



**UNITED STATES DISTRICT COURT
District of New Mexico**

333 Lomas Boulevard N.W., Suite 710
Albuquerque, New Mexico 87102

Judith C. Herrera
District Judge

Telephone: (505) 348-2390

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

RE: Calendar Year 2009 Filing

Dear Committee,

This letter is in response to your letter of July 14, 2010, requesting additional information.

My 2008 report, on page 11, line 36 lists "Research in Motion Ltd." That asset is listed in my 2009 report on page 5, lines 22-25, as "RIMM."

Also, my 2008 report lists "Herrera, Long, Pound & Komer Profit Sharing Plan" on page 14, line 175, as a distribution. It was sold on February 4, 2008. The Value Code is "K" and the Gain Code is "A."

I believe I have addressed the information you have requested. If you require further information, please do not hesitate to contact me.



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ADMINISTRATIVE OFFICE

Herrera, Judith C.

AO 10*
Rev. 1/2010

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2009**

*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 05/10/2010
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 1/1/2009 to 12/31/2009
7. Chambers or Office Address United States District Court P.O. Box 2085 Santa Fe, NM 87504-2085	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

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.)*

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

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.
(Include 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. Zions Bank	Office Building - Rental Property #1	N
2. Las Campanas Limited Partnership	Lot	M
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	A	Interest	K	T					
2. Rental Property #1 Santa Fe, NM Purch. 03/30/94 \$516,642.	G	Rent	P1	Q					
3. Partnership #1 Santa Fe, NM	C	Interest	P1	W					
4.									
5. Lines 6 thru 29 below are Charles Schwab account.									
6. Apple		None	K	T	Sold (part)	07/31/09	J	B	
7.					Sold (part)	08/21/09	J	A	
8.					Sold (part)	09/17/09	J	A	
9.					Sold (part)	09/18/09	J	A	
10.					Sold (part)	10/26/09	J	B	
11.					Sold (part)	12/24/09	J	C	
12.									
13. Citibank		None			Buy	02/20/09	J		
14.					Buy (add'l)	05/05/09	J		
15.					Sold	06/02/09	J	B	
16. AIG		None			Buy	02/20/09	J		
17.					Sold	05/05/09	J	A	

1. Income/Gain Codes (See Columns D1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P1 = \$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 I12 = 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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☐ **NONE** (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets)		B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure		(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 3 (A-H)	(5) Identity of buyer/seller (if private transaction)
18.	Cisco		None			Buy	02/05/09	J		
19.						Sold	02/11/09	J	A	
20.	Walmart		None			Buy	02/04/09	J		
21.						Sold	02/11/09	J	A	
22.	RIMM		None			Buy	02/17/09	J		
23.						Buy (add'l)	02/18/09	J		
24.						Sold (part)	06/04/09	J	A	
25.						Sold	07/14/09	J	B	
26.	Google		None	J		Sold (part)	05/21/09	J	A	
27.						Sold (part)	08/21/09	J	B	
28.						Sold (part)	09/18/09	J	A	
29.						Sold (part)	12/02/09	J	C	
30.										
31.										
32.	Bank of America Profit Sharing Plan	A	Interest	J	T					
33.	Ameriprise Threadneedle Global Equity Fund		None	K	T					
34.	Ameriprise Financial RVS Large Cap Equity Fund		None	K	T					

1. Income/Gain Codes: (See Columns B1 and D4)	A ≤ \$1,000 or less P = \$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 = \$250,000.01 - \$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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☐ 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	(2) Type (e.g., div., rent, or int.)	(1) Value	(2) Value	(1) Type (e.g., buy, sell, redemption)	(2) Date	(3) Value	(4) Gain	(5) Identity of buyer/seller (if private transaction)
	Code 1 (A-H)		Code 2 (J-P)	Code 3 (Q-W)		mm/dd/yy	Code 2 (J-P)	Code 1 (A-H)	
35. NW Mutual Life Ins. ☐		None	K	T					
36. NW Mutual Life Ins. ☐		None	L	T					
37. NW Mutual Life Ins. ☐		None	L	T					
38. NW Mutual Life Ins. ☐		None	L	T					
39. Fidelity Select Teleco		None	J	T					
40.									
41. Ameriprise Financial RVS Large Cap Equity Fund ☐		None	K	T					
42. NW Mutual Variable Extra Ordinary Life ☐		None	K	T					
43. NW Mutual Variable Extra Ordinary Life ☐		None	K	T					
44. NW Mutual Variable Extra Ordinary Life ☐		None	J	T					
45.									
46.									
47.									
48.									

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 = \$5,000,001 - \$5,000,000

D = \$5,001 - \$15,000

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 Code
(See Column C2)

Q = Appraisal
U = Book Value

R = Cost (Real Estate Only)
V = Other

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

Part VII, Line 2. The appraisal was made in February, 2009.

Part VII, line 33 was inadvertently omitted from previous reports. It was acquired prior to 2004.

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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



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)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544