

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2020**

*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 05/06/2021
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	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address P.O. BOX 2999 MUSKOGEE, OK 74402-2999		
IMPORTANT NOTES: <i>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>		

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

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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.				

Name of Person Reporting	Date of Report
WEST, KIMBERLY E.	05/06/2021

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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Name of Person Reporting

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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	M	T					
2. ONEOK - SAVINGS ACCOUNT	A	Interest	J	T					
3. CITIZENS BANK OF ADA - CHECKING ACCOUNT	A	Dividend	J	T					
4. APPLE INC (APPL)	A	Dividend	K	T	Buy	04/13/20	J		
5. APPLE INC (APPL)		None			Buy	06/18/20	J		
6. APPLE INC (APPL)		None			Buy	07/01/20	J		
7. AMAZON.COM (AMZN)		None	K	T	Buy	06/18/20	J		
8. ALLIANCE RESOURCE PARTNERS (ARLP)		None			Buy	06/18/20	J		
9. ALLIANCE RESOURCE PARTNERS (ARLP)		None			Sold	10/09/20	J		
10. BOEING CO (BA)		None	K	T	Buy	06/16/20	J		
11. VANGUARD BD INDEX INTERMED (BIV)	B	Dividend	M	T	Buy	06/18/20	L		
12. VANGUARD BD INDEX INTERMED (BIV)		None			Buy	06/16/20	L		
13. CATERPILLAR INC (CAT)	A	Dividend	K	T	Buy	08/12/20	J		
14. CHIMERA INVESTMENT CORP (CIM)	C	Dividend	L	T	Buy	06/16/20	K		
15. CHIMERA INVESTMENT CORP (CIM)		None			Buy	06/18/20	K		
16. INVESCO EXCH TRADED FD (CTCL)	A	Dividend	M	T	Buy	10/29/20	M		
17. EAGLE PT CR CO LLC (ECC)	C	Dividend	L	T	Buy	04/13/20	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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Name of Person Reporting

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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)
18. EAGLE PT CR CO LLC (ECC)		None			Buy	06/16/20	K		
19. EAGLE PT CR CO LLC (ECC)		None			Buy	06/18/20	K		
20. SPDR GOLD TR (GLD)		None	K	T	Buy	08/14/20	K		
21. GOLDMAN SACHS ETF ACTIVEBETA (GSLC)	A	Dividend	L	T	Buy	06/16/20	L		
22. JPMORGAN CHASE & CO (JPM)	A	Dividend	K	T	Buy	08/12/20	J		
23. KAYNE ANDERSON ENERGY (KYN)	B	Dividend	K	T	Buy	06/16/20	K		
24. CATALYST MILLBURN HEDGE STRTRY (MBXIX)	B	Dividend	K	T	Buy	07/22/20	K		
25. MATCH GROUP INC (MTCH)		None	K	T	Buy	08/12/20	K		
26. ONEOK INC (OKE)	A	Dividend	L	T	Buy	07/23/20	K		
27. ONEOK INC (OKE)		None			Buy	11/25/20	K		
28. INVESCO MULTI ASSET INCOME FUND (PIYFX)	C	Dividend			Buy	06/15/20	K		
29. INVESCO MULTI ASSET INCOME FUND (PIYFX)		None			Buy	06/17/20	K		
30. INVESCO MULTI ASSET INCOME FUND (PIYFX)		None			Sold	10/28/20	M		
31. RING ENERGY (REI)		None			Buy	07/23/20	J		
32. RING ENERGY (REI)		None			Sold	09/01/20	J		
33. SIBANYE STILLWATER LTD (SBSW)	A	Dividend	K	T	Buy	06/16/20	J		
34. TRUIST FINL CORM (TFC)	A	Dividend	J	T	Buy	06/16/20	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	
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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)	(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. VISA INC (V)	A	Dividend	K	T	Buy	06/18/20	J		
36. INVESCO EXCH TRADED FD TR (XSLV)	A	Dividend			Buy	06/18/20	L		
37. INVESCO EXCH TRADED FD TR (XSLV)		None			Sold	10/30/20	L		
38. BOSTON PARTNERS LONG SHORT EQ (BPLSX)		None			Sold	03/02/20	J		
39. BOSTON PARTNERS LONG SHORT EQ (BPLSX)		None			Sold	04/09/20	J		
40. EATON VANCE ATLANTA CAP (EISMV)		None	K	T					
41. VIRTUS VONTOBEL EMERG MKT (HIEMV)	A	Dividend	J	T					
42. SOUTHWEST AIRLINES (LUV)		None	J	T	Buy	07/01/20	J		
43. BLACKROCK GLOBAL ALLOCATION FD (MALOX)		None			Sold	04/09/20	K		
44. LOOMIS SAYLES STRATEGIC INC (NEZVX)	A	Dividend	J	T					
45. OKAMARK INTL INVESTOR (OAKVX)		None	J	T	Sold (part)	04/22/20	J		
46. PRIMECAP ODYSSEY STO CK FUND (POSKV)	A	Dividend	K	T					
47.									
48.									
49.									
50.									
51.									

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

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

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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)
52.									
53.									
54.									
55.									
56.									
57.									
58.									
59.									
60.									
61.									
62.									

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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/ **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
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Washington, D.C. 20544