

Financial Disclosures

Annual Report for Calendar 2016

The Honorable Thomas Udall (Udall, Tom)

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The following statements were checked before filing:

- I certify that the statements I have made on this form are true, complete and correct to the best of my knowledge and belief.
- I understand that reports cannot be edited once filed. To make corrections, I will submit an *electronic* amendment to this report.
- I omitted assets because they meet the three-part test for exemption.

Part 1. Honoraria Payments or Payments to Charity in Lieu of Honoraria

Did any individual or organization pay you or your spouse more than \$200 or donate any amount to a charity on your behalf, for an article, speech, or appearance? **No**

Part 2. Earned and Non-Investment Income

Did you or your spouse have reportable earned income or non-investment income? **Yes**

#	Who Was Paid	Type	Who Paid	Amount Paid
1	Self	Pension	Public Employees Retirement Association of New Mexico Santa Fe, NM	\$1,443.40

Part 3. Assets

Did you, your spouse, or dependent child own any asset worth more than \$1000, have a deposit account with a balance over \$5,000, or receive income of more than \$200 from an asset? **Yes**

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income</u>	
					<u>Type</u>	<u>Income</u>
1	Thomas S. & Jill Cooper Udall Revocable Trust	Trust General (Trust)	Joint			
1.1	Pacific Life Select Variable Annuity (450) <i>Provider: Pacific Life</i>	Annuity Variable Annuity	Joint			

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
1.1.1	BlackRock Equity Index	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
1.1.2	ClearBridge Large-Cap Value	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
1.1.3	Oppenheimer Main Street Core	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
1.1.4	MFS International Large-Cap	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
1.2	Pacific Life Value Variable Annuity (414) <i>Provider: Pacific Life</i>	Annuity Variable Annuity	Joint			
1.2.1	Portfolio Optimization Moderate	Mutual Funds Mutual Fund	Joint	\$500,001 - \$1,000,000	Excepted Investment Fund,	None (or less than \$201)
1.3	TransAmerica Variable Annuity <i>Provider: TransAmerica</i>	Annuity Variable Annuity	Joint			
1.3.1	TransAmerica Barrow Hanley Dividend Focused	Mutual Funds Mutual Fund	Joint	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
1.3.2	TransAmerica Jennison Growth	Mutual Funds Mutual Fund	Joint	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
1.4	FRFX - Federated Capital Reserves Fund (NASDAQ)	Mutual Funds Mutual Fund	Joint	None (or less than \$1,001)	Interest,	None (or less than \$201)

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
1.5	<u>BRK-B</u> - Berkshire Hathaway Inc. (NYSE)	Corporate Securities Stock	Joint	\$50,001 - \$100,000	None,	None (or less than \$201)
1.6	<u>GE</u> - General Electric Company (NYSE)	Corporate Securities Stock	Joint	\$50,001 - \$100,000	Dividends,	\$1,001 - \$2,500
1.7	<u>RPAI</u> - Retail Properties of America, Inc. (NYSE)	Corporate Securities Stock	Joint	\$50,001 - \$100,000	Dividends,	\$1,001 - \$2,500
1.8	<u>CAIBX</u> - American Funds Capital Inc Bldr A (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	Excepted Investment Fund,	\$2,501 - \$5,000
1.9	<u>NYVTX</u> - Davis NY Venture A (NASDAQ)	Mutual Funds Mutual Fund	Joint	None (or less than \$1,001)	Excepted Investment Fund,	\$2,501 - \$5,000
1.10	<u>FRHIX</u> - Franklin High Yield Tax-Free Inc A (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Excepted Investment Fund,	\$1,001 - \$2,500
1.11	<u>AGTHX</u> - American Funds Growth Fund of Amer A (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	Excepted Investment Fund,	\$2,501 - \$5,000
1.12	<u>ANWPX</u> - American Funds New Perspective A (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	Excepted Investment Fund,	\$2,501 - \$5,000
1.13	<u>NEWFX</u> - American Funds New World A (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	Excepted Investment Fund,	\$201 - \$1,000
1.14	<u>ESIYX</u> - Wells Fargo Advantage Intl Bond A (NASDAQ)	Mutual Funds Mutual Fund	Joint	None (or less than \$1,001)	Excepted Investment Fund,	\$201 - \$1,000

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
1.15	<u>EWEAX</u> - Wells Fargo Advantage Intrns Wld Eq A (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$100,001 - \$250,000	Excepted Investment Fund,	\$5,001 - \$15,000
1.16	Mewbourne Energy Partners 09-A <i>Company:</i> Mewbourne Oil Company (Tyler, TX) <i>Description:</i> Oil & gas	Business Entity Limited Partnership (LP)	Joint	\$15,001 - \$50,000	Excepted Investment Fund, Other, (Distribution)	None (or less than \$201) Other \$415.72
1.17	Mewbourne Energy Partners 10-A <i>Company:</i> Mewbourne Oil Company (Tyler, TX) <i>Description:</i> Oil & gas	Business Entity Limited Partnership (LP)	Joint	\$15,001 - \$50,000	Excepted Investment Fund, Other, (Distribution)	None (or less than \$201) Other \$350.33
1.18	Mewbourne Energy Partners 11-A <i>Company:</i> Mewbourne Oil Company (Tyler, TX) <i>Description:</i> Oil & gas	Business Entity Limited Partnership (LP)	Joint	\$15,001 - \$50,000	Excepted Investment Fund, Other, (Distribution)	None (or less than \$201) Other \$374.37
1.19	Mewbourne Energy Partners 12-A <i>Company:</i> Mewbourne Oil Company (Tyler, TX) <i>Description:</i> Oil & gas	Business Entity Limited Partnership (LP)	Joint	\$15,001 - \$50,000	Excepted Investment Fund, Other, (Distribution)	None (or less than \$201) Other \$682.92
1.20	Mewbourne Energy Partners 13-A <i>Company:</i> Mewbourne Oil Company (Tyler, TX) <i>Description:</i> Oil & gas	Business Entity Limited Partnership (LP)	Joint	\$15,001 - \$50,000	Excepted Investment Fund, Other, (Distribution)	None (or less than \$201) Other \$1,574.32
1.21	<u>CFWAX</u> - Calvert Global Water A (NASDAQ)	Mutual Funds Mutual Fund	Joint	None (or less than \$1,001)	Excepted Investment Fund,	None (or less than \$201)
1.22	<u>PRHAX</u> - Prudential Municipal Hi-Inc A	Mutual Funds Mutual Fund	Joint	None (or less than \$1,001)	Excepted Investment Fund,	\$201 - \$1,000

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
1.23	VMPAX - Wells Fargo Strategic Municipal Bd A	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
1.24	CTTLX - Calvert Tax-Free Responsible Impact Bd A	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
1.25	RPGXX - Davis Government Money Market F	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
1.26	EKWAX - Wells Fargo Precious Metals A	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Excepted Investment Fund,	\$201 - \$1,000
1.27	PGNAX - Prudential Jennison Natural Resources A	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Excepted Investment Fund,	\$201 - \$1,000
1.28	Cetera (Denver, CO) <i>Type: Brokerage Sweep Account,</i> <i>Filer comment: FlexInsured Account</i>	Bank Deposit	Joint	\$1,001 - \$15,000	Interest,	None (or less than \$201)
2	Tom Udall IRA	Retirement Plans IRA	Self			
2.1	CBS - CBS Corporation (NYSE)	Corporate Securities Stock	Self	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
2.2	CWGIX - American Funds Capital World G/I A (NASDAQ)	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	\$1,001 - \$2,500
2.3	KSRAX - Forward Real Estate Long/Short A (NASDAQ)	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	\$201 - \$1,000

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
3	Jill Cooper SEP	Retirement Plans IRA	Spouse			
3.1	<u>AWPAX</u> - AllianceBern Intl Growth A (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
3.2	<u>NYVTX</u> - Davis NY Venture A (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund, Other, (Distribution)	\$1,001 - \$2,500 Other \$6,884.00
3.3	<u>SMCWX</u> - American Funds SMALLCAP World A (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	\$201 - \$1,000
3.4	<u>AEPGX</u> - American Funds EuroPacific Gr A (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	\$201 - \$1,000
3.5	<u>MORE</u> - Monogram Residential Trust, Inc. (NYSE)	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
4	Jill Cooper American Funds IRA	Retirement Plans IRA	Spouse			
4.1	<u>ANWPX</u> - American Funds New Perspective A (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	\$1,001 - \$2,500
4.2	<u>DWGAX</u> - American Funds Dvlpg Wld Gr&Inc A (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	\$1,001 - \$2,500
5	NM Public Employees Retirement Association	Retirement Plans Deferred Compensation	Self			

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
5.1	VINIX - Vanguard Institutional Index I (NASDAQ)	Mutual Funds Mutual Fund	Self	\$100,001 - \$250,000	Excepted Investment Fund,	\$5,001 - \$15,000
5.2	New Mexico Stable Value Fund	Mutual Funds Stable Value Fund/Unit Investment Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
6	Public Employees Retirement Association of New Mexico Pension	Retirement Plans Defined Benefit Pension Plan	Self	Unascertainable	None, Excepted Investment Fund,	None (or less than \$201)
7	Northwestern Mutual Paid Up Life Insurance <i>Provider: Northwestern Mutual</i>	Life Insurance Whole	Self	\$50,001 - \$100,000	Dividends,	\$1,001 - \$2,500
8	United States Senate Federal Credit Union (Washington, DC) <i>Type: Checking, Savings,</i>	Bank Deposit	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)

Part 4a. Periodic Transaction Report Summary

In this section, electronically filed periodic transaction report (PTR) transactions are displayed for you. Have you filed any paper-based PTRs in this period? **No**

Part 4b. Transactions

Did you, your spouse, or dependent child buy, sell, or exchange an asset that exceeded \$1,000? **Yes**

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Amount	Comment
1	Joint	<u>PRHAX</u>	Prudential Municipal Hi-Inc A	Sale (Full)	02/24/2016	\$15,001 - \$50,000	--
2	Joint	<u>PGNAX</u>	Prudential Jennison Natural Resources A	Purchase	02/24/2016	\$15,001 - \$50,000	--
3	Joint	<u>VMPAX</u>	Wells Fargo Strategic Municipal Bd A	Sale (Full)	02/24/2016	\$15,001 - \$50,000	--

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Transaction Amount	Comment
4	Joint	<u>EKWAX</u>	Wells Fargo Precious Metals A	Purchase	02/24/2016	\$15,001 - \$50,000	--
5	Joint	<u>FRFX</u>	Federated Capital Reserves Fund	Sale (Full)	04/11/2016	\$15,001 - \$50,000	--
6	Spouse	<u>NYVTX</u>	Davis NY Venture A	Sale (Partial)	09/13/2016	\$1,001 - \$15,000	--
7	Joint	<u>CFWAX</u>	Calvert Global Water A	Sale (Full)	12/28/2016	\$15,001 - \$50,000	--
8	Joint	<u>CTTLX</u>	Calvert Tax-Free Responsible Impact Bd A	Purchase	12/28/2016	\$15,001 - \$50,000	--
9	Joint	<u>ESIX</u>	Wells Fargo International Bond A	Sale (Full)	12/28/2016	\$15,001 - \$50,000	--
10	Joint	<u>VMPAX</u>	Wells Fargo Strategic Municipal Bd A	Purchase	12/28/2016	\$15,001 - \$50,000	--
11	Joint	<u>NYVTX</u>	Davis NY Venture A	Sale (Full)	12/28/2016	\$15,001 - \$50,000	--
12	Joint	<u>RPGXX</u>	Davis Government Money Market F	Purchase	12/28/2016	\$15,001 - \$50,000	--

Part 5. Gifts

Did you, your spouse, or dependent child receive any reportable gift during the reporting period? **No**

Part 6. Travel

Did you, your spouse, or dependent child receive any reportable travel or reimbursements for travel? **Yes**

#	Date(s)	Traveler(s)	Travel Type	Itinerary	Reimbursed For	Who Paid	Comment
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#	Date(s)	Traveler(s)	Travel Type	Itinerary	Reimbursed For	Who Paid	Comment
1	03/28/2016 to 04/04/2016	Self, Spouse	Privately- Sponsored	Albuquerque to Beijing, China to Nanjing, China to DC	roundtrip airfare between U.S. and China, domestic flight between Beijing and Nanjing, ground transportation in Beijing and Nanjing, lodging, meals and visa fees.	Aspen Institute Congressional Program Washington, DC	Approval forms filed with Ethics, but missed the 30 day deadline for Office of Public Records.

Part 7. Liabilities

Did you, your spouse, or dependent child have a liability worth more than \$10,000 at any time? **Yes**

#	Incurred	Debtor	Type	Points	Rate (Term)	Amount	Creditor	Comments
1	2013	Joint	Mortgage	0	3.375% (30 years)	\$250,001 - \$500,000	RoundPoint Mortgage Company Charlotte, NC	-
2	2013	Joint	Mortgage	0	3.375% (30 years)	\$250,001 - \$500,000	SunTrust Mortgage, Inc. Richmond, VA	-

Part 8. Positions

Did you hold any outside positions during the reporting period? **Yes**

#	Position Dates	Position Held	Entity	Entity Type	Comments
1	Jan 2013 to Dec 2016	Director	Environmental Law Institute Washington, DC	Nonprofit Organization	

Part 9. Agreements

Did you have any reportable agreement or arrangement with an outside entity? **Yes**

#	Date	Parties Involved	Type	Status and Terms
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#	Date	Parties Involved	Type	Status and Terms
1	Feb 1983	Public Employees Retirement Association of New Mexico Santa Fe, NM	Compensation Agreement	401(a) defined compensation pension plan as part of employment with the State of NM; ceased contributions in December 1998.
2	Dec 1992	Public Employees Retirement Association of New Mexico Santa Fe, NM	Compensation Agreement	457(b) deferred compensation plant as part of employment with the State of New Mexico; ceased contributions in December 1998.

Part 10. Compensation

If this is your first report, or you are a candidate did you receive compensation of more than \$5,000 from a single source in the two prior years? This is not my first report.

Attachments & Comments

Attachments

Document Title	Date/Time Added
Amendment Letter.pdf	05/12/2017 @ 7:02 PM

No comments added.