

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 04/25/2018
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 01/01/2017 to 12/31/2017
7. Chambers or Office Address 500 Gold Avenue, SW 13th Floor 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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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.

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. NCBJ annual conference

10/8/17-10/11/17

Las Vegas, NV

Attend NCBJ annual
conference

three night's hotel; transportation; food

2.

3.

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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

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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. Vanguard 500 Index Fund Admiral Shares	A	Int./Div.	M	T					
2. Vanguard Admiral Treasury Money Market Fund	A	Int./Div.	J	T					
3. Vanguard Balanced Index Fund Admiral Shares	A	Int./Div.	L	T					
4. Vanguard Tax-Exempt Money Market Fund	A	Int./Div.	L	T					
5. Vanguard Balanced Fund Admiral Shares	A	Int./Div.	L	T					
6. Vanguard Tax-Managed Balanced Fund Admiral Shares	A	Int./Div.	M	T					
7. Vanguard Precious Metals and Mining Fund	A	Int./Div.	J	T					
8. Vanguard Target Retirement 2025 Fund	A	Int./Div.	O	T					
9. Vanguard Total Stock Market Index Fund Inv. Shares	A	Int./Div.	J	T					
10. Vanguard Admiral Treasury Money Market Fund	A	Int./Div.	J	T					
11. Vanguard Balanced Index Fund Admiral Shares	C	Int./Div.	L	T					
12. Oppenheimer NM Education Plan (529) Conservative Portfolio	A	Int./Div.	L	T					
13. Oppenheimer Educ. Plan (529) Ultra Conservative Portfolio	A	Int./Div.	L	T					
14. PBSWP, LLC	D	Rent	N	W					
15. Wells Fargo Checking Account	A	Int./Div.	J	T					
16. Wells Fargo Savings Account	A	Int./Div.	J	T					
17. Exxon common stock	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
2. Value Codes (See Columns C1 and D3)	J –\$15,000 or less N –\$250,001 - \$500,000 P3 –\$250,001 - \$500,000	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 \$5,000,000	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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18. ABB Ltd	A	Int./Div.			Sold	07/19/17	J	A	
19. Alphabet Inc.	A	Int./Div.	J	T					
20. Amazon	A	Int./Div.	J	T					
21. American Intl Group	A	Int./Div.	J	T					
22. Apple, Inc.	A	Int./Div.	K	T					
23. Autozone, Inc.	A	Int./Div.			Sold	02/09/17	J	A	
24. Baidu Inc.	A	Int./Div.			Sold	02/09/17	J	A	
25. Bank of America common stock	A	Int./Div.	K	T	Buy	02/09/17	K		
26. Bank of Hawaii	A	Int./Div.			Sold	02/09/17	J	A	
27. Berkshire Hathaway, Series B	A	Int./Div.	J	T					
28. Blackrock Inc. common stock	A	Int./Div.	J	T	Buy	02/09/17	J		
29. Boeing Co.	A	Int./Div.	J	T					
30. Brady Corp.	A	Int./Div.			Sold	02/09/17	J	A	
31. Carnival Corp.	A	Int./Div.	J	T					
32. Chevron Corp.	A	Int./Div.	J	T					
33. Citizens Financial	A	Int./Div.	J	T					
34. Citrix Systems, Inc.	A	Int./Div.			Sold	02/09/17	J	A	

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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35. Comcast Corp.	A	Int./Div.	J	T					
36. CSX Corp.	A	Int./Div.	J	T					
37. CVS Health Corp.	A	Int./Div.	J	T					
38. Diago PLC	A	Int./Div.	J	T					
39. Disney Co.	A	Int./Div.	J	T					
40. Dominion Res Inc.	A	Int./Div.	J	T					
41. Dow Chemical	A	Int./Div.	J	T					
42. Emerson Electric Co.	A	Int./Div.	J	T					
43. Energizer Holdings	A	Int./Div.			Sold	02/09/17	J	A	
44. Equity One Inc. REIT	A	Int./Div.			Sold	02/09/17	J	A	
45. Facebook Inc.	A	Int./Div.	J	T					
46. Federated Investments	A	Int./Div.			Sold	02/09/17	J	A	
47. Foot Locker Inc.	A	Int./Div.			Sold	06/06/17	J	A	
48. FS Networks Inc.	A	Int./Div.			Sold	10/24/17	J	A	
49. General Dynamics Corp	A	Int./Div.	K	T					
50. Gilead Sciences	A	Int./Div.	K	T					
51. Glatfelter	A	Int./Div.			Sold	05/04/17	J	A	

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52. Goldcorp Inc.	A	Int./Div.			Sold	06/30/17	J	A	
53. Halliburton Co.	A	Int./Div.			Sold	08/19/17	J	A	
54. Hawaiian Elec. Indus.	A	Int./Div.			Sold	04/21/17	J	A	
55. HCA Holdings Inc.	A	Int./Div.	J	T					
56. HD Supply HOLDINGS	A	Int./Div.	J	T					
57. Home Depot Inc.	A	Int./Div.	J	T					
58. Humana Inc.	A	Int./Div.	J	T					
59. Intel	A	Int./Div.	J	T					
60. Intercontinental Exchange	A	Int./Div.	J	T					
61. Interxion Holding NV	A	Int./Div.	J	T					
62. Ishares ETF; growth	A	Int./Div.	J	T					
63. Ishares ETF; value	A	Int./Div.	J	T					
64. Ishares Core ETF; emerging markets	A	Int./Div.	K	T					
65. Ishares ETF; Europe Financials	A	Int./Div.	J	T	Buy	05/04/17	K		
66. Ishares Core ETF; small cap	A	Int./Div.	K	T					
67. Ishares ETF; Japan ETF	A	Int./Div.	J	T					
68. Ishares ETF; U.S. oil and gas exploration	A	Int./Div.	J	T	Buy	05/04/17	J		

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69. Ishares ET; Tip bond	A	Int./Div.	L	T					
70. Johnson & Johnson	A	Int./Div.	J	T	Buy	05/04/17	J		
71. JP Morgan Chase & Co. common stock	A	Int./Div.	J	T					
72. Lam Research Corp.	A	Int./Div.	J	T					
73. Landstar Systems Inc.	A	Int./Div.			Sold	10/25/17	J	A	
74. Lazard Ltd.	A	Int./Div.	J	T					
75. Mastec Inc.	A	Int./Div.	J	T	Buy	03/23/17	J		
76. McKesson Corp.	A	Int./Div.			Sold	02/09/17	J	A	
77. Mednax Inc.	A	Int./Div.			Sold	03/23/17	J	A	
78. Microsoft Corp.	A	Int./Div.	J	T					
79. One Gas Inc.	A	Int./Div.	J	T					
80. OneOK Inc.	A	Int./Div.	J	T					
81. Pepsico Inc.	A	Int./Div.	J	T					
82. Phillips 66	A	Int./Div.			Sold	02/09/17	J	A	
83. Pfizer Inc.	A	Int./Div.	J	T					
84. Powershares ET; small cap inform tech.	A	Int./Div.	J	T					
85. Priceline Group Inc.	A	Int./Div.	K	T					

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86. Procter & Gamble	A	Int./Div.	J	T					
87. Regency Centers Corp REIT	A	Int./Div.			Sold	06/05/17	J	A	
88. Rio Tinto PLC	A	Int./Div.	J	T	Buy	02/09/17	J		
89. Sanofi ADR	A	Int./Div.			Sold	11/01/17	J	A	
90. Schlumberget LTD	A	Int./Div.	J	T	Buy	06/05/17	J		
91. Select Sector SPDR FD Materials	A	Int./Div.	J	T	Buy	11/01/17	J		
92. Siemens AG	A	Int./Div.			Sold	12/22/17	J	A	
93. SPDR S&P Biotech ETF	A	Int./Div.	J	T	Buy	06/05/17	J		
94. Sprouts Farmers Markets	A	Int./Div.	J	T					
95. State Natl Cos. Inc.	A	Int./Div.			Sold	02/09/17	J	A	
96. Thermo Fisher Scientific Inc.	A	Int./Div.	J	T	Buy	12/22/17	J		
97. TJX Cos Inc. New	A	Int./Div.	J	T	Buy	12/22/17	J		
98. Toyota Mfr. Corp.	A	Int./Div.			Sold	04/12/17	J	A	
99. Unilever PLC	A	Int./Div.	J	T					
100. US Bancorp	A	Int./Div.	J	T					
101. Vanguard ETF, FTSE Developed markets	A	Int./Div.	K	T					
102. Vanguard ETF, FTSE European	A	Int./Div.	J	T	Buy	03/23/17	J		

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103. Vanguard ETF; inter. term govt bond fund	A	Int./Div.	M	T					
104. Vanguard ETF; short term inflation protected bonds	A	Int./Div.	L	T					
105. Vanguard ETF; REIT	A	Int./Div.	K	T					
106. Vanguard ETF; short term bonds	A	Int./Div.	M	T					
107. Vanguard ETF; short term corp. bonds	A	Int./Div.	M	T					
108. Verizon Comm.	A	Int./Div.			Sold	09/29/17	J	A	
109. Vodafone Group PLC	A	Int./Div.	J	T					
110. Williams Sonoma	A	Int./Div.			Sold	05/23/17	J	A	
111. Wisdomtree Trust ET; Europe Hedged equity	A	Int./Div.			Sold	12/23/17	J	C	
112. Blackrock Funds II High Yield Bond Port.	A	Int./Div.	L	T					
113. Dodge & Cox Income Fund	A	Int./Div.	M	T					
114. Doublin Funds; total return bond fund	A	Int./Div.	M	T					
115. Metropolitan West funds; total return bond fund	A	Int./Div.	M	T					
116. Federal money market treas. govt. obligations fund	A	Int./Div.	L	T					
117. Ridgeworth Funds; floating rate high income/ nka Virtus Asset Tr.	A	Int./Div.	L	T					
118. Thompson IM Funds; bond fund	A	Int./Div.	L	T					

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04/25/2018

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

Part I. PBSWP, LLC is a family owned LLC created to hold farm land in Indiana.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Thuma, David T.

Date of Report

04/25/2018

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