

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 05/11/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
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. Secretary	SWLA LSU Alumni Association (nonprofit)
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.

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.	K	T	Distributed (part)	06/22/19	J	C	
2. Halliburton 401 K Bond Inv Stable Value STR	E	Int./Div.	N	T	Distributed (part)	06/22/19	M	D	
3. Rental Property #1 Lake Charles, LA (appraised 2008)	D	Rent	L	Q					
4. First Ntional Bank Accounts	A	Int./Div.	K	T					
5. Northwestern Mutual Whold Life Ins Policies		None	K	T					
6. Fidelity Core (X)	A	Interest	J	T					
7. Halliburton Common	A	Dividend			Sold	04/25/19	J	A	
8. Aberdeen Asia Pacific Income FD	A	Dividend	J	T	Buy	10/03/19	J		
9. Alliancebernstein GBL HGH INCM Com	A	Dividend	J	T	Buy	10/03/19	J		
10. Arbor Rlty	A	Dividend	J	T	Buy	10/03/19	J		
11.					Buy (add'l)	10/08/19	J		
12. Chimera Invt Corp Com New		None	J	T	Buy	10/03/19	J		
13. Fidelity IRS Rollover Ladder Cap Corp CL A	B	Dividend	J	T	Buy (add'l)	01/24/19	J		
14.					Sold (part)	05/24/19	J	A	
15.					Buy (add'l)	11/13/19	J		
16. Fidelity IRA Rollover Medical PPTYS TR Inc.	A	Dividend			Sold	01/08/19	J	A	
17. Fidelity IRA Rollover Hannon Armstrong Sustainable Infl Com	A	Dividend			Sold	08/29/19	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 \$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 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)
18. Fidelity IRA Rollover Blackberry LTC		None	J	T	Buy	08/23/19	J		
19.					Buy (add'l)	09/26/19	J		
20.					Buy (add'l)	10/18/19	J		
21. Fidelity IRA Rollover Aberdeen Asia Pacific	A	Dividend	J	T	Buy	07/11/19	J		
22. Fidelity IRA Rollover Pennymac Mortgage Investment	A	Dividend	J	T	Buy	07/11/19	J		
23. Fidelity IRA Rollover Six Flags Entmt Corp New Com	A	Dividend	J	T	Buy	10/08/19	J		
24. Fidelity IRA Rollover Chimera Invt Corp Com New	A	Dividend	J	T	Buy	08/30/19	J		
25.					Buy (add'l)	12/27/19	J		
26. Fidelity IRA Rollover PIMCO DYN CR MRT	A	Dividend			Sold	03/21/19	J	A	
27. Fidelity IRA Rollover MacQuarie Infrast Corp		None			Sold	01/08/19	J	A	
28. Fidelity Allianceberstein GBL HGH INCM COM	A	Dividend	J	T	Sold (part)	06/18/19	J	A	
29.					Buy	07/11/19	J		
30.					Sold (part)	11/22/19	J	A	
31. Fidelity IRA Rollover Halliburton Co	A	Dividend	K	T	Buy	01/24/19	J		
32.					Buy (add'l)	07/11/19	J		
33.					Buy (add'l)	08/05/19	J		
34.					Buy (add'l)	08/06/19	J		

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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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35.					Buy (add'l)	08/16/19	J		
36.					Buy (add'l)	08/27/19	J		
37.					Sold (part)	09/18/19	K	A	
38.					Buy (add'l)	09/27/19	J		
39.					Buy (add'l)	10/01/19	J		
40.					Buy (add'l)	10/07/19	J		
41.					Sold (part)	12/12/19	K	B	
42. Fidelity IRA Rollover Aspen Aerogels Inc		None	J	T	Buy	01/14/19	J		
43.					Sold (part)	05/02/19	J	A	
44.					Sold (part)	05/24/19	J	A	
45.					Buy (add'l)	08/05/19	J		
46.					Sold (part)	08/23/19	J	B	
47.					Sold (part)	08/29/19	J	A	
48.					Sold (part)	10/29/19	J	B	
49. Fidelity IRA Rollover Park Hotels Resorts Inc. Com	A	Dividend	J	T	Buy	08/16/19	J		
50.					Sold (part)	10/30/19	J	A	
51.					Sold (part)	11/06/19	J	A	

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3 Value Method Codes (See Column C2)					

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52. Fidelity IRA Rollover Blackstone Mort Tru	A	Dividend			Sold	10/29/19	J	A	
53. Fidelity IRA Rollover Omega Healthcare Invs		None			Sold	01/08/19	J	A	
54. Fidelity IRA Rollover Arbor Rlty Tr Inc.	A	Dividend	J	T	Buy	09/17/19	J		
55.					Buy (add'l)	09/26/19	J		
56. Fidelity IRA Rollover McDermott International		None	J	T	Buy	09/18/19	J		
57.					Buy (add'l)	09/20/19	J		
58.					Buy (add'l)	09/23/19	J		
59.					Buy (add'l)	10/28/19	J		
60.					Sold (part)	11/06/19	J	A	
61.					Buy (add'l)	11/12/19	J		
62.					Buy (add'l)	11/13/19	J		
63.					Sold (part)	11/25/19	J	A	
64.					Sold (part)	11/27/19	J	A	
65.					Sold (part)	12/20/19	J	A	
66. Fidelity IRA Rollover Renewable Energy Group Inc. Com New		None	J	T	Buy	08/30/19	J		
67.					Sold (part)	09/18/19	J	A	
68. Fidelity IRA Rollover ISHARES Gold Trust		None			Buy	08/30/19	J		

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	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69.					Sold	09/18/19	J	A	
70. Fidelity IRA Rollover Doubleline Income Solutions	A	Dividend			Sold (part)	04/25/19	J	A	
71.					Buy	07/11/19	J		
72.					Sold	09/17/19	J	A	
73. Fidelity IRA Rollover Altria Group, Inc.		None	J	T	Buy	09/26/19	J		
74. Fidelity IRA Rollover US Bank	A	Int./Div.	L	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/ **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
Suite 2-301
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Washington, D.C. 20544