

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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 02/17/2015
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 01/01/2013 to 12/10/2014
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. Sole Practitioner Attorney	Khalsa Law Office (1/1/2012 to 9/8/2014)
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 (in process of rolling over into SEP-IRA)
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2012	Khalsa Law Office Sole Practitioner Earnings	\$170,668.00
2. 2013	Khalsa Law Office Sole Practitioner Earnings	\$178,567.00
3. 2014	Khalsa Law Office Sole Practitioner Earnings (Estimated Amount)	\$120,000.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2013	[REDACTED], Salary
2. 2014	[REDACTED], Salary
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Exempt				
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.	Exempt		
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.	████████ School (2013)	Tuition	None
2.	████████ School (2014)	Tuition	None
3.	Capital One (2014)	Credit Card	J
4.	████████ Academy (2014)	Tuition	J
5.	Capital One (2013)	Credit Card	None
6.	American Express (2014)	Credit Card	None
7.	American Express (2013)	Credit Card	None
8.			

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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	Exempt				
2. Scholars Edge 529 Plan Age 9-11 Years Portfolio A		None	J	T					
3. Kennedy & Han 401k Retirement Fund (referenced in Part II)		None	J	T					
4. - Transamerica Partners Stock Index Retirement Option									
5. - Transamerica Asset Allocation - Conservative Portfolio R									
6. Land Tract 1, Bernalillo County, NM		None	M	W					
7. Land Tract 2, Bernalillo County, NM		None	M	W					
8. Land Tract 1, Sandoval County, NM		None	J	W					
9. Land Tract 2, Sandoval County, NM		None	K	W					
10. Land Tract 3, Sandoval County, NM		None	K	W					
11. SEP-IRA	D	Dividend	N	T					
12. - Cisco Systems Inc. (CSCO)									
13. - EMC Corp Mass (EMC)									
14. - Oracle Corp. (ORCL)									
15. - Yahoo Inc. (YHOO)									
16. - Walt Disney Co. (DIS)									
17. - National Oilwell Varco Inc. (NOV)									

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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18. - Merge Healthcare Inc. (MRGE)									
19. - Inergy Midstream Ltd Partnership (NRGY)									
20. - Apple Inc. Stock (AAPL)									
21. - American Electric Technologies Inc. (AETI)									
22. - Cowen Group Inc. New CL A (COWN)									
23. - Facebook Inc. CL A (FB)									
24. - Orexigen Therapeutics Inc (OREX)									
25. - Renesola Ltd. Sponsored ADR (SOL)									
26. - Inergy Ltd. Partnership (NRGY)									
27. - Makita Corp. ADR New (MKTAY)									
28. - Pfizer Inc. (PFE)									
29. - Intel Corp. (INTC)									
30. - Brightcove Inc. (BCOV)									
31. - US Ecology Inc. (ECOL)									
32. - Groupon Inc. CL A (GRPN)									
33. - Lifelock Inc. (LOCK)									
34. - Pendrell Corp (PCO)									

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35. - Vanguard Prime Money Market Fund									
36. - Whole Foods Market (WFM)									
37. - Alimera Sciences Inc. (ALIM)									
38. - Research In Motion LTD (BBRY formerly RIMM)									
39. - Merck & Company Inc. New (MRK)									
40. - VirtUSA Corp. (VRTU)									
41. - Comcast Corp Cl. A New (CMCSA)									
42. - Costco Wholesale Corp (COST)									
43. - Makita Corp ADR New (MKTAY)									
44. - Maximus Inc. (MMS)									
45. - Sector Financial Select Sector PRDR ETF (XLF)									
46. - Coinstar (CSTR)									
47. - Ecrypt Technologies Inc. (ECRY)									
48. - Amazon (AMZN)									
49. - Restoration Hardware (RH)									
50. - Netflix Inc. (NFLX)									
51. - Sandridge Energy Inc. (SD)									

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52. - Vanguard 500 Index Fund Admiral Shares Mutual Fund									
53. - Vanguard Target Retirement 2035 Mutual Fund									
54. - Windsor II Fund Inv.									
55. - Total International Stock Index Fund Investor Shares Mutual Fund									
56. - Vanguard Mid-Cap Growth Mutual Fund									
57. Vanguard NM Unif. Transfer to Minors Account	D	Dividend	J	T					
58. - Vanguard Prime Money Market									
59. - Vanguard Target Retirement 2025 Mutual Fund									
60. - SOLTA Med Inc. (SLTM)									
61. - Hawaiian Holdings Inc. (HA)									
62. - Crocs Inc. (CROX)									
63. - Xoom Corp. (XOOM)									
64. Vanguard NM Uniform Transfer to Minors Account	A	Dividend	J	T					
65. - Vanguard Prime Money Market									
66. - Vanguard Target Retirement 2020 Mutual Fund									
67. - Alimera Sciences (ALIM)									
68. - Exone (XONE)									

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69. Modrall, Sperling, Roehl, Harris & Sisk, P.A. 401k	A	Distribution							
70. - Vanguard Mid-Cap Index Fund									
71. - Vanguard 500 Index Fund									
72. - Vanguard International Growth Fund									
73. - Vanguard Total Stock Market Index Fund									
74. - Vanguard Total Bond Market Index Fund									
75. - Vanguard Prime Cap Mutual Fund									
76. - Vanguard Prime Money Market									
77.									

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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