

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 08/08/2019
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 01/01/2018 to 12/31/2018
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.)

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.		
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.)*

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. Southwest Louisiana Bar Association	03/15/18 - 03/17/18	Houston, Texas	Conference	Hotel
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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE 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. HALLIBURTON 401 K BLENDED FUND INV 2020 RETIREMENT INVESTMENT 2020 R	D	Int./Div.	L	T					
2. HALLIBURTON 401K BOND INV STABLE VALUE STR	E	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. HALLIBURTON COMMON	A	Dividend	J	T	Sold (part)	01/16/18	J	A	
8.					Sold (part)	04/18/18	J	A	
9. OMEGA HEALTHCARE	A	Int./Div.			Sold	07/19/18	J	A	
10. MACQUARIE INFRASTRUCTURE	A	Int./Div.			Buy	05/08/18	J		
11.					Sold	06/15/18	J	A	
12. GB SCIENCES INC. COM		None			Buy	01/19/18	J		
13.					Sold	11/30/18	J	A	
14. FIDELITY IRS ROLLOVER LADDER CAP CORP CL A	B	Dividend	J	T	Sold (part)	01/19/18	J	A	
15.					Sold (part)	04/26/18	J	A	
16. FIDELITY IRA ROLLOVER TALLGRASS ENERGY PTNR LP		None			Buy	01/23/18	J		

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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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)

17.					Sold	06/13/18	J	A	
18. FIDELITY IRA ROLLOVER KEMET CORP COM NEW		None			Buy	02/13/18	J		
19.					Sold	03/01/18	J	A	
20. FIDELITY IRA ROLLOVER HANNON ARMSTRONG SUSTAINABLE INFL COM	A	Dividend	J	T	Buy	06/05/18	J		
21.					Sold (part)	10/05/18	J	A	
22. FIDELITY IRA ROLLOVER MEDICAL PPTYS TR INC	A	Dividend	J	T	Sold (part)	06/08/18	J	A	
23.					Sold (part)	11/13/18	J	A	
24. FIDELITY IRA ROLLOVER BLACKBERRY LTC		None			Sold	02/26/18	J	A	
25. FIDELITY IRA ROLLOVER ABERDEEN ASIA PACIFIC	A	Dividend			Sold (part)	05/08/18	J	A	
26.					Sold	06/04/18	J	A	
27. FIDELITY IRA ROLLOVER OAKTREE STRATEGIC INC		None			Sold	02/13/18	J	A	
28. FIDELITY IRA ROLLOVER BLACKROCK FLOATING RATE INCOME	A	Dividend			Buy	06/08/18	J		
29.					Sold	12/12/18	J	A	
30. FIDELITY IRA ROLLOVER ALLIANCEBERSTEIN GBL HGH INCM COM	A	Dividend	J	T	Buy	01/25/18	J		
31. FIDELITY IRA ROLLOVER PARK HOTELS RESORTS INC. COM	A	Dividend	J	T	Buy	09/11/18	J		
32.					Sold (part)	11/07/18	J	A	

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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	
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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33. FIDELITY IRA ROLLOVER CHICAGO BRIDGE PUT		None			Expired	01/01/18	J	A	
34. FIDELITY IRA ROLLOVER PIMCO DYN CR MRT	A	Dividend	J	T					
35. FIDELITY IRA ROLLOVER MACQUARIE INFRASTR CORP	A	Dividend	J	T	Buy	02/26/18	J		
36.					Sold (part)	07/19/18	J	A	
37.					Sold (part)	11/15/18	J	A	
38. FIDELITY IRA ROLLOVER HALLIBURTON CO	A	Dividend	J	T	Sold (part)	01/19/18	J	A	
39.					Buy (add'l)	07/26/18	J		
40.					Buy (add'l)	11/20/18	J		
41.					Buy (add'l)	12/12/18	J		
42. FIDELITY IRA ROLLOVER ASPEN AEROGELS INC		None	J	T	Sold (part)	02/01/18	J	A	
43.					Buy (add'l)	02/08/18	J		
44.					Buy (add'l)	02/28/18	J		
45.					Sold (part)	06/15/18	J	A	
46.					Sold (part)	07/18/18	J	A	
47.					Buy (add'l)	08/08/18	J		
48.					Sold (part)	09/21/18	J	A	
49.					Buy (add'l)	11/07/18	J		

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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	
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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50.					Buy (add'l)	11/20/18	J		
51.					Buy (add'l)	11/23/18	J		
52. FIDELITY IRA ROLLOVER BLACKSTONE MORT TRU	A	Dividend	J	T	Sold (part)	05/07/18	J	A	
53.					Sold (part)	07/19/18	J	A	
54. FIDELITY IRA ROLLOVER OMEGA HEALTHCARE INVS	A	Dividend	J	T	Buy (add'l)	04/13/18	J		
55.					Sold (part)	06/08/18	J	A	
56.					Sold (part)	11/13/18	J	A	
57. FIDELITY IRA ROLLOVER VALEANT PHARMACEUTICALS		None			Sold	01/19/18	J	B	
58. FIDELITY IRA ROLLOVER CHATHAM LODGING TR COM	A	Dividend			Sold (part)	02/01/18	J	A	
59.					Sold	09/11/18	J	A	
60. FIDELITY IRA ROLLOVER COLONY NORTHSTAR INC	A	Dividend			Buy (add'l)	01/23/18	J		
61.					Sold (part)	03/13/18	J	A	
62.					Sold (part)	03/28/18	J	A	
63.					Sold	11/07/18	J	A	
64. FIDELITY IRA ROLLOVER BROOKFIELD REAL ASSETS	A	Dividend			Sold (part)	11/15/18	J	A	
65.					Sold	12/12/18	J	A	
66. FIDELITY IRA ROLLOVER DOUBLELINE INCOME SOLUTIONS	A	Dividend	J	T	Buy (add'l)	05/08/18	J		

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67.					Sold (part)	10/05/18	J	A	
68. FIDELITY IRA ROLLOVER SONIC	A	Dividend			Sold	04/26/18	J	A	
69. FIDELITY IRA ROLLOVER US BANK	A	Int./Div.	J	T					
70.									
71.									

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

Part VII, Lines 1 and 2 These are employer managed retirement funds [REDACTED].

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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