Money Market Account (2)	A	Interest	N	T					
12. MRO		None			Sold	01/09/19	J	A	
13. DFA Emerging Markets Portfolio Retirement Account Fund	A	Dividend	K	T					
14. DFA Global Equity Portfolio Retirement Account Fund	A	Dividend	K	T					
15. Janus Triton Retirement Account Fund	A	Dividend	K	T					
16. Pioneer Select Mid Cap Growth Retirement Account Fund	A	Dividend	K	T					
17. SSgA S&P Mid Cap Index Retirement Account Fund	A	Dividend	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	

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. SSgA Russell Large Cap Growth Index Retirement Account Fund	A	Dividend	L	T					
19. American Century Government Bond Ret Acct Fund	C	Dividend	M	T					
20. Loomis Sayles Investment Grade Bond Ret Acct Fund	D	Dividend	M	T					
21. Transamerica Stable Value Core Acct Fund	A	Dividend	J	T					
22. Vanguard Small Cap Value Index Ret Acct Fund	A	Distribution	L	T					
23. SWMXX	A	Dividend	M	T					
24. COP	A	Dividend	K	T					
25. PSX	A	Dividend	K	T					
26. BABA		None	K	T					
27. ILMN		None	K	T					
28. AMZN		None	L	T					
29. TMO		None	K	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					

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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35. AAPL	A	Dividend	M	T					
36. COKE	A	Dividend	K	T					
37. JNJ	A	Dividend	K	T					
38. DIS	A	Dividend	K	T					
39. LUV	A	Dividend	J	T					
40. NTDOY	A	Dividend	J	T					
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. Rental Property #1, Roswell, NM	D	Rent	M	W					
44. Trust No. 1									
45. -ITW	A	Dividend	J	T					
46. -ESV	A	Dividend	J	T					
47. -JNJ	A	Dividend	J	T					
48. -BP	A	Dividend	J	T					
49. -JPM	A	Dividend	J	T					
50. -TUP	A	Dividend	J	T					
51. -XEL	A	Dividend	J	T					

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52. -CHKP	A	Dividend	J	T					
53. -FDS	A	Dividend	J	T					
54. -LOW	A	Dividend	J	T					
55. -MCHP	A	Dividend	J	T					
56. -PFE	A	Dividend	J	T					
57. -SLB	A	Dividend	J	T					
58. -SHO	A	Dividend	J	T					
59. -RIG	A	Dividend	J	T					
60.									
61.									
62.									
63.									
64.									
65.									
66.									
67.									
68.									

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
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69.									
70.									
71.									
72.									

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.)*

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

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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/ **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
Suite 2-301
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Washington, D.C. 20544