

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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

1. Person Reporting (last name, first, middle initial) Herrera, Judith C.	2. Court or Organization U.S. District Court, NM	3. Date of Report 05/11/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address United States District Court 333 Lomas Blvd., NW Albuquerque, NM 87102		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*DATESOURCE AND TYPEINCOME
(yours, not spouse's)

1. _____

2. _____

3. _____

4. _____

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*DATESOURCE AND TYPE

1. _____

2. _____

3. _____

4. _____

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

1. _____

2. _____

3. _____

4. _____

5. _____

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.			
2.			
3.			
4.			
5.			

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Bank of America 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	G	Rent	P1	Q					
4. Family Partnership #1 (now an LLC) Santa Fe, NM		None	P1	W					
5.									
6. NW Mutual Life Ins [REDACTED]		None			Closed	01/30/18	L		
7. NW Mutual Life Ins [REDACTED]		None			Closed	01/30/18	L		
8. NW Mutual Life Ins [REDACTED]		None			Closed	01/30/18	L		
9. NW Mutual Life Ins [REDACTED]		None			Closed	01/30/18	L		
10.									
11. NW Mutual Variable Extra Ordinary Life [REDACTED]		None			Closed	01/30/18	K		
12. NW Mutual Variable Extra Ordinary Life [REDACTED]		None			Closed	01/30/18	K		
13. NW Mutual Variable Extra Ordinary Life [REDACTED]		None			Closed	01/30/18	K		
14.									
15.									
16. Charles Schwab account (H)			N	T					
17. Alphabet Inc.		None	K	T					

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

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18. Amazon.Com Inc		None	K	T					
19. Anthem Inc	A	Dividend			Sold	05/11/18	J		
20.					Buy	01/30/18	J		
21.					Buy (add'l)	02/02/18	J		
22. Apple Inc	A	Dividend	J	T					
23. Applied Materials	A	Dividend	K	T					
24. Ark Innovation ETF	A	Distribution	J	T					
25. Ark Web X.0 ETF	A	Dividend	J	T					
26. Bancorp Inc		None			Sold	07/09/18	J		
27.					Buy	01/26/18	J		
28. Boeing	A	Dividend			Sold	07/09/18	J		
29.					Buy	03/08/18	J		
30. Broadcom Inc	B	Dividend	K	T					
31. Concert Pharmaceuticals		None			Sold	05/16/18	J		
32.					Buy	01/12/18	J		
33. Diodes Inc		None	J	T					
34.									

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35. Dominion RSCS Blek Warrior Unt		None			Sold	01/23/18	J		
36.					Buy	01/16/18	J		
37. DXC Technology Com	A	Dividend			Sold	05/23/18	J	A	
38. Electro Scientific		None			Sold	05/16/18	J		
39. Enanta Pharmaceutl		None			Sold	10/19/18	J		
40.					Buy	06/06/18	J		
41. Entegris	A	Dividend			Sold	10/19/18	J		
42.					Buy	01/05/18	J		
43.					Buy	02/02/18	J		
44. First Solar Inc		None			Sold	06/06/18	J		
45.					Buy (add'l)	01/30/18	J		
46. Intuitive Surgical		None	J	T					
47. Kronos Worldwide Inc	A	Dividend			Sold	03/16/18	J		
48.					Buy	02/02/18	J		
49. Lam Research Corp	A	Dividend	K	T					
50. Lantheus Holdings Inc		None			Sold	03/08/18	J		
51.					Buy	02/02/18	J		

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52. Mellanox Techs Ltd		None	J	T					
53. Micron Technology		None	K	T					
54. MKS Instruments Inc	A	Dividend	J	T	Buy (add'l)	05/14/18	J		
55.					Buy (add'l)	03/16/18	J		
56.					Buy	02/02/18	J		
57. Myriad Genetics Inc		None			Sold	01/31/18	J		
58.					Buy	01/30/18	J		
59. NACCO Inds Inc	A	Dividend			Sold	03/29/18	J		
60.					Buy	02/02/18	J		
61. Nekar Therapeutics		None			Sold	05/16/18	J		
62.					Buy	02/02/18	J		
63. Netflix Inc		None			Sold	12/28/18	J		
64.					Buy	03/08/18	J		
65. Nvidia Corp	A	Dividend			Sold	12/28/18	J		
66.					Buy (add'l)	05/16/18	J		
67. ON Semiconductor Co		None			Sold	05/23/18	J	A	
68.					Buy (add'l)	02/01/18	J		

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69. Opiant Pharmaceuticals		None			Sold	01/23/18	J		
70. PBF Energy Inc	A	Dividend	J	T					
71. Softbank GRP Corp		None			Sold	05/14/18	J		
72.					Buy	01/29/18	J		
73. Tower Semiconductor		None			Sold	03/16/18	J		
74.					Buy (add'l)	01/24/18	J		
75. Triton International Ltd		None			Sold	03/08/18	J		
76.					Buy (add'l)	01/23/18	J		
77. TTM Technologies Inc		None	K	T					
78. Ultra Clean Hldgs		None			Sold	03/08/18	J		
79.					Buy	01/29/18	J		
80.					Buy (add'l)	02/01/18	J		
81. Vishay Precision Grp		None	J	T					
82.									
83.									
84. Charles Schwab IRA Account #1 (H)			N	T					
85. Advisor Shares Dorsey Wright ADR ETF	A	Dividend			Sold	05/30/18	K		

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86.					Buy	01/31/18	K		
87. Amazon.Com Inc		None	J	T	Buy	10/19/18	J		
88. Apple Inc	A	Dividend	J	T	Buy	10/19/18	J		
89. Ark Innovation ETF ARKK	A	Distribution	K	T	Buy	01/31/18	K		
90.					Buy (add'l)	03/12/18	J		
91.					Buy (add'l)	05/24/18	J		
92. Ark Web X.0 ETF ARKW	C	Distribution	K	T	Buy	01/31/18	K		
93.					Buy (add'l)	03/16/18	J		
94. EMQQ Emrg Mkt Intrnt		None			Sold	05/16/18	J		
95.					Buy	01/31/18	J		
96. Enanta Pharmaceutl		None			Sold	10/19/18	J		
97.					Buy	05/30/18	J		
98. Global X Funds Social Media ETF SOCL		None			Sold	05/24/18	K		
99.					Buy	03/16/18	J		
100.					Buy	01/31/18	J		
101. Global X Lithium Battery Tech ETF LIT		None			Sold	03/16/18	K		
102.					Buy	01/31/18	K		

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103. Grupo Financial Galicia ADR		None			Sold	05/16/18	K		
104.					Buy	01/31/18	J		
105.					Buy (add'l)	02/02/18	J		
106. Hollyfrontier Corp	A	Dividend	J	T					
107. Intel Corp		None			Sold	06/29/18	K		
108.					Buy	05/24/18	K		
109. Invesco Dynamic Semiconductor ETF PSI		None			Sold	07/25/18	K		
110.					Buy	01/31/18	J		
111.					Buy (add'l)	03/16/18	J		
112. Invesco QQQ Trust	A	Dividend	J	T	Buy	01/31/18	K		
113. Invesco S&P Smallcap PSCH	A	Dividend	K	T	Buy	05/16/18	K		
114.					Buy (add'l)	05/24/18	J		
115.					Buy (add'l)	07/25/18	K		
116. Ishares Expanded Tech IGV	A	Dividend	K	T					
117. Ishares Global Timber Forestry ETF WOOD	A	Dividend			Sold	10/19/18	J		
118.					Buy	05/24/18	J		
119. Ishares MSCI Global Metals & Mng		None			Sold	05/25/18	J		

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120.					Buy	01/31/18	J		
121. Ishares MSCI India Smallcap ETF		None			Sold	03/16/18	K		
122.					Buy	01/31/18	J		
123.					Buy (add'l)	02/02/18	J		
124. Ishares PHLX SOXX	A	Dividend	K	T					
125.									
126. PBF Energy	A	Dividend	J	T					
127. Powershares China Tech Port CQQQ		None			Sold	05/24/18	K		
128.					Buy	01/31/18	K		
129.					Buy (add'l)	02/02/18	J		
130. Service Now Inc		None	K	T	Buy	06/29/18	K		
131. Smart Global Hldgs		None	K	T	Buy	05/25/18	J		
132.					Buy (add'l)	05/30/18	J		
133.					Buy (add'l)	06/05/18	J		
134. Vaneck Vectors Rare Earth/Strategic Metals ETF		None			Sold	05/24/18	K		
135.					Buy	01/31/18	K		
136.					Buy (add'l)	02/02/18	J		

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

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Name of Person Reporting

Herrera, Judith C.

Date of Report

05/11/2019

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. Wisdomtree Tr China CXSE		None			Sold	05/30/18	K		
138.					Buy	01/31/18	K		
139.					Buy (add'l)	02/02/18	J		
140. Wisdomtree Emerging Markets XSOE		None			Sold	05/16/18	J		
141.					Buy	01/31/18	J		
142.									
143.									
144. Charles Schwab IRA Account #2 (H)			L	T					
145. Adobe Inc		None	J	T	Buy	03/29/18	J		
146.					Buy (add'l)	06/20/18	J		
147. Air France KLM		None			Sold	03/08/18	J		
148.					Buy	01/31/18	J		
149. Alibaba Group Holding		None			Sold	07/11/18	J		
150.					Buy	01/31/18	J		
151. Anthem Inc	A	Dividend			Sold	03/20/18	J		
152.					Buy	01/31/18	J		
153. Deutsche Lufthansa ADR		None			Sold	03/21/18	J		

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

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Name of Person Reporting

Herrera, Judith C.

Date of Report

05/11/2019

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154.					Buy	01/31/18	J		
155. First Solar Inc		None			Sold	06/06/18	J		
156.					Buy	05/16/18	J		
157. Hollyfrontier Corp	A	Dividend	J	T					
158. Huntsman Corporation		None			Sold	03/16/18	J		
159.					Buy	01/31/18	J		
160. Infineon Tech AG ADR	A	Dividend			Sold	05/18/18	J		
161.					Buy	01/31/18	J		
162. Intel Corp		None			Sold	07/27/18	J		
163.					Buy	05/16/18	J		
164. Kraton Corporation		None			Sold	05/16/18	J		
165.					Buy	01/31/18	J		
166. Kronos Corporation	A	Dividend			Sold	03/08/18	J		
167.					Buy	01/31/18	J		
168. Mammoth Energy Services TUSK	A	Dividend	J	T	Buy	06/06/18	J		
169. Mellanox Techs Ltd		None	J	T	Buy	10/02/18	J		
170. Micron Technology		None	J	T	Buy	03/16/18	J		

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

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Name of Person Reporting

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Date of Report

05/11/2019

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171.					Buy (add'l)	03/20/18	J		
172. Microsoft Corp	A	Dividend	J	T	Buy	03/08/18	J		
173. MKS Instruments Inc	A	Dividend	J	T	Buy	01/31/18	J		
174.					Buy (add'l)	03/08/18	J		
175.					Buy (add'l)	03/16/18	J		
176. Myriad Genetics Inc		None			Sold	01/31/18	J		
177.					Buy	01/31/18	J		
178. NACCO Inds Inc	A	Dividend			Sold	03/29/18	J		
179.					Buy	01/31/18	J		
180.					Buy (add'l)	03/16/18	J		
181. Nektar Therapeutics		None			Sold	05/16/18	J		
182.					Buy	03/21/18	J		
183. Netflix Inc		None	J	T	Buy	03/08/18	J		
184. Novanta Inc		None	J	T	Buy	01/31/18	J		
185. Penn National Gaming		None			Sold	03/08/18	J		
186.					Buy	01/31/18	J		
187. Skywest Inc	A	Dividend			Sold	06/20/18	J		

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

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Name of Person Reporting

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05/11/2019

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188.					Buy	01/31/18	J		
189. Syntel Inc		None			Sold	07/23/18	J		
190.					Buy	06/21/18	J		
191.					Buy (add'l)	07/11/18	J		
192. Systemax Inc	A	Dividend			Sold	04/18/18	J		
193.					Buy	01/31/18	J		
194.					Buy (add'l)	02/01/18	J		
195. Teleflex Incorporate		None			Sold	03/16/18	J		
196.					Buy	01/31/18	J		
197. Teradyne Incorporate		None			Sold	05/16/18	J		
198.					Buy	01/31/18	J		
199. Textainer Group Hldg		None			Sold	03/08/18	J		
200.					Buy	01/31/18	J		
201. US Steel	A	Dividend			Sold	10/02/18	J		
202.					Buy	07/27/18	J		
203. Vishay Precision Group		None	K	T	Buy	01/31/18	J		
204.					Buy (add'l)	03/09/18	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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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
205.					Buy (add'l)	05/16/18	J		
206.					Buy (add'l)	06/20/18	J		
207.					Buy (add'l)	07/23/18	J		
208. Westlake Chemical Co	A	Dividend			Sold	06/20/18	J		
209.					Buy	01/31/18	J		
210.									
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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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	(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)
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1. Income Gain Codes: (See Columns B1 and D4)	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	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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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.)

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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)

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

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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)

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

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

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

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

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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.)*

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

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IX. CERTIFICATION.

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

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

Signature: **s/ Judith C. Herrera**

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

Committee on Financial Disclosure
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