

FINANCIAL DISCLOSURE REPORT
FINAL FILINGReport Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Herndon, David R.	2. Court or Organization U.S. District Court Southern District of Illinois	3. Date of Report 04/24/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 01/07/2019
7. Chambers or Office Address United States Courthouse 750 Missouri Avenue East St. Louis, IL		
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, Assets No 38-127
2.	Trustee	Trust #3, Assets No 129-200
3.	Trustee	Trust #4, Assets No 201-211
4.	Trustee	Trust #5 Assets No 212-222
5.	Trustee	Trust #6, Assets No 223-233
6.	Director	Federal Judges Association

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. 2018	Illinois Judges Retirement System	\$22,690.00
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. 2018	CoAdvantage Resources 51, Inc - Wages
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. Emory Univ Law School	March 28, 2018	Atlanta, Georgia	Conference	Transportation
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.	First Mid Bank and Trust	Construction Loan August 2018	O
2.			
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. First Mid-Illinois Bank Checking account	A	Interest	L	T					
2. Bank of Edwardsville Checking account	A	Interest	J	T					
3. IRA Account Pershing IRA Account (H)									
4. - (IRA) PayPal Hldgs Inc Com		None	K	T					
5. - (IRA) PayPal Hldgs Inc Com					Sold (part)	04/27/18	K	E	
6. - (IRA) PayPal Hldgs Inc Com					Sold (part)	04/30/18	J	D	
7. - (IRA) Medtronic PLC Shs	A	Dividend	J	T	Buy	09/21/18	J		
8. - (IRA) Alphabet Inc Cap Stk Cl A		None	K	T					
9. - (IRA) American Express Comp	A	Dividend	K	T					
10. - (IRA) Avery Dennison Corp Com	A	Dividend	J	T					
11. - (IRA) Becton Dickinson & Co	A	Dividend	K	T					
12. - (IRA) Cisco Systems Inc	A	Dividend	J	T	Buy	04/27/18	J		
13. - (IRA) ConAgra Brands Inc Com	A	Dividend			Buy	09/21/18	J		see below for sale in
14. - (IRA) ConAgra Brands Inc Com					Sold	12/20/18	J		period at a loss.
15. - (IRA) DXC Technology Co Com	A	Dividend							
16. - (IRA) DXC Technology Co Com					Sold	11/12/18	J		loss
17. - (IRA) DXC Technology Co Com		None	J	T	Buy	12/26/18	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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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. - (IRA) Perspecta Inc Com		None			Spinoff (from line 15)	06/05/18	J		see below for sale in same
19. - (IRA) Perspecta Inc Com					Sold	06/05/18	J	A	period.
20. - (IRA) Intel Corp Com	A	Dividend	J	T					
21. - (IRA) Morgan Stanley com New	A	Dividend			Buy	04/27/18	J		
22. - (IRA) Morgan Stanley com New					Buy (add'l)	04/30/18	J		see below for sale in same
23. - (IRA) Morgan Stanley com New					Sold	10/12/18	K		period at a loss.
24. - (IRA) Pepsico Inc Com	A	Dividend	K	T					
25. - (IRA) Select Sector SPDR TR Technology	A	Dividend			Buy	11/12/18	J		see below for sale in same
26. - (IRA) Select Sector SPDR TR Technology					Sold	12/26/18	J		period at a loss.
27. - (IRA) Select Sector SPDR Tr Consumer Staples	A	Dividend	J	T	Buy	12/20/18	J		
28. - (IRA) Vanguard Whitehall Fds High Div Yield ETF	A	Dividend			Sold	09/21/18	K	C	
29. - (IRA) Dreyfus Treasury Prime MM	A	Interest	K	T					
30. IRA Account #2 Cambridge IRA (H)									
31. - (IRA2) Liquid Insured Deposits Cash Money Fund	A	Interest			Distributed	01/25/18	J		IRA2 was rolled into Ameri
32. -(IRA2) Growth Fund of America	A	Dividend	J	T	Open	01/29/18	J		can Funds IRA
33. Cambridge Investment Acct (H)									
34. - Liquid Insured Deposits Cash Money Fund	A	Interest			Closed	01/24/18	K		

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35. - The Bond Fund of America Fd #8 American Funds		None			Sold	01/02/18	J		
36. - Capital World Growth & Income Fd #33 American Fd	B	Dividend	K	T	Buy (add'l)	01/02/18	J		
37. - Growth Fund of America Fd #5 American Funds	C	Dividend	K	T	Buy (add'l)	01/29/18	K		
38. 1. TRUST #1 Pershing Brokerage Account (H)									
39. - Dreyfus Treasury Prime Inv MM	A	Interest	L	T					
40. - Connecticut St Ser C 5% 11/1/21 B/E	C	Interest			Redeemed	11/01/18	L	A	
41. - Indiana Univ Revs Student Fee Ser S 5% 2/21/08	C	Interest			Redeemed	08/01/18	L	A	
42. - Metropolitan Govt Nashville Davidson 5% 1/01/25 \$50k	B	Interest			Redeemed	01/02/18	K	A	
43. - Conroe Tex Indpt Sch Dist pre-refunded 5% 2/15/24 \$35k	B	Interest			Redeemed	10/10/18	K		loss
44. - Conroe Tex Indpt Sch Dist unrefunded 5% 2/15/24 \$115k	D	Interest	M	T					
45. - Tennessee St Rfdg-Ser A 4% 08/1/25	B	Interest	L	T					
46. - Abilene Tex CTFS Oblig 5% 2/15/26	B	Interest	L	T					
47. - Washington St RFDG Var purp Ser R-2015 E 5% 7/1/26	C	Interest	M	T					
48. - Washington St Var Purp dtd 5% 8/1/26	B	Interest	L	T					
49. - Gainesville Fla Utils Sys Rev Ser A 5% 10/01/26	B	Interest	L	T					
50. - Arlington Tex Indpt Sch Sch Dist 5% 8/15/27	D	Interest	M	T					
51. - North Carolina St Pub Impt Ser A 5% 4/14/10	C	Interest			Sold	07/23/18	L	C	

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52. - Jackson Tenn Energy Auth Elec Sys Rfdg 5% 5/1/27	C	Interest	L	T					
53. - Germantown Tenn RFDG & Impt-Ser A 5% 06/01/27	C	Interest	M	T					
54. - Metropolitan Govt Nashville & Davidson 5% 7/1/27	C	Interest	M	T					
55. - Houston Tex Util Sys Rev Rfdg Comb first lien Ser D5%	B	Interest	L	T					
56. - Columbia SC Wtrwks & Swr Sys Rev Bds 2012 5%	A	Interest	L	T	Buy	11/02/18	L		
57. - Indiana St Fin Auth Rev RFDG-St Revolving Green 5%	C	Interest	M	T					
58. - Clear Creek Tex Indpt Sch Dist 5% 02/15/28	C	Interest	L	T					
59. - Washington St RFDG-Various purp ser R 2015E 5%07/01/28 dtd 2/4/15	B	Interest	K	T					
60. - Denton Tex Indpt Sch Dist RFDG 5% 8/15/282/15/25	C	Interest	L	T					
61. - Knox Cnty Tenn 5% 6/01/20 dtd 5/01/17	C	Interest	L	T					
62. - MGM Resorts Intl Sr Nt 6.75% 10/01/20	B	Interest	K	T					
63. - Nielsen Fin LLC 4.5% 10/01/20	B	Interest	K	T					
64. - L3 Technologies Inc GTD Fixed SR Nt 4.95%	B	Interest	L	T	Buy	09/07/18	L		
65. - Woolworth Cprl Fxd Rt Deb 8.5% 01/15/22	C	Interest	K	T	Buy	01/19/18	K		
66. - H C A Inc HCA Inc Gtd Sr Nt 7.5% 02/15/22	B	Interest	K	T					
67. - DXC Technology Co Fxd RT SR Nt 4.45%	A	Interest	K	T	Buy	09/18/18	K		
68. - Crown Castle Intl Corp Sr Nt 5.25% 01/15/22	B	Interest	K	T	Buy	01/16/18	K		

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69. - PVH Corp Sr Nt 4.5% 12/15/22 dtd 12/20/12	A	Interest			Redeemed	01/05/18	K	A	
70. - Wells Fargo & Co new Medium Term Sr Nts 4.125%	B	Interest	K	T					
71. - Goodyear Tire & Rubber Sr Nt 5.125% 11/15/23	B	Interest	K	T	Buy	01/08/18	K		
72. - AON PLC shs C1 A	A	Dividend	K	T					
73. - AON PLC shs C1 A					Buy (add'l)	02/05/18	J		
74. - Accenture PLC Ireland Shs C1 A ACN	A	Dividend	K	T					
75. - Activision Blizzard Inc Com	A	Dividend			Buy	09/21/18	J		
76. - Activision Blizzard Inc Com					Sold	11/12/18	J		loss
77. - Activision Blizzard Inc Com			J	T	Buy	12/26/18	J		
78. - Alibaba Group Hldg Ltd Spons ADS		None	J	T					
79. - American Tower REIT com	B	Dividend	L	T					
80. - Altria Group Inc Com	B	Dividend			Sold	04/20/18	K		loss
81. - Amazon Com INC		None	K	T					
82. - Apple Inc	B	Dividend	L	T					
83. - Boeing Co Com	A	Dividend	K	T	Sold (part)	01/08/18	K	E	
84. - Chevron Corp New Com	A	Dividend	K	T	Buy	02/13/18	K		
85. - Cisco Systems Inc	A	Dividend	K	T	Buy	04/19/18	K		

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86. - DXC Technology Co Com					Buy	08/08/18	J		
87. - DXC Technology Co Com					Sold	11/12/18	J		loss
88. - DXC Technology Co Com		None	J	T	Buy	12/26/18	J		
89. - Disney Walt Co Disney Com	A	Dividend	K	T					
90. - Dow Chem Co Com n/k/a DowDuPont Inc Com	A	Dividend			Sold	09/21/18	K	C	
91. - Energy Transfer Equity L.P.	B	Distribution	K	T					
92. - Enterprise Products Partners L.P.	B	Distribution	K	T					
93. - Exxon Mobil Corp	B	Dividend			Sold	02/13/18	K		loss
94. - Flir Systems Inc	A	Dividend			Sold (part)	09/07/18	K	D	
95. - Flir Systems Inc					Sold (part)	10/31/18	J	A	
96. - Flir Systems Inc					Sold	11/01/18	J	A	
97. - Honeywell Intl Inc	A	Dividend	K	T	Sold (part)	04/30/18	K	E	
98. - Garrett Motion Inc Com					Spinoff (from line 97)	10/03/18	J		Honeywell spin-off sold in
99. - Garrett Motion Inc Com					Sold	10/24/18	J	A	same period.
100. - Intel Corp Com	A	Dividend	J	T					
101. - Intercontinental Exchange Inc	A	Dividend	K	T					
102. - JP Morgan Chase & Co Com	A	Dividend	K	T					

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103. - JP Morgan Chase & Co Com					Buy (add'l)	04/13/18	J		
104. - Las Vegas Sands Corp Com	B	Dividend	K	T					
105. - Microsoft Corp Com	B	Dividend	L	T					
106. - Newell Brands Inc Com	B	Dividend	K	T					
107. - Paychex Inc Common	A	Dividend			Sold	04/19/18	K	C	
108. - Philip Morris Intl Inc Com	A	Dividend			Buy	05/24/18	J		see below for sale in same
109. - Philip Morris Intl Inc Com					Sold	08/28/18	J		period at a loss.
110. - Raytheon Co Common New	A	Dividend	K	T					
111. - Resideo Technologies Inc com					Spinoff (from line 97)	10/31/18	J		
112. - S&P Global Inc Com	A	Dividend	J	T	Buy	02/06/18	J		
113. - Thermo Fisher Scientific Inc Com TMO	A	Dividend	L	T					
114. - Total Sys Svcs Inc Com	A	Dividend	K	T	Buy	08/22/18	J		
115. - Total Sys Svcs Inc Com					Buy (add'l)	11/01/18	J		
116. - Unilever NV New York shs New	A	Dividend	K	T	Buy	04/20/18	J		
117. - Unilever NV New York shs New					Buy (add'l)	09/07/18	J		
118. - Waste Management Inc Del Com	A	Dividend	J	T					
119. - Wells Fargo & Co New Com	A	Dividend			Sold	02/06/18	K	B	

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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Name of Person Reporting

Herndon, David R.

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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)
120. - Williams Cos Inc Com	A	Dividend			Sold	12/11/18	J		loss
121. - KKR Finl Hldgs LLC PFD Ser A LLC	A	Distribution			Sold	01/16/18	J		loss
122. - Starwood Pty Tr Inc Com	C	Dividend	K	T					
123. - Alps ETF Tr Alerian MLP Etf	A	Dividend			Sold	09/21/18	J	A	
124. - Select Sector SPDR TR Technology					Buy	11/12/18	J		see below for sale in same
125. - Select Sector SPDR TR Technology					Sold	12/26/18	J		period at a loss
126. - Select Sector SPDR Tr Communication Sves					Buy	11/12/18	J		see below for sale in same
127. - Select Sector SPDR Tr Communication Sves					Sold	12/26/18	J		period at a loss.
128. 2. TRUST #2 Distributed in 2017 (H)									
129. 3. TRUST #3 Pershing Brokerage Account (H)									
130. -Dreyfus Treasury Prime Money Market	A	Interest	K	T					
131. -Accenture PLC Ireland Shs Cl A	A	Dividend	K	T					
132. -Activision Blizzard Inc Com	A	Dividend			Buy	09/21/18	J		
133. -Activision Blizzard Inc Com					Sold	11/12/18	J		loss
134. -Activision Blizzard Inc Com			J	T	Buy	12/26/18	J		
135. -American Tower REIT	A	Dividend	K	T					
136. -AON PLC Com Shs	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 \$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	

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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)
137. -Alibaba Group Hldg Ltd Spons ADS		None	J	T					
138. -Alphabet Inc Cap Stk Cl A		None	J	T					
139. -Altria Group Inc Com	A	Dividend			Sold	04/20/18	J		loss
140. -Amazon Com Inc		None	J	T					
141. -American Express Company	A	Dividend	J	T					
142. -Apple Inc	A	Dividend	J	T					
143. -Avery Dennison Corp Com	A	Dividend	J	T	Buy (add'l)	02/13/18	J		
144. -Becton Dickinson & Co	A	Dividend	J	T					
145. -Boeing Co com	A	Dividend	J	T					
146. -Boeing Co com					Sold (part)	01/08/18	J	D	
147. -Chevron Corp New Com	A	Dividend	J	T	Buy	02/13/18	J		
148. -Cisco Systems Inc	A	Dividend	J	T	Buy	05/17/18	J		
149. -Conagra Brands Inc Com	A	Dividend			Buy	06/14/18	J		see below for sale in same
150. -Conagra Brands Inc Com					Sold	12/20/18	J		period at a loss
151. -DXC Technology Co Com	A	Dividend							
152. -DXC Technology Co Com					Buy (add'l)	02/13/18	J		
153. -DXC Technology Co Com					Sold	11/12/18	J		loss

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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Herndon, David R.

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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)
154. -DXC Technology Co Com	A	Dividend	J	T	Buy	12/26/18	J		
155. -Perspecta Inc Com					Spinoff (from line 151)	06/05/18	J		
156. -Perspecta Inc Com					Sold	06/05/18	J		loss
157. -Disney Walt Co Disney Com	A	Dividend	J	T					
158. -DowDuPont Inc Com	A	Dividend			Sold	09/21/18	J	B	
159. -Exxon Mobil Corp Com	A	Dividend			Sold	02/13/18	J		loss
160. -Flir Systems Inc	A	Dividend							
161. -Flir Systems Inc	A	Dividend			Sold (part)	09/07/18	J	B	
162. -Flir Systems Inc	A	Dividend			Sold	10/31/18	J	A	
163. -Honeywell Intl Inc	A	Dividend	K	T					
164. -Garrett Motion Inc Com					Spinoff (from line 163)	10/03/18	J		
165. -Garrett Motion Inc Com					Sold	10/24/18	J	A	
166. -Illinois Tool Works Inc Com	A	Dividend	J	T	Buy	02/13/18	J		
167. -Intel Corp Com	A	Dividend	J	T					
168. -Intercontinental Exchange Inc Com	A	Dividend	J	T					
169. -JP Morgan Chase & Co Com	A	Dividend	J	T					
170. -JP Morgan Chase & Co Com					Buy (add'l)	04/13/18	J		

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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Name of Person Reporting

Herndon, David R.

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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)
171. -Kinder Morgan Inc Del Com	A	Dividend	J	T					
172. -Las Vegas Sands Corp Com	A	Dividend	J	T					
173. -Microsoft Corp Com	A	Dividend	J	T	Buy	02/13/18	J		
174. -Newell Brands Inc Com	A	Dividend	J	T					
175. -PayPal Hldgs Inc Com		None	K	T					
176. -Pepsico Inc Com	A	Dividend	J	T					
177. -Philip Morris Intl Inc Com	A	Dividend			Sold	09/29/18	J		loss
178. -Proctor & Gamble Co Com	A	Dividend			Sold	06/14/18	J		loss
179. -Raytheon Co Com New	A	Dividend	J	T					
180. -Resideo Technologies Inc Com		None	J	T	Spinoff (from line 163)	10/31/18	J		
181. -S&P Global Inc Com	A	Dividend	J	T	Buy	02/06/18	J		
182. -Stanley Black & Decker Inc Com	A	Dividend	J	T	Buy	02/13/18	J		
183. -Thermo Fisher Scientific Inc com	A	Dividend	K	T					
184. -Total Sys Svce Inc Com	A	Dividend	J	T	Buy	08/22/18	J		
185. -Total Sys Svce Inc Com					Buy (add'l)	11/01/18	J		
186. -Unilever NV NY shs New	A	Dividend	J	T	Buy	04/20/18	J		
187. -Unilever NV NY shs New					Buy (add'l)	09/07/18	J		

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 \$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	

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Name of Person Reporting

Herndon, David R.

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04/24/2019

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)
188. -Waste Mgmt Inc Del Com	A	Dividend	J	T					
189. -Wells Fargo & Co New Com	A	Dividend			Sold	02/06/18	J	A	
190. -Starwood Ppty Tr Inc Com	A	Dividend	J	T					
191. -iShares Tr Core S&P Mid-Cap ETF	A	Dividend	K	T					
192. -iShares Tr S&P Midcap 400 Value Index Fd	B	Dividend	L	T					
193. -Select Sector Spdr Tr Technology					Buy	11/12/18	J		
194. -Select Sector Spdr Tr Technology					Sold	12/26/18	J		loss
195. -Select Sector Spdr Tr Communication Svcs Select					Buy	11/12/18	J		
196. -Select Sector Spdr Tr Communication Svcs Select					Sold	12/26/18	J		loss
197. -Select Sector Spdr Tr Consumer Staples	A	Dividend	J	T	Buy	12/20/18	J		
198. -Vanguard Intl Equity Index Fds FTSE Emerging Mkts	A	Dividend	K	T	Buy	12/18/18	K		
199. -Vanguard Index Funds	A	Dividend	K	T	Buy	05/24/18	K		
200. -WisdomTreeTr Emerging Mkts Small Cap AVG	A	Dividend			Sold	12/18/18	K		loss
201. 4. TRUST #4 Pershing Brokerage Account (H)									
202. -Dreyfus Treasury Prime Inv Sh MM	A	Interest	J	T					
203. -iShares Tr MSCI Emerging Mkts Index	A	Dividend	K	T	Buy	05/23/18	K		
204. -iShares Tr S&P Midcap 400 Value Index	B	Dividend	L	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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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Name of Person Reporting

Herndon, David R.

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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)
205. -iShares Inc MSCI Japan ETF New	A	Dividend	J	T					
206. -Powershares QQQ Tr Unit Ser 1 n/k/a Invesco QQQ	A	Dividend	K	T					
207. -SPDR S&P Midcap 400 ETF Tr Unit Ser 1 (X)	A	Dividend	K	T					
208. -Vanguard Whitehall Fds High Div	A	Dividend	K	T					
209. -Vanguard Index Fds S&P 500 ETF VOO	B	Dividend	L	T					
210. -Vanguard Index Fds Vanguard Total Stk Mkt	A	Dividend	K	T	Buy	05/23/18	K		
211. -WisdomTree Emerging Mkts Small Cap Avg	A	Dividend	K	T					
212. 5. TRUST #5 Pershing Brokerage Account (H)									
213. -Dreyfus Treasury Prime Inv MM	A	Interest	J	T					
214. iShares Tr MSCI Emerging Mkts Index Fd	A	Dividend	J	T	Buy	05/23/18	J		
215. -iShares Tr S&P Midcap 400 Value	A	Dividend	K	T					
216. -iShares Inc MSCI Japan ETF New EWJ	A	Dividend	J	T					
217. -Powershares QQQ Tr Unit Ser 1 n/k/a Invesco QQQ	A	Dividend	K	T					
218. -SPDR S&P Midcap 400 ETF Tr Unit Ser 1	A	Dividend	J	T					
219. - Vanguard Whithall Fds High Div	A	Dividend	J	T					
220. -Vanguard Index Fds S&P 500 ETF	B	Dividend	L	T					
221. -Vanguard Index Fds Vanguard Total Stk Mkt ETF	A	Dividend	J	T	Buy	05/23/18	J		

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 \$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	

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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)
222. -WisdomTree Tr Emerging Mkts Small Cap Avg DGS	A	Dividend	J	T					
223. 6. Trust #6 Pershing Brokerage Account (H)									
224. -Dreyfus Treasury Prime Inv MM	A	Interest	J	T					
225. -iShares Tr MSCI Emerging Mkts Index Fd	A	Dividend	J	T	Buy	05/23/18	J		
226. -iShares Tr S&P MidCap 400 Value	A	Dividend	K	T					
227. -iShares Inc MSCI Japan ETF New	A	Dividend	J	T					
228. -PowerShares QQQ Tr Unit Ser 1 n/k/a Ivesco QQQ	A	Dividend	J	T					
229. -SPDR S&P MidCap 400 ETF Tr Unit Ser 1	A	Dividend	J	T					
230. -Vanguard Whitehall Fds High Div	A	Dividend	J	T					
231. -Vanguard Index Fds S&P 500 ETF	A	Dividend	K	T					
232. -Vanguard Index Fds Vanguard Total Stk Mkt ETF	A	Dividend	J	T	Buy	05/23/18	J		
233. -WisdomTree Emerging Mkts Small Cap Avg DGS	A	Dividend	J	T					
234.									
235.									
236.									
237.									
238.									

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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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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)
239.									
240.									
241.									

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

Dreyfus Treasury Prime Inv Money Market Account

IRA Dreyfus MM reported on line 29

Trust #1 on line 39

Trust #3 on line 130

Trust #4 on line 202

Trust #5 on line 213

Trust #6 on line 224

Lines 29, 39, 130, 202, 213 and 224 Dreyfus Treasury Prime Inv Money Market Account was used as a vehicle to hold cash equivalent assets for purchase of other investments and to place sale proceeds pending other investments. Consequently, money moved in and out of these accounts with great frequency and no attempt was made to distinguish each transaction unless specifically requested.

Trust #2 has no assets. Trust #2 was fully distributed in 2017.

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **David R. Herndon**

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
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