

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 Mexic	3. Date of Report 05/28/2021
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 01/01/2020 to 12/31/2020
7. Chambers or Office Address 333 Lomas Blvd, NW Suite 360 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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 12

Name of Person Reporting

Thuma, David T.

Date of Report

05/28/2021

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.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Thuma, David T.	05/28/2021

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

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05/28/2021

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. Vanguard 500 Index Fund Admiral Shares	A	Int./Div.	N	T					
2. Vanguard Admiral Treasury Money Market Fund	A	Int./Div.	J	T					
3. Vanguard Balanced Index Fund Admiral Shares	C	Int./Div.	M	T					
4. Vanguard Tax-Exempt Money Market Fund	A	Int./Div.	L	T					
5. Vanguard Balanced Fund Admiral Shares	A	Int./Div.	N	T					
6. Vanguard Tax-Managed Balanced Fund Admiral Shares	A	Int./Div.	N	T					
7. Vanguard Precious Metals and Mining Fund	A	Int./Div.	J	T					
8. Vanguard Target Retirement 2025 Fund	A	Int./Div.	L	T					
9. Vanguard Total Stock Market Index Fund Inv. Shares	A	Int./Div.	J	T					
10. Vanguard Admiral Treasure Money Market Fund	A	Int./Div.	J	T					
11. The Education Plan-25% Active Equity Portfolio	A	Int./Div.	M	T					
12. The Education Plan-US Equity Index	A	Int./Div.	K	T					
13. The Education Plan-Bond Index	A	Int./Div.	J	T					
14. PBSWP, LLC (owns farm land in Handricks County, Indiana)	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 =\$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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 12

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☐ 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)
18. Abbot Laboratories	A	Int./Div.	K	T					
19. ABBVIE	A	Int./Div.	K	T	Buy	06/23/20	J		
20. Alibaba Group	A	Int./Div.	K	T	Buy	03/12/20	J		
21. Alphabet Inc.	A	Int./Div.	K	T					
22. Amazon	A	Int./Div.	L	T					
23. Apple, Inc.	A	Int./Div.	L	T					
24. Bank of America common stock	A	Int./Div.	K	T					
25. Berkshire Hathaway, Series B	A	Int./Div.	K	T					
26. Boeing Co.	A	Int./Div.			Sold	03/18/20	J		
27. Booking Holdings	A	Int./Div.	K	T					
28. Chevron Corp.	A	Int./Div.			Sold	02/26/20	J		
29. Cisco Systems	A	Int./Div.			Sold	03/03/20	K		
30. Comcast Corp.	A	Int./Div.	K	T					
31. Constellation Brands	A	Int./Div.	K	T					
32. Costco	A	Int./Div.	J	T	Buy	03/12/20	K		
33. CSX Corp.	A	Int./Div.	K	T					
34. Digital Realty Trust	A	Int./Div.	K	T	Buy	03/10/20	K		

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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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 12

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☐ 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				
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	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)
35. Diageo PLC	A	Int./Div.			Sold	03/03/20	J		
36. Disney Co.	A	Int./Div.	K	T					
37. Dupont De Nemours	A	Int./Div.	K	T	Buy	08/11/20	K		
38. Electronic Arts	A	Int./Div.	K	T					
39. Emerson Electric Co.	A	Int./Div.	J	T					
40. Facebook Inc.	A	Int./Div.	K	T					
41. Fiserv Inc.	A	Int./Div.	K	T	Buy	09/16/20	K		
42. HCA Holdings Inc.	A	Int./Div.	K	T					
43. Home Depot Inc.	A	Int./Div.	K	T					
44. Honeywell	A	Int./Div.	K	T					
45. Humana Inc.	A	Int./Div.	K	T					
46. Intel	A	Int./Div.	J	T					
47. Intercontinental Exchange	A	Int./Div.	K	T					
48. Interxion Holding NV	A	Int./Div.			Sold	03/23/20	J		
49. ishares Agency Bond ETF	A	Int./Div.	K	T	Buy	04/23/20	K		
50. ishares Core U.S. Aggregate Bond ETF	A	Int./Div.	M	T					
51. ishares Russell Mid-Cap Value ETF	A	Int./Div.	K	T	Buy	06/02/20	K		

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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NONE (No reportable income, assets, or transactions.)

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52. isharesMSCI EAFE Growth ETF	A	Int./Div.	K	T					
53. ishares Core MSCI emerging markets ETF	A	Int./Div.			Sold	03/18/20	K		
54. ishares Core MSCI EAFE ETF	A	Int./Div.			Sold	03/18/20	K		
55. ishares Core S&P Mid ETF	A	Int./Div.			Sold	03/12/20	J		
56. ishares Core S&P small cap ETF	A	Int./Div.	K	T					
57. JP Morgan Ultra-Short Income ETF	A	Int./Div.	K	T	Buy	08/27/20	K		
58. JP Morgan Chase & Co. common stock	A	Int./Div.	K	T					
59. Keysight Techs Inc.	A	Int./Div.	K	T	Buy	10/06/20	K		
60. Koninklijke Philips NV NY Reg. Sh	A	Int./Div.	K	T	Buy	03/18/20	K		
61. Lam Research Corp.	A	Int./Div.	K	T					
62. Lockheed Martin	A	Int./Div.	J	T					
63. Mastercard	A	Int./Div.	K	T					
64. Merck	A	Int./Div.	K	T					
65. Microsoft Corp.	A	Int./Div.	L	T					
66. Mondelez Intl Inc.	A	Int./Div.	K	T	Buy	03/09/20	K		
67. Nextera Energy Inc.	A	Int./Div.	K	T					
68. OneOK Inc.	A	Int./Div.			Sold	03/09/20	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

FINANCIAL DISCLOSURE REPORT

Page 8 of 12

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69. Packaging Corp of America	A	Int./Div.			Sold	03/09/20	J		
70. NVIDIA Corp	A	Int./Div.	J	T	Buy	10/30/20	J		
71. Parker-Hannifin Corp.	A	Int./Div.	K	T	Buy	06/24/20	K		
72. PayPal Holdings	A	Int./Div.	K	T	Buy	11/03/20	K		
73. Pepsico Inc.	A	Int./Div.	K	T					
74. Pfizer Inc.	A	Int./Div.			Sold	06/23/20	K		
75. Pimco Active BankETF	A	Int./Div.	M	T					
76. Progressive Corp.	A	Int./Div.	K	T					
77. Raytheon Technologies	A	Int./Div.	K	T	Buy	06/02/20	K		
78. Rio Tinto PLC	A	Int./Div.	K	T					
79. Royal Dutch Shell	A	Int./Div.	K	T					
80. Salesforce.com	A	Int./Div.	K	T					
81. SPDR Portfolio Emerging Market ETF	A	Int./Div.	L	T	Buy	03/18/20	L		
82. SPDR Portfolio Intermediate Term ETF	A	Int./Div.	L	T	Buy	04/23/20	L		
83. SPDR Portfolio Mortgage Banked Bond ETF	A	Int./Div.	L	T	Buy	04/23/20	L		
84. SPDR portfolio short term corp. bond ETF	A	Int./Div.	L	T					
85. SPDR S&P Biotech ETF	A	Int./Div.			Sold	02/25/20	J		

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FINANCIAL DISCLOSURE REPORT

Page 9 of 12

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86. Starbucks	A	Int./Div.	K	T					
87. Taiwan Semiconductor Mfg. Co.	A	Int./Div.	K	T	Buy	03/03/20	K		
88. Thermo Fisher Scientic Inc.	A	Int./Div.	K	T					
89. TJX Cos Inc. New	A	Int./Div.	K	T					
90. Unilever PLC	A	Int./Div.	J	T					
91. US Bancorp	A	Int./Div.			Sold	03/09/20	K		
92. Vanguard real estate index fund ETF	A	Int./Div.			Sold	06/24/20	K		
93. Vanguard FTSE Developed Markets ETF	A	Int./Div.	L	T	Buy	03/18/20	L		
94. Vanguard Mortgage Back Securities ETF	A	Int./Div.	K	T	Buy	04/23/20	K		
95. Vanguard Scottsdale Inter-term Treas. Index ETF	A	Int./Div.	K	T					
96. Vanguard short term bonds ETF	A	Int./Div.	M	T					
97. Vanguard Short term corp. bonds ETF	A	Int./Div.	L	T	Buy	03/02/20	L		
98. Verizon Comm.	A	Int./Div.	J	T					
99. Vertex Pharmaceuticals	A	Int./Div.	J	T	Buy	02/25/20	J		
100. WNS Holdings LTD ADR	A	Int./Div.	J	T	Buy	08/11/20	J		
101. Goldman Sach Finl Square Treas Obligs Class 1	A	Int./Div.	J	T	Buy	07/30/20	J		
102. Doublin Funds; total return bond fund	A	Int./Div.	M	T					

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103. Metropolitan West funds; total return bond fund	A	Int./Div.			Sold	04/23/20	M		
104. Fidelity Investments money market treas. only	A	Int./Div.			Sold	04/23/20	L		
105. FPA New Income Inc.	A	Int./Div.			Sold	04/23/20	K		

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 12

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

Part I. PBSWP, LLC is a family owned LLC that owns farm land in Hendricks County, Indiana.

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

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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/ **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