

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 09/04/2018
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 01/01/2017 to 12/31/2017
7. Chambers or Office Address United States District Court 333 Lomas Blvd., NW #710 Albuquerque, NM 87102		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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

1. _____

2. _____

3. _____

4. _____

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

1. _____

2. _____

3. _____

4. _____

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

1. _____

2. _____

3. _____

4. _____

5. _____

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

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

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

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Zions Bank	Rental Property #1	None
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	N	T					
2. Bank of America Building account (X)	A	Interest	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		None	P1	W					
5.									
6.									
7. NW Mutual Life Ins [REDACTED]	B	Dividend	K	T					
8. NW Mutual Life Ins [REDACTED]	C	Dividend	L	T					
9. NW Mutual Life Ins [REDACTED]	C	Dividend	L	T					
10. NW Mutual Life Ins [REDACTED]	C	Dividend	L	T					
11.									
12. NW Mutual Variable Extra Ordinary Life [REDACTED]	B	Dividend	L	T					
13. NW Mutual Variable Extra Ordinary Life [REDACTED]	B	Dividend	L	T					
14. NW Mutual Variable Extra Ordinary Life [REDACTED]	B	Dividend	K	T					
15.									
16. Aetna Inc	A	Dividend			Sold	02/14/17	J	B	
17. Amazon		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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	(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. Applied Materials	A	Dividend	K	T	Buy (add'l)	07/12/17	J		
19.									
20. Ark Innovation ETF	A	Dividend	J	T	Buy	12/19/17	J		
21. Ark Web X.0 ETF	A	Dividend	J	T	Buy	12/19/17	J		
22. Broadcom LTD F	A	Dividend	K	T	Buy (add'l)	06/06/17	J		
23. Calithera Bioscience		None			Sold	09/15/17	J		
24.					Buy	07/14/17	J		
25.					Buy	07/13/17	J		
26.					Buy	06/29/17	J		
27. Diodes Incorporated		None	J	T	Buy	11/29/17	J		
28. DXC Technology COM		None	J	T	Buy	11/29/17	J		
29. Electro Scientific		None	J	T	Buy	11/29/17	J		
30. First Solar Inc		None	J	T	Buy	11/29/17	J		
31. Kemet Corporation		None			Sold	11/28/17	J		
32.					Buy	10/11/17	J		
33.					Buy	09/14/17	J		
34. Lam Research Corp	A	Dividend	K	T	Buy	02/14/17	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		
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35. ON semiconductor Co		None	J	T	Buy	11/29/17	J		
36. Micron Technology		None	J	T	Buy	12/19/17	J		
37.					Sold	07/13/17	J	A	
38.					Buy	06/29/17	J		
39. Nvidia Corp	A	Dividend	J	T	Buy	09/15/17	J		
40. Opiant Pharmaceutical		None	J	T	Buy	12/20/17	J		
41. Synthetic Biologics		None			Sold	11/28/17	J	B	
42.					Buy	07/13/17	J		
43. Tesoro Corporation		None			Sold	02/02/17	J	A	
44. Tower Semiconductor		None	J	T	Buy	12/19/17	J		
45. Triton International Ltd		None	J	T	Buy	12/19/17	J		
46. TTM Technologies		None	K	T	Buy (add'l)	02/02/17	J		
47.									

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

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

Part VII, Line 17. The Amazon stock was inadvertently left off of the 2016 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/ 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
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