

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) Yarbrough, Steven C.	2. Court or Organization United States District Court - New Mexico	3. Date of Report 04/13/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge - Full Time	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 333 Lomas Blvd. NW, Ste. 670 Albuquerque, NM 87102		
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. Board of Directors	Los Ojos de la Familia (501(c)(3) charity)
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

Yarbrough, Steven C.

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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. 2019	Rock Me Baby Records, Inc. yarbrough_Copier to: steve_yarbrough 05/01/2015 04:01 PM From:	
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
Yarbrough, Steven C.	04/13/2020

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.		
2.		
3.		
4.		
5.		

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Name of Person Reporting

Yarbrough, Steven C.

Date of Report

04/13/2020

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 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 Extended Mkt Index Adm	A	Dividend	L	T					
2. Vanguard High Divident Yld Idx Inv	A	Dividend	K	T					
3. Vanguard High Yield Corp Fund Inv	A	Dividend	J	T					
4. Vanguard Pacific Stock Index Inv	A	Dividend	K	T					
5. Vanguard Prime Money Market	D	Int./Div.	N	T					
6. VG Fed MM Sett Fund	A	Int./Div.	J	T					
7. Vanguard REIT Index Fund	A	Dividend	J	T					
8. Vang Tot Intl Stock Ix Adm	B	Dividend	K	T					
9. Vang Total Bond Mkt Indx	B	Dividend	J	T					
10. Vang 500 Index Fund	B	Dividend	L	T					
11. Market Vectors Gold Miners ETF	A	Dividend	J	T					
12. VGPMX	A	Dividend	J	T					
13. VEMAX	A	Dividend	J	T					
14. VG Consumer staples ETF	A	Dividend	J	T					
15. Baycom Corp		None			Sold	04/05/19	J		
16. Caterpillar	A	Dividend	K	T					
17. Cisco Systems Inc.	A	Dividend	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 =\$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. DXC Technology Company	A	Dividend			Sold	04/05/19	J		
19. HP Enterprises Co.	A	Dividend	J	T					
20. HP Inc.	A	Dividend	J	T					
21. Intel Corp	A	Dividend	K	T					
22. JNJ	A	Dividend	K	T					
23. MFGP	A	Dividend			Sold	04/05/19	J		
24. PG	A	Dividend	K	T					
25. SONVF	A	Dividend	K	T					
26. MMM	A	Dividend	K	T					
27. Vang GNMA Fund Inv Shares	A	Dividend	J	T					
28. Vanguard Aggressive Age Based Option: Vanguard Agg Growth Port 529 (3)	A	Dividend	K	T	Buy (add'l)	10/17/19	J		
29. Vanguard Mod Growth 529 (3)	A	Dividend	J	T	Buy (add'l)	10/17/19	J		
30. Vanguard Agg Age Based Option: Vanguard Agg (2) Growth Port 529 (2)	A	Dividend	K	T	Buy (add'l)	10/17/19	J		
31. Vanguard Mod Growth 529 (2)	A	Dividend	J	T	Buy (add'l)	10/17/19	J		
32. The Education Plan 529 - Aggressive Index Portfolio New Mexico (1)	D	Dividend	L	T					
33. Vang 500 Index Fund ()	A	Dividend	K	T					
34. Vang Develop Mkts Idx Fund ()	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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Name of Person Reporting

Yarbrough, Steven C.

Date of Report

04/13/2020

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35. Vang Emerging Mkt Idx Fund ()	A	Dividend	K	T					
36. Vang European Stock Idx Fund ()	A	Dividend	J	T					
37. Vang Growth and Income Fund Inv ()	A	Dividend	K	T					
38. Vang Mid Cap Idx Fund ()	A	Dividend	L	T					
39. Vang Prime Money Mkt Fund ()	B	Int./Div.	M	T					
40. VG Fed Money Mkt Fund	A	Int./Div.	J	T					
41. Vang Small Cap Growth Idx Fund ()	A	Dividend	K	T					
42. Vang Total Int'l Stock Idx Fund ()	B	Dividend	K	T					
43. Vang Windsor II Fund Inv ()	A	Dividend	K	T					
44. VDC ()	A	Dividend	J	T					
45. GOOG ()		None	J	T					
46. GOOGL ()		None	J	T					
47. DIS ()	A	Dividend	K	T					
48. AT&T ()		None	J	T					
49. Vang Balanced Index F Trad IRA ()	A	Dividend	J	T					
50. Vang Life Strategy Growth Trad IRA ()	A	Dividend	J	T					
51. Vang Mid-Cap Growth Trad IRA ()	A	Dividend	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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52. Vang Tot Stock Mkt Index Trad IRA ()	A	Dividend	J	T					
53. Vang Life Strategy Conserv Growth Rollover IRA ()	A	Dividend	J	T					
54. Vang Long Term Bond Idx Fund Rollover IRA ()	A	Dividend	J	T					
55. Vang Long Term Invest-GR Inv ()	A	Dividend	J	T					
56. VG Global Capital Cycles (VGPMX) Fund Rollover IRA	A	Dividend	J	T					
57. Vang Star Fund Rollover IRA ()	A	Dividend	J	T					
58. Vang strat equity fund Rollover IRA ()	A	Dividend	K	T					
59. Vang wellesley inc fund inv rollover ira ()	A	Dividend	K	T					
60. vang european stock idx fund inv roth ira ()	A	Dividend	J	T					
61. vang total int'l stock idx fund roth ira ()	A	Dividend	J	T					
62. vang strategic equity fund roth ira ()	A	Dividend	J	T					
63. vang star fund simple ira ()	B	Dividend	L	T	Buy (add'l)	01/09/19	J		
64. vang total int'l stock idx fund simple ira ()	B	Dividend	L	T	Buy (add'l)	01/09/19	J		
65. vang utma brokerage acct (1)	A	Dividend	K	T					
66. BAC (1)	A	Dividend	J	T					
67. F (1)	A	Dividend	J	T					
68. GE (1)	A	Dividend	J	T					

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69. WAB	A	Dividend	J	T	Spinoff (from line 68)	02/25/19	J		
70. DIS (1)	A	Dividend	J	T					
71. GOOGL(1)		None	J	T					
72. WIN(1)		None	J	T					
73. AMZN		None	J	T	Buy	04/23/19	J		
74. Vang Aggressive Growth Port 529 (1)	A	Dividend	K	T					
75. Vang prime money market utma (3)	A	Int./Div.	J	T					
76. DIS (3)	A	Dividend	K	T					
77. vang prime money mkt utma (2)	A	Int./Div.	J	T					
78. DIS (2)	A	Dividend	K	T					
79. OCB Venture II LLC (real estate purchase and sell)		None	J	U					
80. Undev Real Prop in brother's name and Sundollar Inv - rio rancho NM		None	J	W					
81. Rock Me Baby Records		None	M	W					

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.)*

Part IIIB: ■ ■ owns Rock Me Baby Records, Inc., an S-corporation. She draws income as an employee, the amount of which I did not list, pursuant to instructions on page 17 ("If spouse is self-employed in business or a profession, only the nature of such business or profession and the words 'self-employed' should be reported . . .") In reporting year 2014, I listed the company as an investment in Part VII because the company has value and ■ ■ owns the company. After filing my 2014 reporting year report, I received a letter from the Judicial Conference of the United States Committee on Financial Disclosure stating, "In the future, your ■ ■ salary from "Rock Me Baby Records, Inc." should be reported in III.B as non-investment income instead of Parts VII or VIII . . ." Nonetheless, because, aside from any income ■ ■ earns, her company constitutes an asset, I continued to list this company as an asset in Part VII. Further, pursuant to the above quoted instructions from page 17, I did not include her salary in spite of the above quoted language from the letter the Committee on Financial Disclosure sent me. My assumption is that the Committee did not realize that ■ ■ is the sole proprietor of her business, as described on page 17 of the instructions.

Part VII:

Deposits into the 529 accounts lists on lines 28-31 and 74 were made a various times throughout the year. I documented only one of those dates, however, as I was not sure how to provide multiple dates.

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Name of Person Reporting

Yarbrough, Steven C.

Date of Report

04/13/2020

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/ Steven C. Yarbrough**

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