

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Herrera, Judith C.	2. Court or Organization U.S. District Court, NM	3. Date of Report 08/24/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address United States District Court 333 Lomas Blvd., NW #710 Albuquerque, NM 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

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.)*DATESOURCE AND TYPEINCOME

(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.)*DATESOURCE AND TYPE

1. _____

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

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.	Zions Bank	Rental Property #1	N
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. Bank of America Account									
2. Bank of America Profit Sharing Plan									
3.									
4. Rental Property #1 Santa Fe, NM Purchased 3/30/94	G	Rent	P1	Q					
5. Family Partnership #1 (now an LLC) Santa Fe, NM		None	P1	W					
6.									
7. Ameriprise Threadneedle Profit Sharing Plan	A	Dividend	K	T					
8. Ameriprise Financial RVS Large Cap Equity Fund	D	Dividend	L	T					
9. Fidelity Select Telco	A	Dividend	J	T					
10.									
11. NW Mutual Life Ins [REDACTED]	B	Dividend	K	T					
12. NW Mutual Life Ins [REDACTED]	C	Dividend	L	T					
13. NW Mutual Life Ins [REDACTED]	C	Dividend	L	T					
14. NW Mutual Life Ins [REDACTED]	C	Dividend	L	T					
15.									
16. NW Mutual Variable Extra Ordinary Life [REDACTED]	B	Dividend	K	T					
17. NW Mutual Variable Extra Ordinary Life [REDACTED]	B	Dividend	K	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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18. NW Mutual Variable Extra Ordinary Life	B	Dividend	K	T					
19.									
20. Stocks sold during 2015									
21. Alcoa		None			Sold	01/26/15	J		
22. American Airlines Group	A	Dividend			Buy	01/26/15	J		
23.					Buy (add'l)	02/03/15	J		
24.					Sold	06/10/15	J		
25. Apple	A	Dividend			Buy (add'l)	04/27/15	J		
26.					Sold	11/23/15	J		
27. Direxion Semiconductor Bull 3X		None			Buy	04/02/15	J		
28.					Buy (add'l)	04/23/15	J		
29.					Sold	11/16/15	J		
30. EG Shares India Consumer ETF		None			Buy (add'l)	02/11/15	J		
31.					Sold	04/20/15	J		
32. First Trust NYSE ARCA Biotech ID	A	Dividend			Buy	04/02/15	J		
33.					Sold	12/03/15	J	A	
34. General Dynamics	A	Dividend			Sold	01/28/15	J		

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35. Hewlett-Packard CO	A	Dividend			Sold	01/28/15	J		
36. Infinity Pharmaceutical		None			Buy	01/20/15	J		
37.					Buy (add'l)	01/26/15	J		
38.					Sold	02/03/15	J		
39. Lifepoint Health (Hospitals) Inc		None			Sold	01/23/15	J		
40. Molina Healthcare		None			Sold	01/26/15	J		
41. Omnicision Technology (ies)		None			Sold (part)	03/24/15	J		
42.					Sold	03/26/15	J		
43. Powershares Dynamic Pharmaceutical		None			Sold	01/02/15	J		
44. Profunds Biotechnology		None			Sold	04/01/15	K		
45. Qorvo Inc		None			Buy	06/10/15	J		
46.					Buy (add'l)	07/30/15	J		
47.					Sold	11/23/15	J		
48. Sanmina Corporation		None			Sold	01/26/15	J		
49. Tessera Technologies	A	Dividend			Buy	02/12/15	J		
50.					Sold	07/10/15	J	A	
51. Vanguard REIT ETF IV		None			Sold	02/29/15	J	A	

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52.									
53. Stocks owned 12/31/2015									
54. Aetna Inc	A	Dividend	J	T	Buy (add'l)	04/02/15	J		
55. Avago Technologies (now Broadcom LTD F)	A	Dividend	J	T	Buy (add'l)	01/02/15	J		
56.					Buy (add'l)	01/28/15	J		
57.					Buy (add'l)	07/07/15	J		
58. Cigna Corp		None	J	T	Buy	04/24/15	J		
59.					Buy (add'l)	04/27/15	J		
60.					Buy (add'l)	07/24/15	J		
61. Healthnet Inc (now Centene Corp)		None	J	T					
62. Gilead Sciences Inc	A	Dividend	J	T					
63. Nephrogenex Inc		None	K	T	Buy (add'l)	01/02/15	J		
64.					Buy (add'l)	01/08/15	J		
65.					Buy (add'l)	01/20/15	J		
66.					Buy (add'l)	01/21/15	J		
67.					Buy (add'l)	01/26/15	J		
68.					Buy (add'l)	01/28/15	J		

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69.					Buy (add'l)	01/29/15	J		
70.					Buy (add'l)	01/30/15	J		
71.					Buy (add'l)	02/03/15	J		
72.					Buy (add'l)	02/11/15	J		
73.					Buy (add'l)	02/19/15	J		
74.					Buy (add'l)	03/17/15	J		
75.					Buy (add'l)	03/24/15	J		
76.					Buy (add'l)	03/25/15	J		
77.					Buy (add'l)	07/17/15	J		
78.					Buy (add'l)	07/20/15	J		
79.					Buy (add'l)	11/16/15	J		
80.					Buy (add'l)	11/20/15	J		
81.					Buy (add'l)	11/24/15	J		
82.					Buy (add'l)	12/01/15	J		
83.					Buy (add'l)	12/02/15	J		
84.					Buy (add'l)	12/03/15	J		
85. Skyworks Solutions	A	Dividend	K	T	Buy (add'l)	01/28/15	J		

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86.					Buy (add'l)	02/19/15	J		
87.					Buy (add'l)	04/23/15	J		
88.					Buy (add'l)	07/07/15	J		
89. Tesoro Corporation	A	Dividend	J	T					
90. Tetraphase Pharma		None	J	T	Buy	03/11/15	J		
91.					Buy (add'l)	03/26/15	J		
92. SPDR S&P Biotech ETF IV	A	Dividend	K	T	Buy (add'l)	01/28/15	J		
93.					Buy (add'l)	02/19/15	J		
94. Rydex Biotechnology Fund	A	Dividend	J	T					
95.									

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

Part VII, Line 4. The appraisal was conducted in December, 2015

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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/ **Judith C. Herrera**

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