AO 10*
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

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)	2. Court or Organization	3. Date of Report
Herrera, Judith C.	U.S District Court, NM	12/09/2023
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
Senior Status District Judge	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2022 **to** 12/31/2022
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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☑ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

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
1.		
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

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

Name of Person Reporting	Date of Report
Herrera, Judith C.	12/09/2023

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	
1. Bank of Ameerica Cash Account	A	Interest	O	T					
2. Bank of America household account		None	K	T					
3. Rental Property #1 Santa Fe, NM Purchased 3/30/94	D	Rent			Sold	04/01/22	P1	G	
4. [redacted] Partnership #1 (now an LLC) Santa Fe, NM		None	O	W					
5.									
6. CHARLES SCHWAB [redacted] ACCOUNT (H)									
7. -ACM Research Inc		None			Sold	03/11/22	K		
8.									
9. -Advanced Micro Devices		None	K	T	Sold (part)	11/02/22	J	A	
10.									
11. -Albemarle	A	Dividend			Sold	10/17/22	J		
12.									
13. -Alcoa	A	Dividend			Sold	08/02/22	K		
14.					Buy (add'l)	04/21/22	J		
15.					Buy (add'l)	04/21/22	J		
16.					Buy (add'l)	04/07/22	J		
17.					Buy	03/14/22	J		

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

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

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18. -Alphabet		None	K	T	Buy (add'l)	04/27/22	J		
19.					Buy (add'l)	04/26/22	J		
20.					Buy (add'l)	04/22/22	J		
21.					Buy	04/19/22	J		
22.									
23. -Amazon.com Inc		None	J	T	Buy (add'l)	03/10/22	J		
24.									
25. -Antero Resources		None	K	T	Buy (add'l)	04/22/22	J		
26.					Buy (add'l)	04/11/22	J		
27.					Buy (add'l)	03/03/22	J		
28. -Apple Inc	A	Dividend	J	T					
29.									
30. -Applied Materials	A	Dividend			Sold	03/14/22	J		
31.									
32. -Atkore Inc		None	K	T					
33.									
34. - Holdings		None	J	T					

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35.									
36. -Axcelis Technologies		None	J	T	Buy (add'l)	08/02/22	J		
37.									
38. -Block, Inc.		None			Sold	06/07/22	J		
39. -Braskem S A		None			Sold	03/17/22	J		
40.									
41. -Catalyst Pharma Inc		None			Sold	10/26/22	J		
42. -Cleveland-Cliffs Inc		None			Sold	08/01/22	J		
43.					Buy	04/22/22	J		
44.									
45.									
46. -DAQO New Energy Corp		None	L	T	Sold (part)	02/23/22	J		
47.									
48. -Devon Energy Corp	C	Dividend	K	T	Buy (add'l)	04/25/22	J		
49.					Buy (add'l)	04/21/22	J		
50.					Buy (add'l)	03/02/22	J		
51.									

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52. -Diamondback Energy	A	Dividend	K	T	Buy (add'l)	04/25/22	J		
53.					Buy	04/22/22	J		
54. -Diana Shipping - shares transferred to Income Account 3/17		None	J	U	Buy (add'l)	10/27/22	J		
55.					Buy (add'l)	03/14/22	J		
56.					Buy (add'l)	03/03/22	J		
57.					Buy	02/23/22	J		
58.									
59. -Docusign Inc		None			Sold	03/11/22	J		
60. -Eagle Bulk Shipping - shares transferred to Income Account line 215		None	J	U	Buy (add'l)	03/15/22	J		
61.					Buy	03/14/22	J		
62.									
63. -Enphase Energy Inc		None	M	T					
64.									
65. -EQT Corp	A	Dividend	J	T					
66. -Falcon Minerals - shares transferred to Income Account line 220		None	J	U	Buy	01/18/22	J		
67.									
68. -Ford Motor Co	A	Dividend			Sold	03/28/22	J		

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69.									
70. -Freeport-McMoran Inc	A	Dividend	J	T	Sold (part)	10/31/22	J		
71.					Sold (part)	10/27/22	J		
72.									
73.					Buy (add'l)	04/21/22	J		
74.									
75. -Genco Shipping - shares transferred to Income Account 3/16		None	J	U	Buy (add'l)	03/15/22	J		
76.					Buy	03/14/22	J		
77.									
78. -Golden Ocean Group - shares transferred to Income Account		None	J	U	Buy (add'l)	04/25/22	J		
79.					Buy (add'l)	03/14/22	J		
80.					Buy (add'l)	03/03/22	J		
81.					Buy (add'l)	02/28/22	J		
82.					Buy	01/06/22	J		
83. -Goldman Sachs Group		None			Sold	02/07/22	J		
84. -Grindrod Shipping - shares transferred to Income Account		None	J	U	Buy (add'l)	03/14/22	J		
85.					Buy (add'l)	02/28/22	J		

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86.					Buy	01/07/22	J		
87. -Hudson Technologies		None	J	T					
88. -Inotiv		None			Sold	03/24/22	J		
89.									
90. -Intellia Therapeutics		None			Sold	03/03/22	J		
91.									
92. -Lam Research Corp	A	Dividend	K	T	Buy (add'l)	04/21/22	J		
93.					Buy (add'l)	04/07/22	J		
94. -Lattice Semiconductor		None	L	T	Sold (part)	10/27/22	J	A	
95.									
96. -Lithium Americas Corp		None			Sold	09/21/22	J		
97. -Marvell Technology Inc	A	Dividend	K	T					
98.									
99. -Meta Platforms Inc		None	J	T	Buy (add'l)	08/01/22	J		
100.					Buy (add'l)	05/11/22	J		
101.					Buy (add'l)	04/27/22	J		
102.					Buy (add'l)	04/26/22	J		

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103.					Buy (add'l)	04/21/22	J		
104.					Buy	03/11/22	J		
105.									
106. -Microsoft Corp	A	Dividend	J	T					
107. -MV Oil Trust - transferred to Income Account		None	J	U	Buy (add'l)	03/14/22	J		
108.					Buy	03/11/22	J		
109.									
110. -Nanoexplore Inc		None			Sold	01/04/22	J		
111.									
112. -Nvidia Corp	A	Dividend	L	T	Buy (add'l)	04/27/22	J		
113.					Buy (add'l)	04/26/22	J		
114.					Buy (add'l)	04/11/22	J		
115.					Buy (add'l)	04/08/22	J		
116. -Occidental Petroleum Co	A	Dividend	K	T	Buy (add'l)	08/02/22	K		
117.					Buy	08/01/22	J		
118.									
119. -Olin Corp	A	Dividend			Sold	08/02/22	J		

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Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	
120.					Buy	01/03/22	J		
121. -Orchid Island Reit - shares transferred to Income Account		None	J	U	Buy	01/18/22	J		
122.									
123. -Ovintiv Inc	A	Dividend	L	T	Buy (add'l)	08/02/22	J		
124.					Buy (add'l)	05/09/22	J		
125.					Buy (add'l)	04/22/22	J		
126.					Buy (add'l)	04/18/22	J		
127.					Buy	04/06/22	J		
128.									
129. -Petroleo Brasilero - shares transferred to Income Account		None	J	U	Buy (add'l)	11/03/22	J		
130.					Buy	03/02/22	J		
131.									
132. -Proshares Crude Oil ETF OILK shares transferred to Income Account	A	Dividend	J	U	Buy (add'l)	06/09/22	J		
133.					Buy	01/18/22	J		
134. -Qorvo Inc - remainder of shares transfered to Income Account		None			Sold	01/04/22	J	B	
135. -Renewable Energy Group		None			Sold	02/28/22	J	C	
136. -Rivian Automotive Inc - transferred to Income Account		None	J	U					

1 Income Gain Codes: (See Columns B1 and D4)	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	
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000		
	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		
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Name of Person Reporting	Date of Report
Herrera, Judith C.	12/09/2023

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
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137.									
138. -Roblox Corp -		None			Sold	06/01/22	J		
139. -San Juan Basin Royalty Trust - shares transferred to Income Account		None	J	U	Buy	03/11/22	J		
140. -Sea Ltd		None			Sold	03/02/22	J		
141.					Sold (part)	01/07/22	J		
142.									
143. -Sculpture Capital Management - transferred to Income Account		None	J	U	Buy	01/18/22	J		
144.									
145. -Sigma Lithium		None	J	T	Buy	04/22/22	J		
146.									
147. -Signature Bank	A	Dividend			Sold	03/25/22	J	A	
148.									
149. -SM Energy Co	A	Dividend	K	T	Buy (add'l)	06/10/22	J		
150.					Buy (add'l)	05/09/22	J		
151.					Buy (add'l)	04/22/22	J		
152.					Buy (add'l)	04/18/22	J		
153.					Buy	03/31/22	J		

1 Income Gain Codes: (See Columns B1 and D4) — 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; 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 (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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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Name of Person Reporting	Date of Report
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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
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154. -Solaredge Tech		None	K	T	Sold (part)	11/02/22	J	A	
155.									
156.									
157. -Star Bulk Carriers - shares transferred to Income Account	A	Dividend	J	U	Buy	03/03/22	J		
158.									
159. -Steel Dynamics Inc	A	Dividend	K	T	Buy (add'l)	05/04/22	J		
160.					Buy	03/24/22	J		
161.									
162. -SVB Financial Group		None			Sold	03/14/22	J		
163.									
164. -Synaptics Inc		None			Sold	08/01/22	J		
165.									
166. -Synopsis Inc		None			Sold	01/07/22	J		
167.									
168. -Targa Resources Corp	A	Dividend	J	T	Buy (add'l)	04/11/22	J		
169.									
170. -Teck Resources Ltd		None			Sold	05/10/22	J		

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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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171.					Buy (add'l)	04/21/22	J		
172.					Buy	04/05/22	J		
173.									
174. -Tesla Inc		None	K	T	Buy (add'l)	04/26/22	J		
175.									
176. -Timkensteel Corp		None	J	T	Buy (add'l)	05/02/22	J		
177.					Buy (add'l)	04/22/22	J		
178.					Buy (add'l)	04/07/22	J		
179.					Buy	04/05/22	J		
180.									
181. -Vale SA ADR - shares transferred to Income Account		None	J	U	Buy (add'l)	03/14/22	J		
182.					Buy	01/18/22	J		
183. -VOC Energy Trust - shares transferred to Income Account		None	J	U	Buy	03/14/22	J		
184.									
185. -Veritiv Corp	A	Dividend	K	T	Buy	05/05/22	J		
186.									
187. -Zim Integrated Shipping - shares transferred to Income Account 3/22		None	J	U	Buy (add'l)	03/18/22	J		

1 Income Gain Codes: (See Columns B1 and D4)	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
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188.					Buy (add'l)	03/17/22	J		
189.					Buy (add'l)	03/14/22	J		
190.					Buy (add'l)	03/11/22	J		
191.					Buy (add'l)	02/28/22	J		
192.					Buy	01/07/22	J		
193.									
194.									
195. CHARLES SCHWAB INCOME ACCOUNT (H)									
196. -Amplify Transformational Data Sharing		None			Sold	01/19/22	J		
197.					Buy	01/13/22	J		
198.									
199. -Axcelis Technologies		None			Sold	01/25/22	J		
200.									
201. -B P Prudhoe Bay Royalty Trust	B	Dividend	J	T	Sold (part)	08/24/22	K	B	
202.					Buy (add'l)	08/05/22	J		
203.					Buy (add'l)	07/26/22	J		
204.					Buy	05/05/22	J		

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205.									
206. -Braskem S A - shares transferred to [redacted] Account		None			Buy (add'l)	02/07/22	J		
207.					Buy	01/26/22	J		
208.									
209. -Diana Shipping Inc	D	Dividend	L	T	Buy (add'l)	08/05/22	J		
210.					Buy (add'l)	04/28/22	J		
211.					Buy (add'l)	04/25/22	J		
212.					Buy (add'l)	04/12/22	J		
213.					Buy (add'l)	04/11/22	J		
214.					Buy (add'l)	04/07/22	J		
215.					Buy	04/06/22	K		
216.									
217. -Eagle Bulk Shipping	D	Dividend	K	T	Sold (part)	11/17/22	J	A	
218.					Buy (add'l)	04/25/22	J		
219.					Buy (add'l)	04/20/22	J		
220.					Buy (add'l)	04/11/22	J		
221.					Buy	04/06/22	K		

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222.									
223. -Falcon Minerals Corporation - merged into Sitio Royalties line 325	A	Dividend	K	T	Buy (add'l)	05/05/22	J		
224.					Buy (add'l)	04/29/22	J		
225.					Buy	01/27/22	J		
226.									
227. -Genco Shipping & Trading	B	Dividend	K	T	Buy (add'l)	04/25/22	J		
228.	B	Distribution			Buy (add'l)	04/20/22	J		
229.					Buy (add'l)	04/11/22	J		
230.					Buy	04/06/22	K		
231.									
232. -Golden Ocean Group	D	Dividend	K	T	Buy (add'l)	04/25/22	J		
233.					Buy (add'l)	04/20/22	J		
234.					Buy (add'l)	04/11/22	J		
235.					Buy (add'l)	04/06/22	J		
236.					Buy (add'l)	02/08/22	J		
237.					Buy (add'l)	01/28/22	J		
238.					Buy	01/25/22	J		

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239. -Green Plains Partners		None			Sold	02/22/22	J		
240.					Buy	01/26/22	J		
241.									
242. -Grindrod Shipping	E	Dividend			Sold	12/14/22	K		
243.					Sold (part)	08/17/22	J		
244.					Buy (add'l)	04/29/22	J		
245.					Buy (add'l)	04/25/22	J		
246.					Buy (add'l)	04/20/22	J		
247.					Buy (add'l)	04/06/22	J		
248.					Buy (add'l)	04/05/22	J		
249.					Buy (add'l)	03/30/22	J		
250.					Buy (add'l)	03/25/22	J		
251.					Buy (add'l)	02/15/22	J		
252.					Buy (add'l)	01/24/22	J		
253.					Buy	01/19/22	J		
254.									
255. -Icahn Enterprises		None			Sold	02/22/22	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	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
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256.					Buy (add'l)	01/27/22	J		
257.					Buy	01/18/22	J		
258. -Invesco Optimum Yield ETF		None			Sold	02/16/22	J		
259.					Buy	02/16/22	J		
260. -MV Oil Royalty Trust	D	Dividend	L	T	Buy (add'l)	05/04/22	J		
261.					Buy (add'l)	04/25/22	J		
262.					Buy (add'l)	04/14/22	J		
263.					Buy (add'l)	04/11/22	J		
264.					Buy (add'l)	04/07/22	J		
265.					Buy (add'l)	04/06/22	K		
266.					Buy (add'l)	02/07/22	J		
267.					Buy (add'l)	01/27/22	J		
268.					Buy	01/18/22	J		
269.									
270. -NIO Inc		None			Sold	02/17/22	J		
271.					Sold (part)	02/08/22	J		
272.					Sold (part)	01/25/22	J		

1 Income Gain Codes: (See Columns B1 and D4) — 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; 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 (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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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Name of Person Reporting	Date of Report
Herrera, Judith C.	12/09/2023

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	
273.									
274. -Oceanpal Inc - spinoff from Diana Shipping line 209		None	J	T		12/20/22	J		
275.									
276. -Orchid Islabd Cap	A	Distribution			Sold	02/15/22	J		
277.					Buy (add'l)	01/27/22	J		
278.					Buy (add'l)	01/13/22	J		
279.									
280. -Patroleo Brasileiro	E	Dividend	L	T	Buy (add'l)	08/05/22	J		
281.					Buy (add'l)	04/26/22	J		
282.					Buy (add'l)	04/14/22	J		
283.					Buy (add'l)	04/11/22	J		
284.					Buy (add'l)	04/07/22	J		
285.					Buy (add'l)	04/06/22	J		
286.					Buy (add'l)	02/07/22	J		
287.					Buy	01/27/22	J		
288.									
289. -Proshares Crude Oil ETF	D	Dividend	K	T	Buy (add'l)	05/03/22	J		

1 Income Gain Codes: (See Columns B1 and D4)	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
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	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	
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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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

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Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
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290.					Buy (add'l)	04/27/22	J		
291.					Buy (add'l)	04/22/22	J		
292.					Buy (add'l)	04/19/22	J		
293.					Buy (add'l)	04/18/22	J		
294.					Buy (add'l)	04/07/22	J		
295.					Buy (add'l)	04/06/22	K		
296.					Buy (add'l)	02/22/22	J		
297.					Buy (add'l)	01/27/22	J		
298.					Buy	01/13/22	J		
299.									
300. -Proshares Global Listed ETF		None			Sold	02/17/22	J		
301.					Buy	01/18/22	J		
302.					Buy	01/27/22	J		
303.									
304. -Qorvo Inc - shares transferred from [redacted] Account		None			Sold	02/07/22	J	B	
305.									
306. -Renewable Energy Group		None			Sold	01/25/22	J	C	

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	
307.									
308. -Rivian Automotive		None			Sold	02/17/22	J		
309.									
310. -San Juan Basin Royalty Trust	D	Dividend	L	T	Buy (add'l)	08/24/22	K		
311.					Buy (add'l)	05/02/22	J		
312.					Buy (add'l)	04/19/22	J		
313.					Buy (add'l)	04/11/22	J		
314.					Buy (add'l)	04/07/22	J		
315.					Buy (add'l)	04/06/22	J		
316.					Buy	02/17/22	J		
317.									
318. -Sculptor Capital Management		None			Sold	02/16/22	J		
319.					Buy (add'l)	01/25/22	J		
320.					Buy (add'l)	01/24/22	J		
321.					Buy	01/13/22	J		
322.									
323. -Sea Ltd		None			Sold	01/26/22	J		

1 Income Gain Codes: (See Columns B1 and D4)	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
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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324.									
325. -Sitio Royalties Corp - from Falcon Minerals	A	Dividend	K	T					
326.									
327. -Star Bulk Carriers	D	Dividend	K	T	Buy (add'l)	04/29/22	J		
328.					Buy (add'l)	04/28/22	J		
329.					Buy (add'l)	04/25/22	J		
330.					Buy (add'l)	04/20/22	J		
331.					Buy (add'l)	04/11/22	J		
332.					Buy (add'l)	04/06/22	K		
333.					Buy (add'l)	03/30/22	J		
334.					Buy (add'l)	02/22/22	J		
335.					Buy	01/25/22	J		
336.									
337. -SVB Financial Group		None			Sold	01/26/22	J		
338.									
339. -Vale SA		None			Sold	08/05/22	K		
340.					Sold (part)	07/26/22	J		

1 Income Gain Codes: (See Columns B1 and D4)	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
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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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341.					Buy (add'l)	05/04/22	J		
342.					Buy (add'l)	04/19/22	J		
343.					Buy (add'l)	04/18/22	J		
344.					Buy (add'l)	04/13/22	J		
345.					Buy (add'l)	04/08/22	J		
346.					Buy (add'l)	04/07/22	J		
347.					Buy (add'l)	04/06/22	J		
348.					Buy (add'l)	03/09/22	J		
349.					Buy (add'l)	02/17/22	J		
350.					Buy (add'l)	01/27/22	J		
351.					Buy	01/13/22	J		
352.									
353. -VOC Energy Royalty Trust	D	Dividend	L	T	Buy (add'l)	05/02/22	J		
354.					Buy (add'l)	04/20/22	J		
355.					Buy (add'l)	04/18/22	J		
356.					Buy (add'l)	04/14/22	J		
357.					Buy (add'l)	04/12/22	J		

1 Income Gain Codes: (See Columns B1 and D4)	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
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358.					Buy (add'l)	04/07/22	J		
359.					Buy (add'l)	02/17/22	J		
360.					Buy (add'l)	02/17/22	J		
361.					Buy (add'l)	02/08/22	J		
362.					Buy	01/28/22	J		
363.									
364. -Vodaphone		None			Sold	03/24/22	J		
365.					Buy	02/07/22	J		
366.									
367. -Zim Integrated Shipping	E	Dividend	K	T	Buy (add'l)	08/17/22	J		
368.					Buy (add'l)	04/25/22	J		
369.					Buy (add'l)	04/21/22	J		
370.					Buy (add'l)	04/14/22	J		
371.					Buy (add'l)	04/05/22	J		
372.					Buy (add'l)	03/25/22	J		
373.					Buy (add'l)	03/24/22	J		
374.					Buy (add'l)	02/17/22	J		

1 Income Gain Codes: (See Columns B1 and D4)	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
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375.					Buy (add'l)	01/28/22	J		
376.					Buy (add'l)	01/19/22	J		
377.									
378.									
379. CHARLES SCHWAB IRA ACCOUNT [redacted] (H)		None							
380. -Advanced Micro Devices		None	J	T					
381. -Advansix Inc	A	Dividend			Sold	04/26/22	J		
382.									
383. -Alcoa Corp	A	Dividend	J	T					
384.									
385. -Antero Resources		None	K	T					
386.									
387. -Apple Inc	A	Dividend	K	T					
388.									
389. -Applied Materials	A	Dividend			Sold	03/24/22	J		
390.									
391. -ASML Holdings NV	A	Dividend	K	T					

1 Income Gain Codes: (See Columns B1 and D4) — 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; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000

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392.									
393. -Atkore Inc		None			Sold	04/26/22	J		
394.									
395. -Atlanticus Holdings		None	J	T					
396.									
397. -Axcelis Technologies		None	J	T					
398. -Catalyst Pharma Inc		None	J	T					
399.									
400. -Cleveland-Cliffs		None	J	T					
401. -Conoco Phillips	A	Dividend	J	T					
402. -Continental Resource	A	Dividend			Sold	10/13/22	J	C	
403.									
404. -Crocs		None			Sold	03/02/22	J		
405.									
406. -DAQO New Energy Corp		None	K	T					
407.									
408. -Devon Energy Corp	B	Dividend	K	T					

1 Income Gain Codes: (See Columns B1 and D4) — 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; 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 (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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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Name of Person Reporting	Date of Report
Herrera, Judith C.	12/09/2023

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	
409.									
410. -Diamondback Energy	A	Dividend	J	T	Sold (part)	10/19/22	J	B	
411. -Diana Shipping	A	Dividend	J	T					
412. -Enphase Energy		None	M	T					
413. -EQT Corp		None	J	T					
414. -Ford Motor Co	A	Dividend	J	T					
415.									
416. -Fortinet Inc		None			Sold	03/25/22	K		
417.									
418. -Freeport-McMoran Inc	A	Dividend	J	T					
419. -Golden Ocean Group	A	Dividend	J	T					
420.									
421. -Grindrod Shipping	D	Dividend			Sold	11/30/22	J		
422. -Hudson Technologies		None	J	T					
423.									
424. -Inmode Ltd		None	J	T					
425.									

1 Income Gain Codes: (See Columns B1 and D4) — 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; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000

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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
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426. -Inotiv Inc		None			Sold	06/07/22	J		
427.									
428. -Intellia Therapeutics		None			Sold	03/03/22	J	A	
429.									
430. -Kulicke & Soffa	A	Dividend			Sold	03/28/22	J		
431.									
432. -Lithium Americas Corp		None			Sold	10/13/22	J		
433.									
434. -Marvell Technology Inc	A	Dividend	K	T					
435.									
436. -Microsoft Corp	A	Dividend	K	T					
437. -Nvidia Corp	A	Dividend	J	T					
438. -Occidental Petroleum Co		None	J	T					
439. -Oceanpal Inc		None	J	T					
440. -Ovintiv Incv	A	Dividend	K	T					
441.									
442. -Petroleo Brasileiro	A	Dividend	J	T					

1 Income Gain Codes: (See Columns B1 and D4) — 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; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000

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Name of Person Reporting	Date of Report
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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
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443.									
444. -Pioneer Natural Resources		None	J	T					
445.									
446. -Roblox Corp		None	J	T					
447.									
448. -Schlumberger Ltd		None	J	T					
449. -Sea Ltd		None			Sold	03/02/22	J		
450.									
451. -Signature Bank	A	Dividend			Sold	03/25/22	J		
452.									
453. -SM Energy Co	A	Dividend	J	T	Buy (add'l)	03/22/22	J		
454. -Star Bulk Carriers	A	Dividend	J	T					
455. -Summit Materials Inc		None			Sold	04/29/22	J		
456. -Surgery Partners Inc		None			Sold	06/07/22	J		
457. -Taiwan Semiconductors	A	Dividend	J	T	Buy	08/02/22	J		
458. -Targa Resources	A	Dividend	J	T					
459. -Timkensteel Corp		None	K	T	Buy	03/04/22	J		

1 Income Gain Codes: (See Columns B1 and D4) — 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; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000

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460. -Valero Energy Corp		None	J	T					
461. -Veritiv Corp	A	Dividend	L	T	Buy (add'l)	04/26/22	J		
462.									
463. -Zim Integrated Shipping	B	Dividend	J	T					
464.									
465.									
466. CHARLES SCHWAB IRA ACCOUNT #2 [redacted] (H)		None							
467. -Amazon.com Inc		None	J	T	Buy	03/16/22	J		
468.									
469. -Antero Resources		None	J	T					
470.									
471. -Apple Inc	A	Dividend	K	T					
472.									
473. -Continental Resource	A	Dividend			Sold	11/29/22	J	A	
474.									
475. -DAQO New Energy Co		None	J	T					
476.									

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477. -Devon Energy Corp	B	Dividend	K	T					
478.									
479. -Ford Motor Co	A	Dividend	J	T					
480.									
481. -Global X Lithium Battery		None			Sold	03/16/22	J		
482.									
483. -Lattice Semiconductor		None	J	T					
484.									
485. -Nvidia	A	Dividend	K	T					
486.									
487. -Ovintiv Inc	A	Dividend	J	T					
488.									
489. -Renewable Energy Group		None			Sold	03/16/22	J	A	
490.									
491. -SM Energy Co	A	Dividend	J	T					
492.									
493. -Targa Resources Corp	A	Dividend	J	T					

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494. -Teck Resources Ltd	A	Dividend	J	T	Buy	03/16/22	J		
495. -Veritiv Corp	A	Dividend	K	T	Buy (add'l)	03/16/22	J		
496.									
497.									
498.									

1 Income Gain Codes: (See Columns B1 and D4)	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

1. General Note. For our own reasons we established two Schwab non-IRA accounts (and Income) to go along with our two Schwab IRA accounts. In general, in the Account qualifying dividends are automatically reinvested. In the Income Account, most, but not all dividends, are moved automatically by Schwab into a separate bank account (cash income). For tracking purposes, during 2023 some of those stocks were moved from one account to the other. As the software doesn't seem to have a specific category for that kind of movement (these stocks were not sold, merged, distributed, etc.), in this report the transfers are noted under the names in Part VII Column A. The year end value of each of those stocks is included in the account in which they were held at year end.
These stocks transfered include:

Account to Income Account:
Diane Shipping, line 54
Eagle Bulk Shipping, line 60
Falcon Minerals, line 66
Genco Shipping, line 75
Golden Ocean Shipping, line 78
Grinrod Shipping, line 84
MV Oil Royalty Trust, line 107
Orchid Island Reir, line 121
Petroleo Brasileiro, line 129
Proshares Crude Oil ETF, line 132
Qorvo Inc, line 134
Rivian Automotive, line 136
San Juan Basin Royalty Trust, line 139
Sculpture Capital Management, line 143
Star Bulk Carriers, line 157
Vale, line 181
VOC Energy Trust, line 183
ZIM, line 187

Income Account to Account:
Braskem, l 206
3. Income Account: Falcon Minerals line 223, merged into Sitio Corp. Oceanpal, line 274, is a spinoff from Diana Shipping

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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
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544