

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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 U.S. District Court for the District of New Mexico	3. Date of Report 03/11/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge - Part Time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☒ Initial ☐ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 02/10/2016
7. Chambers or Office Address 500 N Richardson Roswell, New Mexico 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	Trust No. 1
2.	Vice-President & Secretary	
3.	Manager	
4.	Manager	
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Carson, Joel M.

Date of Report

03/11/2016

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

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2013	Mack Energy Corporation	\$261,465.00
2. 2014		\$75,670.05
3. 2014	Mack Energy Corporation	\$48,416.05
4. 2015		\$134,247.56

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

DATE	SOURCE AND TYPE
1. 2015	
2. 2014	
3. 2013	
4.	

IV. REIMBURSEMENTS *— transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☒ NONE *(No reportable reimbursements.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Carson, Joel M.

Date of Report

03/11/2016

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	M
2.	JP Morgan Chase	Revolving Credit	J
3.	Citibank	Revolving Credit	K
4.	Bank of America	Revolving Credit	J
5.	Artesia Credit Union	Mortgage on Rental Property	K

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Carson, Joel M.

Date of Report

03/11/2016

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	K	T					
3. Wells Fargo Checking		None	L	T					
4. Wells Fargo HSA Savings		None	K	T					
5. Pioneer Bank Checking		None	K	T					
6. Artesia Credit Union Savings	A	Interest	J	T					
7. Otero Federal CU Savings (closed)	A	Interest							
8. Eagle Federal CU Savings	A	Interest	L	T					
9. [REDACTED]	C	Royalty	J	W					
10. [REDACTED]		None	J	W					
11. Ameritrade Money Market	A	Int./Div.	J	T					
12. MPC (no longer held)	A	Dividend							
13. MRO	A	Dividend	J	T					
14. CXO		None	J	T					
15. ITW (no longer held)	A	Dividend							
16. ESV (no longer held)	A	Dividend							
17. JNJ (no longer held)	A	Dividend							

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 –\$250,000,001 - \$500,000,000	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 \$5,000,000	M –\$100,001 - \$250,000 P2 –\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q –Appraisal U –Book Value	R –Cost (Real Estate Only) V –Other	S –Assessment W –Estimated	T –Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

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Carson, Joel M.

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03/11/2016

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18. BP (no longer held)	A	Dividend							
19. JPM (no longer held)	A	Dividend							
20. TUP (no longer held)	A	Dividend							
21. XEL (no longer held)	A	Dividend							
22. American Century Government Bond Ret Acct	C	Int./Div.	M	T					
23. Loomis Sayles Investment Grade Bond Ret Acct		None	M	T					
24. Transamerica Stable Value Core Acct	A	Int./Div.	J	T					
25. Vanguard Small Cap Value Index Ret Acct	A	Int./Div.	K	T					
26. TDAM MM Portfolio Class A (no longer held)	A	Int./Div.							
27. SSGA MOney Market Fund (no longer held)	A	Int./Div.							
28. SWMXX	A	Int./Div.	N	T					
29. COP	A	Dividend	K	T					
30. PSX	A	Dividend	J	T					
31. BABA		None	K	T					
32. ILMN		None	J	T					
33. TOM		None	J	T					
34. MCD	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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Carson, Joel M.

Date of Report

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35. AMGN	A	Dividend	J	T					
36. WBA	A	Dividend	J	T					
37. Bank of Cascades HSA Account (no longer held)	A	Interest							
38. NextGen 529 Blackrock Age 8-10 Yrs A		None	J	T					
39. NextGen 529 Blackrock Age 11-13 Yrs A		None	J	T					
40. T Rowe Price Retirement 2030 R	B	Int./Div.	M	T					
41. Rental Property #1, Roswell, NM	D	Rent	M	W					
42.									
43.									
44.									
45.									
46.									

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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Carson, Joel M.

Date of Report

03/11/2016

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

Trust noted on page 1 not yet funded, so no reportable value or income.

With respect to entry nos. 38 & 39 on Part VII, Merrill Lynch states that income and yields are not reported on customer statement and are not otherwise available.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Carson, Joel M.

Date of Report

03/11/2016

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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