

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) Khalsa, Kirtan K.	2. Court or Organization United States District Court for the District of New Mexico	3. Date of Report 09/30/2021
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 01/01/2019 to 12/31/2019
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.		
2.		
3.		

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Name of Person Reporting

Khalsa, Kirtan K.

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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.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
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 Agreement	K
2. CapitalOne	Zero interest revolving credit loan	K
3.		
4.		
5.		

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Name of Person Reporting

Khalsa, Kirtan K.

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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)(Whole)	A	Int./Div.	J	T					
2. Scholars Edge 529 Plan Age 9-11 Years Portfolio A		None	J	T					
3. Land Tract 1, Bernalillo County, NM		None	M	W					
4. Land Tract 1, Sandoval County, NM		None	J	W					
5. Land Tract 2, Sandoval County, NM		None	K	W					
6. Land Tract 3, Sandoval County, NM		None	K	W					
7. SEP-IRA (H)									
8. - Altaba Inc. (AABA)	D	Dividend	J	T					
9. Amazon.Com Inc. (AMZN)		None			Buy	06/26/19	K		
10.					Sold	07/09/19	K	B	
11. - Apple Inc. Stock (AAPL)	B	Dividend	L	T					
12.					Buy (add'l)	02/14/19	J		
13.					Buy (add'l)	05/16/19	J		
14.					Buy (add'l)	06/05/19	J		
15.					Sold (part)	06/21/19	M	D	
16.					Sold (part)	07/09/19	L	C	
17.					Buy (add'l)	08/06/19	K		

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 M =\$100,001 - \$250,000
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	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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Name of Person Reporting

Khalsa, Kirtan K.

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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)	(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)
18.					Buy (add'l)	08/15/19	J		
19.					Buy (add'l)	11/14/19	J		
20.					Buy (add'l)	12/09/19	J		
21. - Facebook Inc. CL A (FB)		None	L	T					
22.					Buy (add'l)	06/05/19	J		
23.					Buy (add'l)	07/23/19	J		
24. - Alibaba Group Holding Ltd. (BABA)		None			Buy (add'l)	07/28/19	J		
25.					Sold	12/05/19	L	C	
26. - Netflix Inc. (NFLX)		None	L	T	Buy (add'l)	06/05/19	J		
27.					Buy (add'l)	07/23/19	J		
28. - Orexigen Therapeutics Inc (OREX) (Y)									
29. - Twitter Inc. (TWTR)		None	J	T					
30. - Bravatek Solutions Inc. (ECRYD) (Y)									
31. - Ecrypt Technologies Inc. (ECRY) (Y)									
32. - Tesla Inc. (TSLA)		None	K	T	Buy (add'l)	07/26/19	J		
33. Alphabet Inc. Class A (GOOGL)		None			Buy	06/26/19	K		
34.					Sold	07/09/19	K	A	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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Khalsa, Kirtan K.

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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)
35. Alphabet Inc. Class C (GOOG)		None			Sold	04/04/19	K	C	
36.					Buy	06/05/19	J		
37.					Sold	06/21/19	J	A	
38.		None			Buy	06/26/19	K		
39.					Sold	07/09/19	K	A	
40. - Spotify Technology SA (SPOT)		None	K	T	Buy	06/05/19	J		
41. - Vanguard Prime Money Market Fund	A	Dividend	J	T					
42.					Buy (add'l)	04/08/19	K		
43.					Sold (part)	05/13/19	J		
44.					Sold (part)	06/07/19	K		
45.					Buy (add'l)	06/25/19	M		
46.					Sold (part)	06/28/19	L		
47.					Buy (add'l)	07/11/19	M		
48.					Sold (part)	07/24/19	K		
49.					Sold (part)	07/25/19	K		
50.					Sold (part)	07/26/19	L		
51.					Sold (part)	07/29/19	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	
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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)
52.					Sold (part)	07/30/19	J		
53.					Sold (part)	08/05/19	K		
54.					Sold (part)	08/06/19	J		
55.					Sold (part)	08/08/19	K		
56.					Buy (add'l)	09/23/19	J		
57.					Buy (add'l)	12/09/19	K		
58.					Sold (part)	12/10/19	J		
59.					Sold (part)	12/11/19	J		
60.					Sold (part)	12/18/19	K		
61.					Sold (part)	12/27/19	J		
62.	- Vanguard Target Retirement 2035 Mutual Fund	B	Dividend	L	T				
63.					Buy (add'l)	04/22/19	J		
64.	- Vanguard Explorer Investor CL (VEXPX)	A	Dividend	K	T				
65.					Buy	07/23/19	J		
66.					Buy (add'l)	07/26/19	J		
67.					Buy (add'l)	12/06/19	J		
68.					Buy (add'l)	12/17/19	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
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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.)

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	(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)
69.					Buy (add'l)	12/26/19	J		
70. - Vanguard 500 Index Admiral CL (VFIAX)	A	Dividend	K	T					
71.					Buy	07/23/19	J		
72.					Buy (add'l)	07/26/19	J		
73.					Buy (add'l)	12/06/19	J		
74.					Buy (add'l)	12/09/19	J		
75.					Buy (add'l)	12/17/19	J		
76.					Buy (add'l)	12/26/19	J		
77. - Vanguard US Growth Investor CL (VWUSX)	A	Dividend	K	T					
78.					Buy	07/23/19	J		
79.					Buy (add'l)	07/26/19	J		
80.					Buy (add'l)	12/06/19	J		
81.					Buy (add'l)	12/26/19	J		
82. Vanguard NM Unif. Transfer to Minors Account (H)									
83. - Vanguard Prime Money Market	A	Dividend	J	T	Buy (add'l)	03/14/19	J		
84.					Sold (part)	03/20/19	J		
85. - Apple Inc. (AAPL)	A	Dividend	J	T	Buy (add'l)	03/18/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

Table with 2 columns: Name of Person Reporting, Date of Report. Row 1: Khalsa, Kirtan K., 09/30/2021

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.)

Table with 10 columns: A (Description of Assets), B (Income during reporting period), C (Gross value at end of reporting period), D (Transactions during reporting period), and sub-columns for each. Rows include Vanguard NM Unif. Transfer to Minors Account (H), Exone (XONE), Vanguard Prime Money Market Fund, Apple Inc. (AAPL), and others.

Table with 6 columns: 1 Income Gain Codes, 2 Value Codes, 3 Value Method Codes, and corresponding descriptions for each code (A through W).

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