

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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

1. Person Reporting (last name, first, middle initial) Carson, Joel M.	2. Court or Organization United States Court of Appeals for the Tenth Circuit	3. Date of Report 01/31/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III - Active Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address 500 N. Richardson Roswell, NM 88201		
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	Family Trust No. 1
2.	Vice-President & Secretary	Sierra Blanca Livestock Company
3.	Manager	Sierra Blanca Mercantile
4.	Manager	Carson Ryan LLC
5.	Manager	Sierra Blanca Trading 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.	

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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. 2015	Carson Ryan LLC	\$134,247.56
2. 2016	Carson Ryan LLC	\$152,850.27
3. 2017	Carson Ryan LLC	\$171,985.00
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. 2015	BCA Medical Associates
2. 2016	BCA Medical Associates
3. 2017	BCA Medical Associates
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.	Farm Credit Services	Agricultural and Real Property Loan	L
2.	Citibank	Revolving Credit	K
3.	J.P. Morgan	Revolving Credit	K
4.	Bank of America	Revovling Credit	J
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. Wells Fargo Savings	A	Interest	J	T					
2. Wells Fargo Savings	A	Interest	J	T					
3. Wells Fargo Checking		None	J	T					
4. Optum Bank HSA Savings	A	Interest	K	T					
5. Pioneer Bank Checking		None	K	T					
6. Artesia Credit Union Savings	A	Interest	J	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. Ameritrade Money Market Account	A	Interest	J	T					
11. Wells Fargo HSA Savings (closed)		None							
12. MRO	A	Dividend	J	T					
13. CXO		None	J	T					
14. DFA Emerging Markets Portfolio Retirement Account Fund	A	Dividend	K	T					
15. DFA Global Equity Portfolio Retirement Account Fund	A	Dividend	J	T					
16. Janus Triton Retirement Account Fund	A	Dividend	J	T					
17. Pioneer Select Mid Cap Growth Retirement Account Fund	A	Dividend	J	T					

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

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18. SSgA S&P Mid Cap Index Retirement Account Fund	A	Dividend	K	T					
19. SSgA Russell Large Cap Growth Index Retirement Account Fund	A	Dividend	K	T					
20. American Century Government Bond Ret Acct Fund	C	Dividend	M	T					
21. Loomis Sayles Investment Grade Bond Ret Acct Fund	D	Dividend	M	T					
22. Transamerica Stable Value Core Acct Fund	A	Dividend	J	T					
23. Vanguard Small Cap Value Index Ret Acct Fund	A	Distribution	L	T					
24. SWMXX	A	Dividend	M	T					
25. COP	A	Dividend	K	T					
26. PSX	A	Dividend	K	T					
27. BABA		None	K	T					
28. ILMN		None	J	T					
29. AMZN		None	K	T	Buy	06/28/17	K		
30. TMO		None	K	T					
31. TGT	A	Dividend	J	T					
32. MCD	A	Dividend	J	T					
33. AMGN	A	Dividend	J	T					
34. WBA	A	Dividend	J	T					

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000	R = Cost (Real Estate Only)	P4 = More than \$50,000,000	S = Assessment	T = Cash Market
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	U = Book Value				

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35. AAL	A	Dividend	K	T					
36. AAPL	A	Dividend	K	T					
37. COKE	A	Dividend	K	T					
38. JNJ	A	Dividend	K	T					
39. DIS	A	Dividend	K	T					
40. LUV	A	Dividend	J	T					
41. NTDOY	A	Dividend	J	T					
42. NextGen 529 Blackrock Age 8-10 Yrs A		None	K	T					
43. NextGen 529 Blackrock Age 11-13 Yrs A		None	K	T					
44. T. Rowe Price Retirement 2030 R Fund	B	Int./Div.	N	T					
45. Rental Property #1, Roswell, NM	D	Rent	M	W					
46. Trust No. 1									
47. -ITW	A	Dividend	J	T					
48. -ESV	A	Dividend	J	T					
49. -JNJ	A	Dividend	J	T					
50. -BP	A	Dividend	J	T					
51. -JPM	A	Dividend	J	T					

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52. -TUP	A	Dividend	J	T					
53. -XEL	A	Dividend	J	T					
54. -CHKP	A	Dividend	J	T					
55. -FDS	A	Dividend	J	T					
56. -LOW	A	Dividend	J	T					
57. -MCHP	A	Dividend	J	T					
58. -PFE	A	Dividend	J	T					
59. -SLB	A	Dividend	J	T					
60. -SHO	A	Dividend	J	T					
61. -RIG	A	Dividend	J	T					
62.									
63.									
64.									
65.									
66.									
67.									
68.									

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69.									
70.									
71.									
72.									
73.									
74.									

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

With respect to entry nos. 42 & 43, Merrill Lynch states that income and yields are not reported on customer statement and are not otherwise available.

With respect to entry no. 29, report amended to show date of purchase during reporting period.

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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/ **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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Washington, D.C. 20544