

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 10/05/2016
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 01/01/2015 to 12/31/2015
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. 2015

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.	Albuquerque Academy	Tuition	K
2.	Manzano Day School	Tuition	J
3.	Internal Revenue Service	Income Taxes	K
4.	CapitalOne	Credit Card	K
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. Kennedy & Han 401k Retirement Fund (referenced in Part II)		None	J	T					
4. - Transamerica Partners Stock Index Retirement Option		None	J	T					
5. - Transamerica Asset Allocation - Conservative Portfolio R		None	J	T					
6. Land Tract 1, Bernalillo County, NM		None	M	W					
7. Land Tract 2, Bernalillo County, NM		None	M	W					
8.									
9. Land Tract 1, Sandoval County, NM		None	J	W					
10. Land Tract 2, Sandoval County, NM		None	K	W					
11. Land Tract 3, Sandoval County, NM		None	K	W					
12. SEP-IRA									
13. - Merge Healthcare Inc. (MRGE)		None			Sold	7/20/15	J	A	
14. - Merge Healthcare Inc. (MRGE)		None			Sold (part)	2/27/15	J		
15. - Apple Inc. Stock (AAPL)	A	Dividend	L	T	Sold (part)	7/20/15	K	D	
16. - Apple Inc. Stock (AAPL)					Buy (add'l)	8/24/15	L		
17. - Orexigen Therapeutics Inc (OREX)		None	J	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	
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. - Amazon Com Inc. (AMZN)		None	K	T	Buy	12/14/15	K		
19. - Amazon Com Inc. (AMZN)					Sold	7/24/15	K	C	
20. - Amazon Com Inc. (AMZN)					Buy (add'l)	7/23/15	J		
21. - Amazon Com Inc. (AMZN)					Buy	6/23/15	J		
22. - Apple Inc. Stock (AAPL)	B	Dividend	L	T	Buy (add'l)	8/18/15	J		
23. - Apple Inc. Stock (AAPL)					Buy (add'l)	7/28/15	J		
24. - Apple Inc. Stock (AAPL)					Buy (add'l)	7/23/15	L		
25. - Apple Inc. Stock (AAPL)					Buy (add'l)	1/6/15	J		
26. - Vanguard Prime Money Market Fund	A	Dividend	K	T	Buy (add'l)	10/12/15	K		
27. - Ecrypt Technologies Inc. (ECRY)		None	J	T					
28. -Google Inc. Class C (GOOG)		None			Buy	6/30/15	K		
29. -Google Inc. Class C (GOOG)		None			Sold	7/20/15	K	C	
30. -Google Inc. Class A (GOOGL)		None			Buy	6/30/15	K		
31. -Google Inc. Class A (GOOGL)		None			Sold	7/20/15	K	C	
32. -Netflix Inc. (NFLX)		None	J	T	Buy	7/23/15	J		
33. -Netflix Inc. (NFLX)		None			Buy (add'l)	7/28/15	J		
34. -Google Inc. Class C (GOOG)		None			Buy (add'l)	1/6/15	J		

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35. -Google Inc. Class A (GOOGL)		None			Buy (add'l)	1/6/15	J		
36. -Yahoo Inc. (YHOO)		None	J	T	Buy	6/23/15	J		
37. -Twitter Inc. (TWTR)		None	J	T	Buy	7/20/15	J		
38. -Starbucks (SBUX)		None			Buy	6/30/15	J		
39. -Starbucks (SBUX)		None			Sold	7/24/15	J	A	
40. - Sandridge Energy Inc. (SD)		None	J	T					
41. -American Express Company (AXP)	A	Dividend	J	T					
42. -Google Inc. Class C (GOOG)		None			Sold	2/27/15	K	C	
43. -Google Inc. Class A (GOOGL)		None			Sold	2/27/15	K	B	
44. - Vanguard Target Retirement 2035 Mutual Fund	C	Dividend	M	T	Buy (add'l)	11/20/15	J		
45. Vanguard NM Unif. Transfer to Minors Account									
46. - Vanguard Prime Money Market	A	Dividend	J	T					
47. - Vanguard Target Retirement 2025 Mutual Fund	A	Dividend	J	T					
48. - Hawaiian Holdings Inc. (HA)		None			Sold	7/23/15	J	A	
49. Vanguard NM Uniform Transfer to Minors Account	A	Dividend	J	T					
50. - Vanguard Prime Money Market	A	Dividend	J	T					
51. - Vanguard Target Retirement 2020 Mutual Fund	A	Dividend	J	T					

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52. - Alimera Sciences (ALIM)		None			Sold	7/23/15	J	A	
53. - Exone (XONE)		None	J	T					

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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