

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) Kobayashi,, Leslie E.	2. Court or Organization USDC, District of Hawaii	3. Date of Report 01/25/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge	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 United States Courthouse 300 Ala Moana Blvd. Rm. C-423 Honolulu, Hawaii 96850		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Chair	Pu`uwai Kila (non-profit)
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 13

Name of Person Reporting

Kobayashi,, Leslie E.

Date of Report

01/25/2020

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	State of Hawaii, Judiciary - 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.				

FINANCIAL DISCLOSURE REPORT
Page 3 of 13

Name of Person Reporting	Date of Report
Kobayashi,, Leslie E.	01/25/2020

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. City Bank	Line of Credit	J
2. First Hawaiian Bank	Line of Credit	J
3. Honolulu Federal Credit Union	Line of Credit	M
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 13

Name of Person Reporting

Kobayashi,, Leslie E.

Date of Report

01/25/2020

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. IRA ROLLOVER									
2. - Morgan Stanley Bank cash account	A	Interest	K	T					
3. -Amer Beacon AHL Mngd Fut Str Y	A	Dividend	J	T	Buy	01/29/19	J		
4.					Sold (part)	04/22/19	J	A	
5.					Sold (part)	04/23/19	J	A	
6.					Sold (part)	10/09/19	J	A	
7.					Buy (add'l)	12/24/19	J		
8. -AQR Managed Futures Strategy		None			Sold	04/22/19	J	A	
9. -Blackrock Global L/S Credit I	A	Dividend	J	T	Sold (part)	04/22/19	J	A	
10.					Sold (part)	04/23/19	J	A	
11.					Sold (part)	10/09/19	J	A	
12. -Blackrock Low Dur BD Inv Inst	A	Dividend	K	T	Sold (part)	04/22/19	J	A	
13.					Buy (add'l)	04/23/19	J		
14.					Sold (part)	10/09/19	J	A	
15.					Buy (add'l)	12/24/19	J		
16. -Blackrock Alt Multi-Strat Inst	A	Dividend	J	T	Sold (part)	04/22/19	J	A	
17.	A	Distribution	J	T					

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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 13

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Kobayashi,, Leslie E.

Date of Report

01/25/2020

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18.					Sold (part)	10/09/19	J	A	
19.					Buy (add'l)	12/24/19	J		
20. -Causeway Emerging Mkts Inst	A	Dividend	K	T	Sold (part)	04/22/19	J	A	
21.					Sold (part)	04/23/19	J	A	
22.					Sold (part)	10/09/19	J	A	
23. -Center Coast MLP Focus	A	Dividend	K	T	Sold (part)	04/22/19	J	A	
24.					Sold (part)	04/23/19	J	A	
25.					Sold (part)	10/09/19	J	A	
26.					Buy (add'l)	12/24/19	J		
27. -Delaware Value Instl	A	Dividend	J	T	Sold (part)	04/22/19	J	A	
28.					Sold (part)	04/23/19	J	A	
29.					Sold (part)	10/09/19	J	A	
30.	A	Distribution	J	T					
31. -Edgewood Growth Instl		None			Sold	04/22/19	J	A	
32. -Harding Loevner Intl Eqty Inst	A	Dividend	K	T	Sold (part)	04/22/19	L	A	
33.					Sold (part)	04/23/19	J	A	
34.					Sold (part)	10/09/19	J	A	

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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)					

FINANCIAL DISCLOSURE REPORT

Page 6 of 13

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Kobayashi,, Leslie E.

Date of Report

01/25/2020

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35. -Harding Loevner Emerg Mkts Adv		None	J	T	Buy	04/23/19	J		
36.					Sold (part)	10/09/19	J	A	
37. -Hartford Midcap I		None	J	T	Sold (part)	04/22/19	J	A	
38.					Buy (add'l)	04/23/19	J		
39.					Sold (part)	10/09/19	J	A	
40.	A	Distribution	J	T					
41. -Hartford Intl Value I		None	J	T	Buy	04/23/19	J		
42.					Sold (part)	10/09/19	J	A	
43. -iShares 20+ Treasury Bond ETF	A	Dividend	P3	T	Buy	04/23/19	J		
44.					Sold (part)	10/09/19	J	A	
45.					Buy (add'l)	12/24/19	J		
46. -iShares Inc MSCI Japan ETF	A	Dividend	J	T	Sold (part)	04/22/19	J	A	
47.					Sold (part)	04/23/19	J	A	
48.					Sold (part)	10/09/19	J	A	
49. -iShares Russell 1000 GRW ETF	A	Dividend	K	T	Sold (part)	04/22/19	J	A	
50.					Sold (part)	04/23/19	J	A	
51.					Sold (part)	10/09/19	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 7 of 13

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Kobayashi,, Leslie E.

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01/25/2020

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52. -IShares Russell 1000 Value ETF	A	Dividend	J	T	Sold (part)	04/22/19	J	A	
53.					Buy	04/23/19	J		
54. -IShares Russell 2000 Value ETF	A	Dividend	J	T	Sold (part)	04/22/19	J	A	
55.					Sold (part)	10/09/19	J	A	
56. -IShares Russell 2000 Grwth ETF		None			Sold	04/23/19	J	A	
57.									
58. -IShares TIPS Bond ETF	A	Dividend	J	T	Sold (part)	04/22/19	J	A	
59.					Sold (part)	10/09/19	J	A	
60. -John Hancock Intl Growth I	A	Dividend	J	T	Sold (part)	04/22/19	J	A	
61.					Sold (part)	04/23/19	J	A	
62.					Sold (part)	10/09/19	J	A	
63. -JPMorgan Value Advantage I	A	Distribution	J	T	Sold (part)	04/22/19	J	A	
64.					Sold (part)	10/09/19	J	A	
65. -Loomis Growth Y	A	Dividend	J	T	Sold (part)	04/22/19	J	A	
66.					Buy	04/23/19	J		
67.					Sold (part)	10/09/19	J	A	
68.	A	Distribution	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 13

Name of Person Reporting

Kobayashi,, Leslie E.

Date of Report

01/25/2020

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69. -Metropolitan West Tot Ret BD	A	Dividend	J	T	Sold (part)	04/22/19	J	A	
70.					Buy (add'l)	04/23/19	J		
71.					Sold (part)	10/09/19	J	A	
72.	A	Distribution	J	T					
73. -Neuberger Instrinsic Value Inst		None			Sold	04/22/19	J	A	
74. -Oakmark International Advisor	A	Dividend	K	T	Sold (part)	04/22/19	K	A	
75.					Sold (part)	04/23/19	K	A	
76.					Sold (part)	10/09/19	J	A	
77. -PIMCO Short Term I2	A	Dividend	K	T	Sold (part)	04/22/19	J	A	
78.					Buy (add'l)	04/23/19	J		
79.					Sold (part)	10/09/19	J	A	
80.					Buy (add'l)	12/24/19	J		
81. - T Rowe Price QM US SM CP GR EQ	A	Distribution	J	T	Buy (add'l)	04/23/19	J		
82.					Sold (part)	10/09/19	J	A	
83. -Wells Fargo Special MDCP VL I	A	Distribution	J	T	Sold (part)	04/22/19	J	B	
84.					Sold (part)	04/23/19	J	A	
85.					Sold (part)	10/09/19	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	
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FINANCIAL DISCLOSURE REPORT

Page 9 of 13

Name of Person Reporting

Kobayashi,, Leslie E.

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01/25/2020

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86.	A	Distribution	J	T					
87. -Western Asset Core Plus BD I	A	Dividend	J	T	Sold (part)	04/22/19	J	A	
88.					Buy (add'l)	04/23/19	J		
89.					Sold (part)	10/09/19	J	A	
90.	A	Distribution	J	T					
91.					Buy (add'l)	12/24/19	J		
92. -Wisdom Tree Trust Japan Hedge EQ		None			Sold	04/23/19	J	A	
93. COVERDELL ESA									
94. -MSIF Growth A	A	Dividend	J	T	Buy (add'l)	03/12/19	J		
95. -Morgan Stanley Bank	A	Interest	J	T					
96. MORGAN STANLEY UTMA ACCOUNT									
97. -iShares Inc MSCI Japan ETF	A	Dividend	J	T					
98. -Vanguard Dividend Appreciation	A	Dividend	J	T					
99. -Wisdomtree TR Emerg Mkt High FD	A	Dividend	J	T					
100. -Walt Disney Co Hldg Co	A	Dividend	J	T					
101. - Morgan Stanley Bank cash account	A	Interest	J	T					
102. MORGAN STANLEY UTMA ACCOUNT 2									

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FINANCIAL DISCLOSURE REPORT

Page 10 of 13

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103. -Morgan Stanley Bank	A	Interest	J	T					
104.									
105. IRA ACCOUNT									
106. - Morgan Stanley Bank cash account	A	Interest	J	T					
107. ANNUITIES AND INSURANCE									
108. -VOYA Financial									
109. -VENERABLE Insurance and Annuity Company	A	Interest	N	T	Spinoff (from line 108)	09/30/19	N		
110. -Voya Intermediate Bond Portfolio			K	T					
111. -VY Columbia Contrarian Core Portfolio - Service									
112.					Sold	12/13/19	K	A	
113. -VY Invesco Comstock Portfolio-Service Class	A	Int./Div.	L	T					
114.					Sold	12/13/19	L	A	
115. -Voya Russell Large Cap Value Index			L	T	Buy	12/13/19			
116. -VY Morgan Stanley Global Franchise Portfolio			L	T					
117. -Voya Retirement Moderate Growth			M	T					
118. -Voya U.S. Stock Index Portfolio	A	Int./Div.	K	T	Buy	12/13/19	K		
119. COLLEGEBOUND 529 ACCOUNT									

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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)
120. -Invesco CollegeBound 2021-2022 Portfolio C					Sold	07/18/19	J	A	
121. -Invesco CollegeBound 2021-2022 Porfolio A	A	Int./Div.	J	T	Buy	07/18/19	J		
122. CASH ACCOUNTS									
123. United States Savings Bonds Series EE		None	J	T					
124. Honolulu FCU savings and checking accounts	A	Interest	J	T					
125. BASIC SECURITIES ACCOUNT									
126. -Morgan Stanley Bank	A	Interest	J	T					
127. -MS Multi Cap Growth TR A	A	Dividend	J	T					
128. -MS Insight A	A	Dividend	J	T					
129.	A	Distribution	J	T					
130. McDonald's Corp. (Common Stock)	A	Dividend	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 13

Name of Person Reporting	Date of Report
Kobayashi,, Leslie E.	01/25/2020

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

CollegeBound 529 is not self-directed.

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Kobayashi,, Leslie E.

Date of Report

01/25/2020

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/ **Leslie E. Kobayashi,**

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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One Columbus Circle, N.E.
Washington, D.C. 20544