

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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, KATHLEEN	2. Court or Organization WESTERN DISTRICT OF LOUISIANA	3. Date of Report 08/10/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) MAGISTRATE JUDGE FULL TIME	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address U. S. COURTHOUSE 611 BROAD STREET SUITE 209 LAKE CHARLES, LA 70601		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. PRESIDENT	SOUTHWEST LOUISIANA LSU ALUMNI ASSOC
2.	
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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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. 2016

HALLIBURTON-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. SWLA BAR ASSOCIATION 3/17/16 - 3/19/16 HOUSTON TX BENCH-BAR CONVENTION ACCOMODATIONS

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.		
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. HALLIBURTON 401 K BLENDED FUND INV 2020 RETIREMENT INVESTMENT 2020 R	C	Int./Div.	K	T					
2. HALLIBURTON 401K BOND INV STABLE VALUE STR	C	Int./Div.	O	T					
3. RENTAL PROPERTY #1 LAKE CHARLES, LA (appraised 2008)	D	Rent	L	Q					
4. FIRST NATIONAL BANK ACCOUNTS	A	Int./Div.	J	T					
5. NORTHWESTERN MUTUAL WHOLE LIFE INS POLICIES		None	K	T					
6. FIDELITY CORE (X)	A	Interest	J	T					
7. ISHARES SILVER		None	J	T	Buy	04/06/16	J		
8.					Sold	02/17/16	J	A	
9.					Sold	05/09/16	J	A	
10.					Buy	07/12/16	J		
11. ASPEN AEROGELS, INC		None			Buy	03/01/16	J		
12.					Sold	03/02/16	J	A	
13.					Buy	06/06/16	J		
14.					Sold	06/27/16	J	A	
15.					Buy	09/14/16	J		
16.					Sold	10/03/16	J	A	

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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17. BAKER HUGHES INC	A	Dividend			Sold	08/26/16	J	A	
18. BLACKBERRY LTD NPV		None	J	T	Buy	04/06/16	J		
19.					Sold (part)	10/03/16	J	A	
20. HALLIBURTON COMMON	A	Dividend	K	T	Buy	01/08/16	J		
21.					Sold (part)	02/25/16	J	A	
22.					Sold (part)	02/29/16	J	A	
23.					Sold (part)	08/26/16	J	A	
24. UNITED CONTINENTAL HLDG		None			Buy	05/03/16	J		
25.					Sold	11/22/16	J	A	
26. VALEANT PHARMACEUTICALS		None	J	T	Buy	05/11/16	J		
27.					Buy	06/10/16	J		
28. ARCHER DANIELS MIDLAND		None			Buy	06/30/16	J		
29.					Sold	08/17/16	J	A	
30. FIDELITY IRS ROLLOVER LADDER CAP CORP CL A		None	J	T	Buy	10/28/16	J		
31.					Buy	12/12/16	J		
32. FIDELITY IRA ROLLOVER OAKTREE CAP GROUP LLC	A	Dividend	J	T	Buy	10/28/16	J		
33. FIDELITY IRS ROLLOVER 3M COMPANY	A	Dividend	K	T	Buy	10/28/16	K		

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34. FIDELITY IRA ROLLOVER ASPEN AEROGELS INC		None	J	T	Buy	11/09/16	J		
35.					Buy	11/16/16	J		
36. FIDELITY IRA ROLLOVER BT GROUP ADR EACH REP		None			Buy	11/18/16	J		
37.					Sold	12/09/16	J	A	
38. FIDELITY IRA ROLLOVER VALEANT PHARMACEUTICALS		None	J	T	Buy	11/03/16	J		
39.					Buy	11/22/16	J		
40.					Buy	12/05/16	J		
41. FIDELITY IRA ROLLOVER CONSOLIDATED EDISON HLDG CO		None	J	T	Buy	11/18/16	J		
42. FIDELITY IRA ROLLOVER CHATHAM LODGING TR COM		None	J	T	Buy	12/09/16	J		
43. FIDELITY IRA ROLLOVER COHEN & STEERS INFRASTRUCTURE	A	Dividend	J	T	Buy	12/09/16	J		
44. FIDELITY IRA ROLLOVER DOUBLELINE INCOME SOLUTIONS	A	Dividend	J	T	Buy	12/09/16	J		
45. FIDELITY IRA ROLLOVER SONIC		None	J	T	Buy	12/13/16	J		
46. FIDELITY IRA ROLLOVER US BANK	A	Int./Div.	L	T	Buy	10/13/16	M		
47.									
48.									

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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/ KATHLEEN 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