

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) WEST, KIMBERLY E.	2. Court or Organization EASTERN DISTRICT OF OKLAHOMA	3. Date of Report 06/11/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. MAGISTRATE JUDGE, FT	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 P.O. BOX 2999 MUSKOGEE, OK 74402-2999		
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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WEST, KIMBERLY E.

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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. 2018

IRA

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.)*

	<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.	MERRILL LYNCH	CREDIT CARD	J
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. BANCFIRST - CHECKING ACCOUNT	A	Interest	J	T					
2. ONEOK - SAVINGS ACCOUNT	A	Interest	J	T					
3. CITIZENS BANK OF ADA - CHECKING ACCOUNT	A	Dividend	K	T					
4. BLACKROCK GLOBAL ALLOCATION FD-INSTL (MALOX)	A	Dividend	J	T					
5. EATON VANCE ATLANTA CAP SMID CAP FD I (EISMV)		None	J	T					
6. OAKMARK INTL INVESTOR CL (OAKIX)	A	Dividend	J	T					
7. OAKMARK GLOBAL SELECT FD INVESTOR (OAKWX)	A	Dividend	J	T					
8. CATALYST MILLBURN HEDGE STRTGY FD CL I (MCXIX)		None	J	T					
9. PRIMECAP ODYSSEY STOCK FUN (POSKX)	A	Dividend	K	T					
10. BOSTON PARTNERS LONG SHORT EQ INSTL (BPLSX)		None	J	T					
11. VIRTUS VONTOBEL EMERG MKTS OPPS I (HIEMX)	A	Dividend	J	T					
12. INVESCO MULTI-ASSET INCOME FUND CL Y (PIYFX)	A	Dividend	J	T					
13. LOOMIS SAYLES STRATEGIC INC Y (NEZYX)	A	Dividend	J	T					
14. INVESCO EXCHNG TRADED FD TR II S&P (XSLV)	A	Dividend	J	T					
15. POWERSHARES EXCH TRADED FD TST II	A	Dividend			Merged (with line 14)	06/04/18	J		
16. IVY ASSET STRATEGY FUN (Y)									
17.									

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 = \$250,000,001 - \$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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

PART VII INVESTMENTS AND TRUSTS:

IVY ASSET STRATEGY WAS SOLD ON 03/02/2016 AND ERRONEOUSLY INCLUDED IN 2017 FDR. CLIENT DID NOT HOLD IVY ASSET STRATEGY IN 2017 OR 2018.

SEE ATTACHED PAGES FROM FINANCIAL STATEMENT SHOWING PROOF OF SALE IN MARCH 2016.

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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/ **KIMBERLY E. WEST**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

FBO KIMBERLY E WEST

Account Number: 595-90X58

YOUR RETIREMENT ACCOUNT TRANSACTIONS**SECURITY TRANSACTIONS** (continued)

TRANSACTIONS CONDUCTED PER THE APPLICABLE WRITTEN AGREEMENT

Settlement Date	Trade Date	Description	Transaction Type	Quantity	Unit Price	Debit
		PRINCIPAL 6500.00				
		<i>Subtotal (Purchases)</i>				6,500.00
03/02	03/01	IVY ASSET STRATEGY	Sale	-302	21.1800	
		FUND CL I TRAC SHR QUANTITY .048				
		THIS SALE CONSTITUTES A REDEMPTION.				
		PER ADVISORY AGREEMENT, ML ACTED AS AGENT.				
		CUS NO 486001864 SEC NO 9MKM3 PRINCIPAL 6397.30				
		<i>Subtotal (Sales)</i>				
		TOTAL				6,500.00

REALIZED GAINS/(LOSSES)

Description	Quantity	Acquired Date	Liquidation Date	Sale Amount	Cost Basis
IVY ASSET STRATEGY FDI	223.0000	12/09/09	03/01/16	4,723.14	4,979.59
IVY ASSET STRATEGY FDI	1.0000	12/10/09	03/01/16	21.18	22.25
IVY ASSET STRATEGY FDI	1.0000	12/11/09	03/01/16	21.17	22.27
IVY ASSET STRATEGY FDI	1.0000	12/08/11	03/01/16	21.18	23.45
IVY ASSET STRATEGY FDI	3.0000	12/08/11	03/01/16	63.54	68.76
IVY ASSET STRATEGY FDI	6.0000	12/13/12	03/01/16	127.08	153.77
IVY ASSET STRATEGY FDI	1.0000	12/12/13	03/01/16	21.18	26.00
IVY ASSET STRATEGY FDI	1.0000	12/12/13	03/01/16	21.18	31.18
IVY ASSET STRATEGY FDI	1.0000	12/11/14	03/01/16	21.18	27.94
IVY ASSET STRATEGY FDI	1.0000	12/11/14	03/01/16	21.18	26.00
IVY ASSET STRATEGY FDI	44.0000	12/11/14	03/01/16	931.92	1,143.56
<i>Subtotal (Long-Term)</i>					
IVY ASSET STRATEGY FDI	1.0000	12/10/15	03/01/16	21.18	22.52
IVY ASSET STRATEGY FDI	1.0000	12/10/15	03/01/16	21.18	24.00

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FBO KIMBERLY E WEST

Account Number: 595-90X58

YOUR RETIREMENT ACCOUNT TRANSACTIONS**REALIZED GAINS/(LOSSES) (continued)**

<i>Description</i>	<i>Quantity</i>	<i>Acquired Date</i>	<i>Liquidation Date</i>	<i>Sale Amount</i>	<i>Cost Basis</i>
IVY ASSET STRATEGY FDI	.0480	12/10/15	03/01/16	1.02	1.08
IVY ASSET STRATEGY FDI	17.0000	12/10/15	03/01/16	360.07	382.67
<i>Subtotal (Short-Term)</i>					
TOTAL				6,397.38	6,955.04

⊕ Excludes transactions for which we have insufficient data

SECURITIES YOU TRANSFERRED IN/OUT

<i>Date</i>	<i>Description</i>	<i>Transaction Type</i>	<i>Quantity</i>
03/01	LOOMIS SAYLES STRATEGIC INC FD CL Y FULL SHARE ACCUM SHARE VALUE \$18.30	Journal Entry	1
	NET TOTAL		

CASH/OTHER TRANSACTIONS

<i>Date</i>	<i>Transaction Type</i>	<i>Quantity</i>	<i>Description</i>
03/03	Journal Entry		INV. ADVISORY FEE MAR
03/07	Journal Entry		MUTUAL FUND REBATE
	<i>Subtotal (Other Debits/Credits)</i>		
	NET TOTAL		

SWEEP PROGRAM TRANSACTIONS

<i>Date</i>	<i>Transaction Type</i>	<i>Quantity</i>	<i>Description</i>
03/02	Withdrawal	-102	BANK OF AMERICA NA RASP FRAC SELL .62 @ 1.00
03/04	Withdrawal	-106	BANK OF AMERICA NA RASP FRAC SELL .77 @ 1.00
03/08	Deposit	11	BANK OF AMERICA NA RASP

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