

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                        |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Herrera, Judith C.                                                                                                                   | <b>2. Court or Organization</b><br><br>U.S. District Court, NM                                                                                                                                                                         | <b>3. Date of Report</b><br><br>05/13/2020                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>Senior Status District Judge                                                  | <b>5a. Report Type (check appropriate type)</b><br><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final | <b>6. Reporting Period</b><br><br>01/01/2019<br>to<br>12/31/2019 |
|                                                                                                                                                                                                           | <b>5b.</b> <input type="checkbox"/> Amended Report                                                                                                                                                                                     |                                                                  |
| <b>7. Chambers or Office Address</b><br><br>United States District Court<br>333 Lomas Blvd., NW<br>Albuquerque, NM 87102                                                                                  |                                                                                                                                                                                                                                        |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                        |                                                                  |

## 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. |  |  |

# FINANCIAL DISCLOSURE REPORT

Page 2 of 20

Name of Person Reporting

Herrera, Judith C.

Date of Report

05/13/2020

## 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. |  |  |
| 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.)*

DATE

SOURCE 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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

|    |  |  |  |  |
|----|--|--|--|--|
| 1. |  |  |  |  |
| 2. |  |  |  |  |
| 3. |  |  |  |  |
| 4. |  |  |  |  |
| 5. |  |  |  |  |

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| Herrera, Judith C.       | 05/13/2020     |

V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

| SOURCE | DESCRIPTION | VALUE |
|--------|-------------|-------|
| 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.)

| CREDITOR | DESCRIPTION | VALUE CODE |
|----------|-------------|------------|
| 1.       |             |            |
| 2.       |             |            |
| 3.       |             |            |
| 4.       |             |            |
| 5.       |             |            |

# FINANCIAL DISCLOSURE REPORT

Page 4 of 20

Name of Person Reporting

Herrera, Judith C.

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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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |

|     |                                                   |   |              |    |   |             |          |   |   |
|-----|---------------------------------------------------|---|--------------|----|---|-------------|----------|---|---|
| 1.  | Bank of America Cash Account                      | A | Interest     | M  | T |             |          |   |   |
| 2.  | Bank of America household account                 |   | None         | K  | T |             |          |   |   |
| 3.  | Rental Property #1 Santa Fe, NM Purchased 3/30/94 | F | Rent         | P1 | Q |             |          |   |   |
| 4.  | Family Partnership #1 (now an LLC) Santa Fe, NM   | D | Distribution | P1 | W |             |          |   |   |
| 5.  |                                                   |   |              |    |   |             |          |   |   |
| 6.  |                                                   |   |              |    |   |             |          |   |   |
| 7.  |                                                   |   |              |    |   |             |          |   |   |
| 8.  | Charles Schwab account (H)                        |   |              | N  | T |             |          |   |   |
| 9.  | Acadia Ppharmaceutical                            |   | None         | J  | T | Buy         | 12/19/19 | J |   |
| 10. | Adobe Inc                                         |   | None         | J  | T | Buy         | 07/19/19 | J |   |
| 11. | AES Corporation                                   | A | Dividend     |    |   | Sold        | 07/19/19 | J |   |
| 12. |                                                   |   |              |    |   | Buy         | 03/12/19 | J |   |
| 13. | Alphabet Inc.                                     |   | None         | K  | T |             |          |   |   |
| 14. |                                                   |   |              |    |   |             |          |   |   |
| 15. | Amazon.Com Inc                                    |   | None         | K  | T | Sold (part) | 12/06/19 | J | A |
| 16. |                                                   |   |              |    |   | Sold (part) | 11/22/19 | J | A |
| 17. | Apple Inc                                         | A | Dividend     |    |   | Sold        | 07/17/19 | J |   |

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

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Page 5 of 20

Name of Person Reporting

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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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. Arrowhead Pharma Inc                                                                                                   |                                        | None                                          | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 19. Applied Materials                                                                                                      | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 05/02/19                | K                               | D                              |                                                                   |
| 20.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 03/04/19                | J                               |                                |                                                                   |
| 21. Ark Innovation ETF                                                                                                     | A                                      | Distribution                                  |                                                |                                           | Sold                                            | 03/06/19                | J                               |                                |                                                                   |
| 22. Ark Web X.0 ETF ARKW                                                                                                   | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 03/06/19                | J                               | A                              |                                                                   |
| 23. Baudax                                                                                                                 |                                        | None                                          | J                                              | T                                         | Spinoff<br>(from line 76)                       | 11/21/19                | J                               |                                |                                                                   |
| 24. Boston Scientific Company                                                                                              |                                        | None                                          |                                                |                                           | Sold                                            | 11/15/19                | J                               | A                              |                                                                   |
| 25.                                                                                                                        |                                        |                                               |                                                |                                           | Buy                                             | 02/22/19                | J                               |                                |                                                                   |
| 26. Broadcom Inc                                                                                                           | B                                      | Dividend                                      |                                                |                                           | Sold                                            | 11/07/19                | J                               | C                              |                                                                   |
| 27.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 11/05/19                | J                               | B                              |                                                                   |
| 28. CACI Inc                                                                                                               |                                        | None                                          | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 29. Cadence Design Systems                                                                                                 |                                        | None                                          | J                                              | T                                         | Buy                                             | 05/02/19                | J                               |                                |                                                                   |
| 30. Caretrust Reit Inc                                                                                                     | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 07/23/19                | J                               |                                |                                                                   |
| 31.                                                                                                                        |                                        |                                               |                                                |                                           | Buy                                             | 05/10/19                | J                               |                                |                                                                   |
| 32. China Mobile Ltd ADR                                                                                                   |                                        | None                                          |                                                |                                           | Sold                                            | 07/17/19                | J                               |                                |                                                                   |
| 33.                                                                                                                        |                                        |                                               |                                                |                                           | Buy                                             | 04/05/19                | J                               |                                |                                                                   |
| 34. Construction Partners Inc                                                                                              |                                        | None                                          | J                                              | T                                         | Buy                                             | 12/19/19                | J                               |                                |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
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| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

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Page 6 of 20

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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. CVR Energy Inc                                                                                                         | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 12/09/19                | J                               |                                |                                                                   |
| 36.                                                                                                                        |                                        |                                               |                                                |                                           | Buy                                             | 07/17/19                | J                               |                                |                                                                   |
| 37. Diodes Inc                                                                                                             |                                        | None                                          |                                                |                                           | Sold                                            | 04/29/19                | J                               | A                              |                                                                   |
| 38.                                                                                                                        |                                        |                                               |                                                |                                           | Buy                                             | 03/06/19                | J                               |                                |                                                                   |
| 39. Ensign Group Inc                                                                                                       | A                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 03/06/19                | J                               |                                |                                                                   |
| 40. Exact Sciences Corporation                                                                                             |                                        | None                                          |                                                |                                           | Sold                                            | 12/09/19                | J                               |                                |                                                                   |
| 41.                                                                                                                        |                                        |                                               |                                                |                                           | Buy                                             | 07/30/19                | J                               |                                |                                                                   |
| 42.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 08/08/19                | J                               |                                |                                                                   |
| 43. Facebook Inc                                                                                                           |                                        | None                                          |                                                |                                           | Sold                                            | 11/13/19                | J                               | A                              |                                                                   |
| 44.                                                                                                                        |                                        |                                               |                                                |                                           | Buy                                             | 06/18/19                | J                               |                                |                                                                   |
| 45. Heico Corp                                                                                                             |                                        | None                                          |                                                |                                           | Sold                                            | 12/19/19                | J                               |                                |                                                                   |
| 46.                                                                                                                        |                                        |                                               |                                                |                                           | Buy                                             | 11/18/19                | J                               |                                |                                                                   |
| 47. Intuitive Surgical                                                                                                     |                                        | None                                          |                                                |                                           | Sold                                            | 05/17/19                | J                               | A                              |                                                                   |
| 48. Jounce Therapeutics Incorporated                                                                                       |                                        | None                                          | J                                              | T                                         | Buy                                             | 12/06/19                | J                               |                                |                                                                   |
| 49.                                                                                                                        |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 50.                                                                                                                        |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 51. Keysight Tech Inc                                                                                                      |                                        | None                                          | K                                              | T                                         | Buy<br>(add'l)                                  | 11/12/19                | J                               |                                |                                                                   |

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

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Page 7 of 20

Name of Person Reporting

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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/07/19         | J                        |                         |                                                            |
| 53.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/02/19         | J                        |                         |                                                            |
| 54.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 04/25/19         | J                        |                         |                                                            |
| 55.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 04/05/19         | J                        |                         |                                                            |
| 56.                                                                                                                        |                                        |                                        |                                                |                                    | Buy                                       | 04/04/19         | J                        |                         |                                                            |
| 57. KLA Corp                                                                                                               | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 11/05/19         | J                        |                         |                                                            |
| 58. Lam Research Corp                                                                                                      | A                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 59. Lattice Semiconductor                                                                                                  |                                        | None                                   | K                                              | T                                  | Buy<br>(add'l)                            | 11/07/19         | J                        |                         |                                                            |
| 60.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/08/19         | J                        |                         |                                                            |
| 61.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 04/29/19         | J                        |                         |                                                            |
| 62.                                                                                                                        |                                        |                                        |                                                |                                    | Buy                                       | 03/27/19         | J                        |                         |                                                            |
| 63. Mastercard Inc                                                                                                         | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 07/24/19         | J                        |                         |                                                            |
| 64. Mellanox Techs Ltd                                                                                                     |                                        | None                                   |                                                |                                    | Sold                                      | 04/05/19         | J                        | C                       |                                                            |
| 65. Micron Technology                                                                                                      |                                        | None                                   | J                                              | T                                  | Sold<br>(part)                            | 04/04/19         | J                        |                         |                                                            |
| 66.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 08/08/19         | J                        |                         |                                                            |
| 67. MKS Instruments Inc                                                                                                    | A                                      | Dividend                               |                                                |                                    | Sold                                      | 04/25/19         | J                        |                         |                                                            |
| 68.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 03/12/19         | J                        |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
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Page 8 of 20

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Date of Report

05/13/2020

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69. Novanta Inc                                                                                                            |                                        | None                                   |                                                |                                    | Sold                                      | 08/08/19         | J                        |                         |                                                            |
| 70.                                                                                                                        |                                        |                                        |                                                |                                    | Buy                                       | 05/07/19         | J                        |                         |                                                            |
| 71. PBF Energy Inc                                                                                                         |                                        | None                                   |                                                |                                    | Sold                                      | 02/22/19         | J                        |                         |                                                            |
| 72. Pennant Group Inc                                                                                                      |                                        | None                                   | J                                              | T                                  | Spinoff<br>(from line 39)                 | 03/06/19         | J                        |                         |                                                            |
| 73. Qorvo Inc                                                                                                              |                                        | None                                   | J                                              | T                                  | Buy                                       | 12/09/19         | J                        |                         |                                                            |
| 74. Reata Pharmaceuticals Inc                                                                                              |                                        | None                                   | J                                              | T                                  | Buy<br>(add'l)                            | 11/20/19         | J                        |                         |                                                            |
| 75.                                                                                                                        |                                        |                                        |                                                |                                    | Buy                                       | 11/18/19         | J                        |                         |                                                            |
| 76. Recro Pharma Inc                                                                                                       |                                        | None                                   | J                                              | T                                  | Buy                                       | 11/18/19         | J                        |                         |                                                            |
| 77. Starbucks Corp                                                                                                         | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 08/14/19         | J                        |                         |                                                            |
| 78. Synopsys Inc                                                                                                           |                                        | None                                   | J                                              | T                                  | Buy                                       | 07/23/19         | J                        |                         |                                                            |
| 79. Teledyne Technologie                                                                                                   |                                        | None                                   | J                                              | T                                  | Buy                                       | 11/18/19         | J                        |                         |                                                            |
| 80. Tenneco                                                                                                                |                                        | None                                   | J                                              | T                                  | Buy<br>(add'l)                            | 08/05/19         | J                        |                         |                                                            |
| 81.                                                                                                                        |                                        |                                        |                                                |                                    | Buy                                       | 08/01/19         | J                        |                         |                                                            |
| 82. Teradyne Incorporated                                                                                                  | A                                      | Dividend                               | J                                              | T                                  | Buy<br>(add'l)                            | 11/15/19         | J                        |                         |                                                            |
| 83.                                                                                                                        |                                        |                                        |                                                |                                    | Buy                                       | 11/13/19         | J                        |                         |                                                            |
| 84. Transdigm Group Inc                                                                                                    | A                                      | Distribution                           | J                                              | T                                  | Buy                                       | 11/18/19         | J                        |                         |                                                            |
| 85. Transportadora De Gas ADR                                                                                              |                                        | None                                   | J                                              | T                                  | Buy                                       | 11/15/19         | J                        |                         |                                                            |

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

# FINANCIAL DISCLOSURE REPORT

Page 9 of 20

Name of Person Reporting

Herrera, Judith C.

Date of Report

05/13/2020

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 86. TTM Technologies Inc                                                                                                   |                                        | None                                          |                                                |                                           | Sold                                            | 02/13/19                | K                               |                                |                                                                   |
| 87. Vishay Precision Grp                                                                                                   |                                        | None                                          |                                                |                                           | Sold                                            | 11/18/19                | K                               | C                              |                                                                   |
| 88. Western Digital Corp                                                                                                   | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 08/08/19                | J                               | A                              |                                                                   |
| 89.                                                                                                                        |                                        |                                               |                                                |                                           | Buy                                             | 03/04/19                | J                               |                                |                                                                   |
| 90. Xilinx                                                                                                                 | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 11/12/19                | J                               |                                |                                                                   |
| 91.                                                                                                                        |                                        |                                               |                                                |                                           | Buy                                             | 04/25/19                | K                               |                                |                                                                   |
| 92. Charles Schwab IRA Account #1                                                                                          |                                        |                                               | N                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 93. Adobe                                                                                                                  |                                        | None                                          | J                                              | T                                         | Buy                                             | 08/19/19                | J                               |                                |                                                                   |
| 94. Amazon.Com Inc                                                                                                         |                                        | None                                          |                                                |                                           | Sold                                            | 12/06/19                | J                               |                                |                                                                   |
| 95. Apple Inc                                                                                                              | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 07/19/19                | J                               |                                |                                                                   |
| 96. Ark Innovation ETF ARKK                                                                                                | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 11/13/19                | K                               | C                              |                                                                   |
| 97.                                                                                                                        |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 98.                                                                                                                        |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 99. Ark Web X.0 ETF ARKW                                                                                                   | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 05/01/19                | K                               | A                              |                                                                   |
| 100.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 03/12/19                | J                               | A                              |                                                                   |
| 101. CACI Inc                                                                                                              |                                        | None                                          | J                                              | T                                         | Buy                                             | 11/27/19                | J                               |                                |                                                                   |
| 102. Cadence Design Systems                                                                                                |                                        | None                                          | J                                              | T                                         | Buy                                             | 08/19/19                | J                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

Page 10 of 20

Name of Person Reporting

Herrera, Judith C.

Date of Report

05/13/2020

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 103. Defiance Next Generation ETF                                                                                          | A                                      | Dividend                               |                                                |                                    | Sold                                      | 11/27/19         | J                        |                         |                                                            |
| 104.                                                                                                                       |                                        |                                        |                                                |                                    | Buy                                       | 04/04/19         | J                        |                         |                                                            |
| 105. Enphase Energy Inc                                                                                                    |                                        | None                                   | J                                              | T                                  | Buy                                       | 12/06/19         | J                        |                         |                                                            |
| 106. First Bancorp New                                                                                                     | A                                      | Dividend                               |                                                |                                    | Sold                                      | 09/12/19         | J                        |                         |                                                            |
| 107.                                                                                                                       |                                        |                                        |                                                |                                    | Buy                                       | 03/12/19         | J                        |                         |                                                            |
| 108. Global X E-Commerce ETF                                                                                               |                                        | None                                   |                                                |                                    | Sold                                      | 11/26/19         | J                        |                         |                                                            |
| 109.                                                                                                                       |                                        |                                        |                                                |                                    | Buy                                       | 05/06/19         | J                        |                         |                                                            |
| 110. Great Lakes Dredge                                                                                                    |                                        | None                                   | J                                              | T                                  | Buy                                       | 09/12/19         | J                        |                         |                                                            |
| 111. Hollyfrontier Corp                                                                                                    | A                                      | Dividend                               |                                                |                                    | Sold                                      | 04/04/19         | J                        |                         |                                                            |
| 112. Invesco QQQ Trust                                                                                                     | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 113. Invesco S&P Smallcap PSCH                                                                                             | A                                      | Dividend                               |                                                |                                    | Sold                                      | 05/03/19         | L                        |                         |                                                            |
| 114. Invesco Dynamic Software                                                                                              | A                                      | Dividend                               | K                                              | T                                  | Buy<br>(add'l)                            | 05/06/19         | K                        |                         |                                                            |
| 115.                                                                                                                       |                                        |                                        |                                                |                                    | Buy                                       | 05/01/19         | K                        |                         |                                                            |
| 116. Ishares Expanded Tech IGV                                                                                             | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 117. Ishares PHLX SOXX                                                                                                     | A                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 118. KLA Corp                                                                                                              | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 11/12/19         | J                        |                         |                                                            |
| 119. Mastercard Inc                                                                                                        | A                                      | Dividend                               | K                                              | T                                  | Buy<br>(add'l)                            | 08/19/19         | J                        |                         |                                                            |

|                         |                                 |                            |                               |                                |                        |
|-------------------------|---------------------------------|----------------------------|-------------------------------|--------------------------------|------------------------|
| 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                  |                                |                        |

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 120.                                                                                                                       |                                        |                                        |                                                |                                    | Buy                                       | 08/15/19         | J                        |                         |                                                            |
| 121. Microsoft Corp                                                                                                        | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 07/19/19         | J                        |                         |                                                            |
| 122. PBF Energy                                                                                                            |                                        | None                                   |                                                |                                    | Sold                                      | 02/22/19         | J                        |                         |                                                            |
| 123. Service Now Inc                                                                                                       |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 124. Smart Global Hldgs                                                                                                    |                                        | None                                   |                                                |                                    | Sold                                      | 11/12/19         | J                        |                         |                                                            |
| 125.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 08/15/19         | J                        |                         |                                                            |
| 126. Solaredge Tech                                                                                                        |                                        | None                                   | J                                              | T                                  | Buy                                       | 12/06/19         | J                        |                         |                                                            |
| 127. Synopsys Inc                                                                                                          |                                        | None                                   | J                                              | T                                  | Buy                                       | 11/26/19         | J                        |                         |                                                            |
| 128. United Health Group                                                                                                   | A                                      | Dividend                               |                                                |                                    | Sold                                      | 08/19/19         | J                        |                         |                                                            |
| 129.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/12/19         | J                        |                         |                                                            |
| 130.                                                                                                                       |                                        |                                        |                                                |                                    | Buy                                       | 02/22/19         | J                        |                         |                                                            |
| 131. Walt Disney Co                                                                                                        | A                                      | Dividend                               | J                                              | T                                  | Buy<br>(add'l)                            | 11/12/19         | J                        |                         |                                                            |
| 132.                                                                                                                       |                                        |                                        |                                                |                                    | Buy                                       | 05/06/19         | J                        |                         |                                                            |
| 133.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 134.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 135. Charles Schwab IRA Account #2 (H)                                                                                     |                                        |                                        | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 136. Adobe Inc                                                                                                             |                                        | None                                   | J                                              | T                                  | Buy<br>(add'l)                            | 03/05/19         | J                        |                         |                                                            |

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

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

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

# FINANCIAL DISCLOSURE REPORT

Page 12 of 20

Name of Person Reporting

Herrera, Judith C.

Date of Report

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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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 137. AES Corp                                                                                                              | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 07/19/19                | J                               |                                |                                                                   |
| 138.                                                                                                                       |                                        |                                               |                                                |                                           | Buy                                             | 03/12/19                | J                               |                                |                                                                   |
| 139. Cadence Design Systems                                                                                                |                                        | None                                          | J                                              | T                                         | Buy                                             | 08/08/19                | J                               |                                |                                                                   |
| 140. China Mobile Ltd ADR                                                                                                  | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 07/19/19                | J                               |                                |                                                                   |
| 141.                                                                                                                       |                                        |                                               |                                                |                                           | Buy                                             | 04/05/19                | J                               |                                |                                                                   |
| 142. CVR Energy Inc                                                                                                        | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 10/15/19                | J                               |                                |                                                                   |
| 143.                                                                                                                       |                                        |                                               |                                                |                                           | Buy                                             | 07/19/19                | J                               |                                |                                                                   |
| 144. Defiance Next Generation                                                                                              | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 11/27/19                | J                               |                                |                                                                   |
| 145.                                                                                                                       |                                        |                                               |                                                |                                           | Buy                                             | 04/04/19                | J                               |                                |                                                                   |
| 146. Enanta Pharmaceuticals                                                                                                |                                        | None                                          |                                                |                                           | Sold                                            | 01/24/19                | J                               |                                |                                                                   |
| 147. Ensign Design Group                                                                                                   | A                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 02/26/19                | J                               |                                |                                                                   |
| 148. Hollyfrontier Corp                                                                                                    | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 04/04/19                | J                               |                                |                                                                   |
| 149. Keysight Technology Inc                                                                                               |                                        | None                                          | J                                              | T                                         | Buy                                             | 08/06/19                | J                               |                                |                                                                   |
| 150. Lattice Semiconductor                                                                                                 |                                        | None                                          | J                                              | T                                         | Buy<br>(add'l)                                  | 10/16/19                | J                               |                                |                                                                   |
| 151.                                                                                                                       |                                        |                                               |                                                |                                           | Buy                                             | 10/15/19                | J                               |                                |                                                                   |
| 152. Mammoth Energy Services TUSK                                                                                          | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 03/15/19                | J                               |                                |                                                                   |
| 153. Mellanox Techs Ltd                                                                                                    |                                        | None                                          |                                                |                                           | Sold                                            | 04/05/19                | J                               | B                              |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

Page 13 of 20

Name of Person Reporting

Herrera, Judith C.

Date of Report

05/13/2020

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 154. Micron Technology                                                                                                     |                                        | None                                   |                                                |                                    | Sold                                      | 08/08/19         | J                        |                         |                                                            |
| 155. Microsoft Corp                                                                                                        | A                                      | Dividend                               | K                                              | T                                  | Buy<br>(add'l)                            | 11/27/19         | J                        |                         |                                                            |
| 156.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/19/19         | J                        |                         |                                                            |
| 157. MKS Instruments Inc                                                                                                   | A                                      | Dividend                               |                                                |                                    | Sold                                      | 03/12/19         | J                        |                         |                                                            |
| 158. Netflix Inc                                                                                                           |                                        | None                                   |                                                |                                    | Sold                                      | 02/26/19         | J                        | A                       |                                                            |
| 159. Novanta Inc                                                                                                           |                                        | None                                   |                                                |                                    | Sold                                      | 08/08/19         | J                        | B                       |                                                            |
| 160. Pennant Group Inc                                                                                                     | A                                      | Distribution                           | J                                              | T                                  | Spinoff<br>(from line 147)                | 02/26/19         | J                        |                         |                                                            |
| 161. Service Now Inc                                                                                                       |                                        | None                                   | K                                              | T                                  | Buy<br>(add'l)                            | 11/27/19         | J                        |                         |                                                            |
| 162.                                                                                                                       |                                        |                                        |                                                |                                    | Buy                                       | 08/08/19         | J                        |                         |                                                            |
| 163. Visa                                                                                                                  | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 08/08/19         | J                        |                         |                                                            |
| 164. Vishay Precision Group                                                                                                |                                        | None                                   |                                                |                                    | Sold                                      | 08/08/19         | K                        |                         |                                                            |
| 165. Walt Disney Company                                                                                                   | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 05/01/19         | J                        |                         |                                                            |
| 166. Western Digital Corp                                                                                                  | A                                      | Dividend                               |                                                |                                    | Sold                                      | 08/08/19         | J                        | B                       |                                                            |
| 167.                                                                                                                       |                                        |                                        |                                                |                                    | Buy                                       | 01/25/19         | J                        |                         |                                                            |
| 168.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 169.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 170.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |

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

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 171.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 172.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 173.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 174.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 175.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 176.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 177.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 178.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 179.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 180.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 181.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 182.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 183.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 184.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 185.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 186.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 187.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

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

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 188.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 189.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 190.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 191.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 192.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 193.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 194.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 195.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 196.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 197.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 198.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 199.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 200.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 201.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 202.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 203.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 204.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |

|                         |                                 |                            |                               |                                |                        |
|-------------------------|---------------------------------|----------------------------|-------------------------------|--------------------------------|------------------------|
| 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                  |                                |                        |

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 205.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 206.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 207.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 208.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 209.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 210.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 211.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 212.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 213.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 214.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 215.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 216.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 217.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 218.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 219.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 220.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 221.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

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

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 222.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 223.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 224.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 225.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 226.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 227.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 228.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 229.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 230.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 231.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 232.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 233.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 234.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 235.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 236.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 237.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 238.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

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

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 239.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 240.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 241.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 242.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 243.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 244.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 245.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |

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

**FINANCIAL DISCLOSURE REPORT**

Page 19 of 20

Name of Person Reporting

Herrera, Judith C.

Date of Report

05/13/2020

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

Part VII, Line 3. The appraisal was conducted in December, 2015

# FINANCIAL DISCLOSURE REPORT

Page 20 of 20

Name of Person Reporting

Herrera, Judith C.

Date of Report

05/13/2020

## 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