

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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

1. Person Reporting (last name, first, middle initial) MARTINEZ, WILLIAM J.	2. Court or Organization DISTRICT COURT- COLORADO	3. Date of Report 09/11/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. DISTRICT JUDGE - ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address ALFRED A. ARRAJ U.S. COURTHOUSE 901 19TH STREET, ROOM A841 DENVER, CO 80294		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.		
2.		
3.		

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	Salary from employment with Denver Health
2.	
3.	
4.	

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

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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

☒ NONE (No reportable gifts.)

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. E*Trade Securities	Brokerage margin account	P1
2.		
3.		
4.		
5.		

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

 NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Rental property; Greenwood Village, Colo; (2008) (\$740,000)	F	Rent	P1	W					
2. E*Trade Brokerage Account									
3. --- Baozun stock [BZUN]		None	M	T					
4. --- Cloudera stock [CLDR]		None	L	T	Buy	01/30/19	L		
5. --- Facebook stock [FB]		None	P1	T					
6. --- FANG Index ETNS [FNGU]		None	P1	T	Buy	02/15/19	N		
7.					Buy (add'l)	05/22/19	N		
8.					Buy (add'l)	10/07/19	N		
9. --- Iqiyi stock [IQ]		None			Closed	04/08/19	L	C	
10. --- JD.COM stock [JD]		None			Closed	10/07/19	M	C	
11. --- Micron Technology stock [MU]		None			Closed	06/03/19	L	D	
12. --- NVIDIA stock [NVDA]	B	Dividend	O	T					
13. --- OKTA stock [OKTA]		None	O	T					
14. --- TQQQ ETF [TQQQ]	A	Dividend	N	T					
15. --- Seagate stock [STX]	E	Dividend			Closed	07/29/19	N	F	
16. ---Smart Global Holdings stock [SGH]		None			Closed	01/28/19	M	D	
17. --- Zscaler stock [ZS]		None	N	T	Buy	02/14/19	N		

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

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☐ NONE (No reportable income, assets, or transactions.)

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

18. E*Trade IRA Account									
19. --- FANG Index ETNS [FNGU]		None	M	T	Buy	02/15/19	N		
20. ---Small Cap Bull Shares [TNA]		None	M	T	Buy	04/25/19	M		
21. --- QQQ ETF	B	Dividend			Closed	11/01/19	M	D	
22. ---TQQQ ETF	A	Dividend	L	T	Buy	09/25/19	L		
23. Vanguard IRA Account									
24. --- Vanguard Large Cap Growth Index Fund	A	Dividend	K	T	Buy (add'l)	05/22/19	J		
25. --- Vanguard Mid Cap Growth Index Fund	A	Dividend	L	T	Buy (add'l)	07/10/19	J		
26. --- Vanguard Small Cap Growth Index Fund	A	Dividend	L	T	Buy (add'l)	07/10/19	J		
27. IRA Account									
28. --- Vanguard Growth Index Fund	A	Dividend	L	T	Buy (add'l)	01/14/19	J		
29. --- Vanguard Income Index Fund	A	Dividend	L	T	Buy (add'l)	02/15/19	J		
30. Deferred Comp Plan									
31. ---Vanguard Mid Cap Index Fund	B	Dividend	N	T	Buy (add'l)	03/31/19	J		
32.					Buy (add'l)	06/30/19	J		
33.					Buy (add'l)	09/30/19	J		
34.					Buy (add'l)	12/31/19	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		

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35. ---Vanguard Small Cap Index Fund	B	Dividend	N	T	Buy (add'l)	03/31/19	J		
36.					Buy (add'l)	06/30/19	J		
37.					Buy (add'l)	09/30/19	J		
38.					Buy (add'l)	12/31/19	J		
39. Wells Fargo Checking Account #1	A	Interest	J	T					
40. Wells Fargo Checking Account #2	A	Interest	J	T					
41. Wells Fargo Checking Account #3	A	Interest	J	T					
42. Wells Fargo Savings Account #1	A	Interest	J	T					
43. Wells Fargo Savings Account #2	A	Interest	J	T					
44. Vanguard Investment Account									
45. --- Vanguard Mid Cap Index Fund	B	Dividend	M	T	Buy (add'l)	06/10/19	J		
46. --- Vanguard Small Cap Index Fund	B	Dividend	M	T	Buy (add'l)	03/04/19	J		
47. --- Vanguard International Dividend Index Fund	B	Dividend	L	T	Buy (add'l)	01/04/19	J		
48. --- Vanguard Large Cap Index Fund	B	Dividend	L	T	Buy (add'l)	08/09/19	J		
49.									

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

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

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IX. CERTIFICATION.

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

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

Signature: S/ **WILLIAM J. MARTINEZ**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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