

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) KAY, ALAN	2. Court or Organization United States District Court, DC	3. Date of Report 05/10/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address E. Barrett Prettyman U.S. District Courthouse 333 Constitution Avenue, N.W. Chambers 2333 Washington, D.C. 20001		
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. Insert signature on last page.		

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

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Exec. Committee	Lawyers Club
2.	Director	Inwood House
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

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Name of Person Reporting

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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.)*

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 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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS 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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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	B	Interest	L	T					
2. Wells Fargo Bank	A	Interest	K	T					
3. DOJ FCU (CD)	B	Interest	M	T					
4. Pacific Life Ins. Select Exec III	D	Int./Div.	N	T					
5. Pacific Life Var.Iniv.Life Ins.	D	Int./Div.	N	T					
6. Janney Advantg. Ins Sweep(Money Mkt)	A	Interest			Closed	12/10/12	L		Transfer out see Part VIII
7. RBC Bank Deposit Program (Money Mkt)	A	Int./Div.	L	T	Open	12/10/12	L		Transfer in see Part VIII
8. EQUITIES									
9. American Tower Corp. Cl. A com		None			Sold	01/12/12	M	E	
10. American Water Wks Co. Inc. New		None			Sold	02/02/12	M	E	
11. Annaly Cap. Management Inc. Pref Rate App. Trans.		None			Sold	09/17/12	M		
12. Artesian Res. Corp. Cl. A	C	Dividend	L	T					
13. Chesapeake Energy Corp		None			Sold	05/17/12	L		
14. Cisco Systems Inc.	B	Dividend	K	T					
15. Conoco Phillips com	C	Dividend	M	T					
16. Exelon Corp	B	Dividend	K	T					
17. Exxon Mobile Corp.	B	Dividend	L	T					

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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☐ 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. General Electric Co. com	C	Distribution	M	T					
19. Gladstone Capital Corp. Ser A Noncum Var		None			Sold	09/05/12	M	A	
20. JP Morgan Chase	B	Dividend	L	T					
21. Morgan Stanley Dep Shs Rep.1/1000 Prfd Ser A Non Cum Var	D	Dividend	M	T					
22. Microsoft Corp.	B	Dividend	L	T					
23. Pfizer Inc.	C	Dividend	M	T					
24. State Street Corp.		None			Sold	09/05/12	K		
25. MUTUAL FUNDS									
26. Blackstone GSO Strategic CR Fnd SBI	A	Dividend	M	T	Buy	09/26/12	M		
27. Eaton Vance World Gwth Hlth Sci Fnd Cl.1		None			Sold	03/15/12	N	D	
28. Ivey Funds Inc. Asset Strgy Fnd Cl. 1	E	Dividend	O	T					
29. Nuveen Equity Prem Adv. Fnd		None			Sold	02/10/12	M		
30. Oppenheimer Develop. Mkts Fnd Cl. A	B	Dividend	M	T					
31. Pimco Dynamic Income Fnd	D	Dividend	M	T	Buy	05/25/12	L		
32. Pimco Fnds Pac Inv Mgmt Ser All Asset Fnd Cl. A	E	Dividend	O	T					
33. Prudential Income Strategy Fnd	D	Dividend	M	T	Buy	03/12/12	M		
34. Prudential Inv. Port Inc 10 Jennison Equity Inc. Fnd Cl. A	E	Dividend	O	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Prudential Sector Fnd Ins. Hlth Sci Fnd Cl.1		None	N	T	Buy	02/20/12	N		
36. Prudential Total Return Bond Fnd Inc. Cl. A	E	Dividend	O	T	Buy	02/20/12	N		
37. Small Cap World Fnd Inc. Cl.1		None			Sold	03/12/12	N		
38.									
39.									
40.									

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

See Part VII lines 6-7 Change of brokerage company from Janney Montgomery Scott to RBC Wealth Management resulting in a change of the money market accounts

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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/ ALAN KAY

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