

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) KLEIN-ROBBENHAAR, JOHN F.	2. Court or Organization United States District Court, District of New Mexico	3. Date of Report 04/30/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Magistrate Judge (full-time)	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 United States District Court, District of New Mexico 333 Lomas Blvd. NW, Suite 730 Albuquerque, New Mexico 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Trustee	Trust #1
2. Trustee	Trust #2
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2020	Erika Harding Consulting dba Amplify Consulting--earnings
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.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1. Capital One Bank	Credit Card	J
2. U.S. Dept. of Education	Student Loans	L
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

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

1. IRA #1									
2. -Catalyst Insider Income Fund	A	Interest	J	T	Buy (add'l)	01/29/20	K		
3. -Pershing Govt Cash Fund		Interest	K	T					
4. -Fidelity Advisor Total Bond Fund	A	Dividend	L	T	Buy (add'l)	02/20/20	K		
5. -Hundredfold Select Alt. Fund	A	Dividend	J	T	Buy	10/19/20	J		
6. -Invesco Dynamic Credit Opp. Fund	A	Dividend			Sold	09/08/20	K		
7. -Ishares S&P Pfd Stock Index Fund	A	Dividend	K	T					
8. -JP Morgan Strat. Inc. Opp. Fund	A	Dividend			Sold	02/20/20	K		
9. -Nuveen Equity Prem.	A	Dividend			Sold	10/15/20	J		
10. -Transamerica Capital Growth	A	Dividend	J	T	Buy	10/16/20	J		
11. -Transamerica Intl. Equity	A	Dividend	K	T					
12. -Vanguard Spec. Portfolios Div.	A	Dividend	L	T					
13. -Vanguard Index FDS Growth ETF	A	Dividend	K	T					
14. -Vanguard Index FDS Mid-cap	A	Dividend	K	T					
15. -Vanguard Total Stock Mkt ETF	A	Dividend	M	T					
16.									
17. Trust #1 (H)									

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

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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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18. -Pershing Cash Acct	A	Interest			Closed	06/10/20	L		
19.									
20.									
21. NM Educ. Ret Assn. Ret. Acct. (controlled solely by NMEAR)	A	Dividend			Redeemed	09/25/20	L		
22.									
23. Nusenda Credit Union: Share Cert. IRA	A	Dividend			Redeemed	05/31/20	J		
24.									
25. Trust #2 (H)									
26. -Real Property (Fairfield County, CT: appraisal: August 2010)		None	O	Q					
27. -Fidelity Govt Cash Reserves		Interest	M	T					
28. -Accenture PLC CLS A	A	Dividend	J	T	Buy	06/30/20	J		
29. -Adobe Inc. Com.	A	Dividend	J	T	Buy	04/20/20	J		
30. -Amazon.Com Inc.	A	Dividend	K	T					
31. -Bank of America	A	Dividend	K	T					
32. -AT&T Inc. Com	A	Dividend			Sold	08/18/20	J		
33. -Berkshire Hathaway	A	Dividend	M	T					
34. -Bookings Hldgs Inc. Com.	A	Distribution			Sold	03/10/20	K		

1 Income Gain Codes: (See Columns B1 and D4)	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	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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35. -Cisco Sys. Inc. Com.	A	Dividend			Sold	03/10/20	J		
36. -Constellation Brands Inc. Com.	A	Dividend			Sold	03/17/20	J		
37. -Crown Castle Intl. Corp. New Com.	A	Dividend	K	T	Buy	10/14/20	K		
38. -Disney Walt Co.	A	Dividend			Sold (part)	03/16/20	J		
39.					Sold	03/16/20	J		
40. -Edwards Lifesciences Corp.	A	Dividend			Sold	03/24/20	K		
41. -Facebook Inc.	A	Dividend	L	T					
42. -Home Depot Inc.	A	Dividend	K	T	Buy	08/28/20	K		
43.					Buy (add'l)	09/11/20	J		
44. -Invesco QQQ TR	A	Dividend	L	T					
45. -Johnson & Johnson Com.	A	Dividend	K	T	Buy	05/29/20	K		
46.					Buy (add'l)	06/15/20	J		
47. -JP Morgan Chase	B	Dividend			Sold (part)	11/24/20	J		
48. -Lululemon Athletica Inc. Com.	A	Dividend			Sold (part)	03/16/20	J		
49. -Microsoft Corp.	A	Dividend	J	T	Buy	04/01/20	J		
50.					Buy (add'l)	05/07/20	J		
51.					Buy (add'l)	08/13/20	J		

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	(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)
52. -Morgan Stanley Com.	A	Dividend			Sold	05/15/20	K		
53. -Nike Inc. Class B Com.	A	Dividend			Sold	03/16/20	K		
54. -PayPal Hldgs Inc. COM	A	Dividend	L	T					
55. -Salesforce.com Inc. Com.	A	Dividend			Sold	03/16/20	J		
56. -Sensata Tech. Hldg PLC	A	Dividend	J	T	Buy	09/14/20	J		
57. -SPDR S&P 500 ETF Fund	C	Dividend			Sold (part)	07/22/20	K		
58. -SPDR Portfolio S&P600 Small Cap. ETF	A	Dividend	K	T	Buy	11/23/20	K		
59. -SPDR Blackstone/GSO SEN LOAN	A	Dividend	K	T	Buy	12/17/20	K		
60. -TJX Cos. Inc. New Com.	A	Dividend			Sold	03/24/20	K		
61. -Twilio Inc. CL A	A	Dividend			Sold	03/17/20	J		
62. -Unilever PLC Spon	A	Dividend			Sold	04/06/20	K		
63. -Unilever NV Euro. 16	A	Dividend			Sold	04/06/20	J		
64. -Verizon Communications	B	Dividend	L	T					
65. -Visa Inc. Com. CL A	A	Dividend	M	T					
66. -Zoetis Inc. Com	A	Dividend	J	T			J		

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

Part VII:

Line 18: The Pershing Cash Acct. was closed on June 10, 2019. I neglected to report this activity on my 2019 report.

Line 23: The Nusenda IRA was redeemed on May 31, 2019. I neglected to enter this information on my 2019 report.

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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/ JOHN F. KLEIN-ROBBENHAAR**

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