

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) Khalsa, Kirtan K.	2. Court or Organization United States District Court for the District of New Mexico	3. Date of Report 10/29/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Magistrate Judge (full-time)	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 Pete V. Domenici United States Courthouse 333 Lomas Blvd. 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. 2003	Kennedy & Han 401k Retirement Plan with former law firm of which I was an associate attorney, no control (rolled over into SEP-IRA effective June 2016)
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. 2017

Fine Law Firm, Salary

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.	Manzano Day School	Tuition	J
2.	Albuquerque Academy	Tuition	K
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. PruLife Custom Premier II Life Insurance Policy (2 policies)	A	Int./Div.	J	T					
2. Scholars Edge 529 Plan Age 9-11 Years Portfolio A		None	J	T					
3. Land Tract 1, Bernalillo County, NM		None	M	W					
4. Land Tract 1, Sandoval County, NM		None	J	W					
5. Land Tract 2, Sandoval County, NM		None	K	W					
6. Land Tract 3, Sandoval County, NM		None	K	W					
7. SEP-IRA									
8. - Apple Inc. Stock (AAPL)	A	Dividend	J	T					
9. - Apple Inc. Stock (AAPL)					Sold (part)	10/26/17	J	B	
10. - Apple Inc. Stock (AAPL)					Buy (add'l)	06/28/17	J		
11. - Apple Inc. Stock (APPL)					Sold (part)	02/02/17	L	D	
12. - Apple Inc. Stock (APPL)					Sold (part)	01/20/17	K	D	
13. - Amazon Com Inc. (AMZN)					Sold	10/27/17	K	C	
14. - Amazon Com Inc. (AMZN)		None			Buy	06/28/17	K		
15. - Alphabet Inc. Class A (GOOGL)					Sold	12/15/17	L	B	
16. - Alphabet Inc. Class A (GOOGL)		None			Buy	11/20/17	L		
17. - Alphabet Inc. Class A (GOOGL)					Sold	10/27/17	K	C	

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 H = \$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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☐ 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 I (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. - Alphabet Inc. Class A (GOOGL)		None			Buy (add'l)	06/30/17	K		
19. - Alphabet Inc. Class A (GOOGL)		None			Buy	06/28/17	K		
20. - Alphabet Inc. Class C (GOOG)					Sold	12/15/17	L	B	
21. - Alphabet Inc. Class C (GOOG)		None			Buy (add'l)	12/05/17	K		
22. - Alphabet Inc. Class C (GOOG)		None			Buy	11/20/17	L		
23. - Alphabet Inc. Class C (GOOG)					Sold	10/27/17	K	C	
24. - Alphabet Inc. Class C (GOOG)		None			Buy (add'l)	06/30/17	K		
25. - Alphabet Inc. Class C (GOOG)		None			Buy	06/28/17	K		
26. - Alphabet Inc. Class C (GOOG)					Sold	01/20/17	K	C	
27. - Netflix Inc. (NFLX)					Sold	10/26/17	J	C	
28. - Netflix Inc. (NFLX)		None			Buy	06/28/17	J		
29. - Alibaba Group Holding Ltd. (BABA)		None			Sold	10/30/17	K	C	
30. - Alibaba Group Holding Ltd. (BABA)					Buy (add'l)	06/30/17	J		
31. - Alibaba Group Holding Ltd. (BABA)					Buy	06/28/17	J		
32. - American Express Company (AXP)	A	Dividend			Sold	10/26/17	J	A	
33. - Orexigen Therapeutics Inc (OREX)		None	J	T					
34. - Twitter Inc. (TWTR)		None	J	T					

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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	
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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)

35. - Bravatek Solutions Inc. (ECRYD) (Y)									
36. - Ecrypt Technologies Inc. (ECRY) (Y)									
37. - Vanguard Prime Money Market Fund	B	Dividend	M	T					
38. - Vanguard Prime Money Market Fund					Buy (add'l)	12/19/17	L		
39. - Vanguard Prime Money Market Fund					Buy (add'l)	12/18/17	L		
40. - Vanguard Prime Money Market Fund					Sold (part)	12/07/17	L		
41. - Vanguard Prime Money Market Fund					Sold (part)	12/04/17	K		
42. - Vanguard Prime Money Market Fund					Sold (part)	11/22/17	M		
43. - Vanguard Prime Money Market Fund					Buy (add'l)	11/10/17	J		
44. - Vanguard Prime Money Market Fund					Buy (add'l)	11/01/17	K		
45. - Vanguard Prime Money Market Fund					Buy (add'l)	10/31/17	M		
46. - Vanguard Prime Money Market Fund					Buy (add'l)	10/30/17	K		
47. - Vanguard Prime Money Market Fund					Sold (part)	07/06/17	K		
48. - Vanguard Prime Money Market Fund					Sold (part)	07/03/17	M		
49. - Vanguard Prime Money Market Fund					Buy (add'l)	02/07/17	L		
50. - Vanguard Prime Money Market Fund					Buy (add'l)	01/25/17	L		
51. - Vanguard Target Retirement 2035 Mutual Fund	C	Dividend	M	T					

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52. Vanguard NM Unif. Transfer to Minors Account									
53. - Vanguard Prime Money Market Fund	A	Dividend	J	T					
54. - Vanguard Target Retirement 2025 Mutual Fund	A	Dividend	J	T					
55. Vanguard NM Uniform Transfer to Minors Account									
56. - Vanguard Prime Money Market	A	Dividend	J	T					
57. - Vanguard Target Retirement 2020 Mutual Fund	A	Dividend	J	T					
58. - Exone (XONE)		None	J	T					
59.									

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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/ **Kirtan K. Khalsa**

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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Washington, D.C. 20544