

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                        |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Carson, Joel M.                                                                                                                      | <b>2. Court or Organization</b><br><br>United States Court of Appeals for the Tenth Circuit                                                                                                                                            | <b>3. Date of Report</b><br><br>08/16/2021                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>Article III - Active Status                                                   | <b>5a. Report Type (check appropriate type)</b><br><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final | <b>6. Reporting Period</b><br><br>01/01/2020<br>to<br>12/31/2020 |
|                                                                                                                                                                                                           | <b>5b.</b> <input type="checkbox"/> Amended Report                                                                                                                                                                                     |                                                                  |
| <b>7. Chambers or Office Address</b><br><br>500 N. Richardson<br>Roswell, NM 88201                                                                                                                        |                                                                                                                                                                                                                                        |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                        |                                                                  |

## 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                    | <div></div> Trust No. 1            |
| 2. Vice-President & Secretary | Sierra Blanca Livestock Company    |
| 3. Manager                    | Sierra Blanca Mercantile           |
| 4. Manager                    | Sierra Blanca Farms LLC            |
| 5. Manager                    | Sierra Blanca Trading LLC          |
| 6. Manager                    | East Mescalero Properties 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.          |                          |

**FINANCIAL DISCLOSURE REPORT**

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Name of Person Reporting

Carson, Joel M.

Date of Report

08/16/2021

**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.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u> | <u>INCOME</u><br>(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. 2020     | 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.            |              |                 |                |                               |
| 2.            |              |                 |                |                               |
| 3.            |              |                 |                |                               |
| 4.            |              |                 |                |                               |
| 5.            |              |                 |                |                               |

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| Carson, Joel M.          | 08/16/2021     |

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. Farm Credit Services | Real Property Loan | O          |
| 2.                      |                    |            |
| 3.                      |                    |            |
| 4.                      |                    |            |
| 5.                      |                    |            |

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Name of Person Reporting

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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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Wells Fargo Savings                                                                                                     | A                                      | Interest                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 2. Wells Fargo Savings                                                                                                     | A                                      | Interest                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 3. Wells Fargo Checking                                                                                                    |                                        | None                                   | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 4. Optum Bank HSA Savings                                                                                                  | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 5. Pioneer Bank Checking                                                                                                   |                                        | None                                   | M                                              | 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. Sierra Blanca Farms LLC ( company)                                                                                     |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 11. Ameritrade Money Market Account                                                                                        | A                                      | Interest                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 12. Ameritrade Money Market Account (2)                                                                                    | A                                      | Interest                               | M                                              | T                                  | Distributed<br>(part)                     | 02/24/20         | M                        |                         |                                                            |
| 13. East Mescalero Properties LLC ( company)                                                                               |                                        | None                                   | M                                              | W                                  | Open                                      | 02/24/20         | M                        |                         |                                                            |
| 14. XOM                                                                                                                    | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 03/10/20         | J                        |                         |                                                            |
| 15. HEP                                                                                                                    | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 03/10/20         | J                        |                         |                                                            |
| 16.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/13/20         | J                        |                         |                                                            |
| 17. NLY                                                                                                                    | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 03/09/20         | J                        |                         |                                                            |

|                                                 |                                                                                                                                     |                                                                                                            |                                                                                                                                                 |                                                                                                                  |                        |
|-------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000<br>J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000<br>K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000<br>L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000<br>M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | Q =Appraisal<br>U =Book Value                                                                                                       | R =Cost (Real Estate Only)<br>V =Other                                                                     | S =Assessment<br>W =Estimated                                                                                                                   | T =Cash Market                                                                                                   |                        |
| 3 Value Method Codes<br>(See Column C2)         |                                                                                                                                     |                                                                                                            |                                                                                                                                                 |                                                                                                                  |                        |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

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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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/12/20         | J                        |                         |                                                            |
| 19. CXO                                                                                                                    | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 03/09/20         | J                        |                         |                                                            |
| 20.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/12/20         | J                        |                         |                                                            |
| 21. DFA Emerging Markets Portfolio Retirement Account Fund                                                                 | A                                      | Dividend                               |                                                |                                    | Sold                                      | 02/27/20         | K                        |                         |                                                            |
| 22. DFA Global Equity Portfolio Retirement Account Fund                                                                    | A                                      | Dividend                               |                                                |                                    | Sold                                      | 02/27/20         | K                        |                         |                                                            |
| 23. Janus Triton Retirement Account Fund                                                                                   | A                                      | Dividend                               |                                                |                                    | Sold                                      | 02/27/20         | K                        |                         |                                                            |
| 24. Pioneer Select Mid Cap Growth Retirement Account Fund                                                                  | A                                      | Dividend                               |                                                |                                    | Sold                                      | 02/27/20         | K                        |                         |                                                            |
| 25. SSgA S&P Mid Cap Index Retirement Account Fund                                                                         | A                                      | Dividend                               |                                                |                                    | Sold                                      | 02/27/20         | K                        |                         |                                                            |
| 26. SSgA Russell Large Cap Growth Index Retirement Account Fund                                                            | A                                      | Dividend                               |                                                |                                    | Sold                                      | 02/27/20         | L                        |                         |                                                            |
| 27. American Century Government Bond Ret Acct Fund                                                                         | C                                      | Dividend                               |                                                |                                    | Sold                                      | 02/27/20         | M                        |                         |                                                            |
| 28. Loomis Sayles Investment Grade Bond Ret Acct Fund                                                                      | D                                      | Dividend                               |                                                |                                    | Sold                                      | 02/27/20         | M                        |                         |                                                            |
| 29. Transamerica Stable Value Core Acct Fund                                                                               | A                                      | Dividend                               |                                                |                                    | Sold                                      | 02/27/20         | J                        |                         |                                                            |
| 30. Vanguard Small Cap Value Index Ret Acct Fund                                                                           | A                                      | Dividend                               |                                                |                                    | Sold                                      | 02/27/20         | L                        |                         |                                                            |
| 31. SWMXX                                                                                                                  | A                                      | Dividend                               |                                                |                                    | Sold                                      | 02/27/20         | M                        |                         |                                                            |
| 32. JP Morgan US Govt Money Market Fund                                                                                    | A                                      | Int./Div.                              |                                                |                                    | Buy                                       | 02/19/20         | O                        |                         |                                                            |
| 33.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 02/27/20         | O                        |                         |                                                            |
| 34. Ameritrade Money Market Account (3)                                                                                    | A                                      | Int./Div.                              | M                                              | T                                  | Buy                                       | 02/27/20         | M                        |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. Vanguard 2035 Retirement Fund                                                                                          | A                                      | Int./Div.                                     |                                                |                                           | Buy                                             | 02/27/20                | O                               |                                |                                                                   |
| 36.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 10/02/20                | O                               |                                |                                                                   |
| 37. Fidelity Freedom Index 2035 - Premier Fund                                                                             | A                                      | Int./Div.                                     | O                                              | T                                         | Buy                                             | 10/02/20                | O                               |                                |                                                                   |
| 38. TDOC                                                                                                                   |                                        | None                                          | K                                              | T                                         | Buy                                             | 12/21/20                | K                               |                                |                                                                   |
| 39. GOOGL                                                                                                                  |                                        | None                                          | K                                              | T                                         | Buy                                             | 03/12/20                | J                               |                                |                                                                   |
| 40. GILD                                                                                                                   | A                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 02/28/20                | J                               |                                |                                                                   |
| 41. PTON                                                                                                                   |                                        | None                                          | J                                              | T                                         | Buy                                             | 03/10/20                | J                               |                                |                                                                   |
| 42. RCL                                                                                                                    |                                        | None                                          | J                                              | T                                         | Buy                                             | 03/12/20                | J                               |                                |                                                                   |
| 43. COP                                                                                                                    | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 44. PSX                                                                                                                    | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 45. BABA                                                                                                                   |                                        | None                                          | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 46. ILMN                                                                                                                   |                                        | None                                          | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 47. AMZN                                                                                                                   |                                        | None                                          | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 48. TMO                                                                                                                    |                                        | None                                          | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 49. TGT                                                                                                                    | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 50. MCD                                                                                                                    | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 51. AMGN                                                                                                                   | A                                      | Dividend                                      | K                                              | 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

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. WBA                                                                                                                    | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 53. AAL                                                                                                                    | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 54. AAPL                                                                                                                   | A                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 55. COKE                                                                                                                   | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 56. JNJ                                                                                                                    | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 57. DIS                                                                                                                    | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 58. LUV                                                                                                                    | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 59. NTDOY                                                                                                                  | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 60. NextGen 529 Blackrock Age 8-10 Yrs A                                                                                   |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 61. NextGen 529 Blackrock Age 11-13 Yrs A                                                                                  |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 62. Rental Property #1, Roswell, NM                                                                                        | A                                      | Rent                                   |                                                |                                    | Sold                                      | 03/27/20         | M                        | E                       | E & G Cohen                                                |
| 63. Trust No. 1                                                                                                            |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 64. -ITW                                                                                                                   | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 65. -ESV                                                                                                                   | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 66. -JNJ                                                                                                                   | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 67. -BP                                                                                                                    | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 68. -JPM                                                                                                                   | 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

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69. -TUP                                                                                                                   |                                        |                                        | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 70. -XEL                                                                                                                   | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 71. -CHKP                                                                                                                  |                                        |                                        | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 72. -FDS                                                                                                                   | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 73. -LOW                                                                                                                   | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 74. -MCHP                                                                                                                  | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 75. -PFE                                                                                                                   | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 76. -SLB                                                                                                                   | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 77. -SHO                                                                                                                   | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 78. -RIG                                                                                                                   |                                        |                                        | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 79.                                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 80.                                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 81.                                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 82.                                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 83.                                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 84.                                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 85.                                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |

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

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 86.                                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 87.                                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 88.                                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 89.                                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 90.                                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 91.                                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |

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  
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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)  
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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 10 of 11

Name of Person Reporting

Carson, Joel M.

Date of Report

08/16/2021

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

With respect to entry nos. 60 & 61, Merrill Lynch states that income and yields are not reported on customer statement and are not otherwise available.

# FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Carson, Joel M.

Date of Report

08/16/2021

## 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  
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One Columbus Circle, N.E.  
Washington, D.C. 20544