

FINANCIAL DISCLOSURE REPORT

FINAL FILING

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) Hayes, Karen L.	2. Court or Organization Western District of Louisiana	3. Date of Report 07/27/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full-time Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final	6. Reporting Period 01/01/2020 to 02/22/2021
	5b. ☒ Amended Report	
7. Chambers or Office Address 201 Jackson Street, Monroe, Louisiana 71201		
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. Executrix	Estate of Maia Weston Luikart
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 03/31/2020	Blue Sky Yoga--yoga teacher	\$300.00
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. 02/22/2021	Hayes Harkey LLC law partnership--legal services
2. 02/22/2021	Patterson Resolution Group--mediation services
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.)

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. J P Morgan Chase Checking and savings accounts		None	L	T					
2. Lumen Technologies Inc. (fka Centurylink Inc.)	A	Dividend	J	T					
3. American Fund New Perspective Class Fund (A)	A	Dividend	J	T					
4. U.S. Bancorp	A	Dividend	K	T					
5. Exxon Mobil Corporation	A	Dividend	J	T					
6. Argent IRA Managed Asset Portfolio 4	A	Dividend	N	T					
7. Argent 401k Managed Asset Portfolio 4	A	Dividend	P1	T					
8. Wells Fargo Bank NA Cash Account		None			Closed	10/13/20	J		moved to LPL financial
9. JP Morgan Trust II Large Cap Value Fund Class A OLVAX		None	J	T					
10. JP Morgan Chase & Co JPM	B	Dividend	L	T					
11. JP Morgan Intrepid Mid Cap FD Class A PECAX	A	Dividend	J	T					
12. JP Morgan Large Cap Growth Fund CL A OLGAX	B	Dividend	K	T					
13. Wells Fargo Bank NA (cash account)	A	Interest	K	T					
14. FBT First Trust NYSE ARCA Biotechnology ETF		None	J	T					
15. IHI iShares US Medical Devices ETF	A	Dividend	J	T					
16. ICLN iShares Global Clean Energy ETF	A	Dividend	J	T					
17. XLK Sector Technology Select Sector SPDR	A	Dividend	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	

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18. XLC Select Sector Communication Services Select Sector SPDR ETF	A	Dividend	J	T					
19. First Trust Cloud Computing Index ETF SKYY	A	Dividend	J	T	Buy	11/02/20	J		
20. iShares US Aerospace & Defense ETF ITA	A	Dividend	J	T	Buy	10/26/20	J		
21. LPL Cash Account	A	Interest	J	T	Open	10/13/20	J		moved from Wells Fargo
22. Inherited Assets 2020									
23. BBH LTD Duration Cl N BBBMX (X)	A	Dividend	J	T					
24. Baird Core Plus Bond Instl CL BCOIX (X)	A	Dividend	J	T					
25. Baron Real Estate InstL Cl BREIX (X)		None	J	T					
26. Eaton Vance Floating Rate Advntg CL I EIFAX (X)	A	Dividend	J	T					
27. Income Fund of America CL I IFAFX (X)		None	J	T					
28. Altegris AACA OPPTYs Real Estate CL I RAAIX (X)		None	J	T					
29. Nuveen Preferred Secs & Income CL I NPSRX (X)	A	Dividend	J	T					
30. PGIM Total Return Bond CL Z PDBZX (X)	A	Dividend	J	T					
31. PGIM Short Term Corp Bond CL Z PIFZX (X)	A	Dividend	J	T					
32. TCW Emerging Markets Income CL I TGEIX (X)	A	Dividend	J	T					
33. Thompson Bond THOPX (X)		None	J	T					
34. Angel Oak Financials Income Instl CL ANFIX (X)	A	Dividend	J	T					

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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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	(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. Vanguard Utilities Index Admiral CL VUIAX (X)		None	J	T					
36. CVX Chevron Corp (X)		None	J	T					
37. NOK Nokia Corp Spon ADR(X)		None	J	T					
38. PG Proctor & Gamble Co (X)	A	Dividend	J	T					
39. RDS/A Roayal Dutch Shell PLC Sponsored ADR Repstg A shares (X)		None	J	T					
40. USB U S Bancorp DE New c (X)	A	Dividend	J	T					
41. VZ Verizon Communications Inc. (X)	A	Dividend	J	T					
42. RAAIX Altegris AACA OPPTYs Real Estate CL 1 (X)		None	J	T					
43. ABALX American Balanced CL A (X)		None	J	T					
44. BREIX Baron Real Estate Instl Cl (X)		None	J	T					
45. CAIBX Capital Income Builder CL A(X)		None	J	T					
46. JEMSX JP Morgan Emerging Markets Equity Cl 1 (X)		None	J	T					
47. MPEGX Morgan Stanley Instl Mid Cap Growth Cl 1 (X)		None	J	T					
48. MGGIX Morgan Stanley Instl Global Oppty Cl 1 (X)		None	J	T					
49. NBPIX Newberger Berman Large Cap Value Instl Cl (X)		None	J	T					
50. PRMTX T Rowe Price Communications & Technology Investor CL (X)		None	J	T					
51. VPU Vanguard Utilities ETF (X)		None			Sold	12/31/20	J		

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52. WAMCX Wasatch Ultra Growth Investor Cl (X)		None	J	T	Buy (add'l)	12/31/20	J		
53. XLY Consumer Discretionary Select Sector SPDR ETF ETF		None	J	T	Buy	01/04/21	J		
54. IAU iShares Gold Trust		None	J	T	Buy	01/08/21	J		
55. Inherited IRA account									
56. MFWTX MFS Global Total Return Cl A (X)		None			Sold	01/22/20	J	A	
57. NEFZX Loomis Sayles Strategic Income Cl A (X)	A	Dividend			Sold	04/21/20	J		
58. HBLCX Hartford Balanced Income Cl C (X)		None			Sold	01/24/20	J	A	
59. AUEIX AQR Large Cap Defensive Style Cl I	A	Dividend	J	T	Buy	02/25/20	J		
60. MGGIX Morgan Stanley Instl Global Oppty Cl I	A	Dividend	J	T	Buy	04/21/20	J		
61.					Buy (add'l)	06/02/20	J		
62. COTZX Colombia Acorn Thermostat Instl Cl	A	Dividend	J	T	Buy	04/21/20	J		
63. WAMCX Wasatch Ultra Growth Investor Cl	A	Dividend	J	T	Buy	06/02/20	J		
64. KRE SPDR S&P Refional Banking ETF	A	Dividend	J	T	Buy	08/11/20	J		
65. Estate Account Assets									
66. LPL Cash Account (X)		None	K	T					
67. IEMYX Invesco Emerging Markets Select Equity Cl Y (X)		None	J	T					
68. AUEIX AQR Large Cap Defensive Style Cl I (X)		None	J	T					

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69. ABALX American Balanced Cl A (X)		None	K	T					
70. BBBMX BBH LTD Duration CL N (X)		None	J	T					
71. BFOCX Berkshire Focus (X)		None	J	T					
72. SHSSX Blackrock Health Sciences OPPTY S Instl Cl (X)		None	J	T					
73. CAIBX Capital Income Builder Cl A (X)		None	K	T					
74. CVX Chevron Corp (X)		None	J	T					
75. DSEEX Doubleline Shiller Enhanced Cape Cl I (X)		None	J	T					
76. XOM Exxon Mobil Corp (X)		None	J	T					
77. IAT iShares U S Regional Banks ETF (X)		None	J	T					
78. LBFIX Clearbridge Select Cl I (X)		None	J	T					
79. CPODX Morgan Stanley Insight Cl I (X)		None	K	T					
80. PG Proctor & Gamble CO (X)		None	J	T					
81. PRMTX T Rowe Price Communications & Technology Investor CL (X)		None	J	T					
82. RDS/A Royal Dutch Shell PLC Sponsored ADR REPSTGF A Shares (X)		None	J	T					
83. XLF Sector financial Select Sector SPDR ETF (X)		None	J	T					
84. USB U S Bancorp DE (X)		None	K	T					
85. Vanguard Mid-Cap Gr Idx Admiral (X)		None	K	T					

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86.									
87.									
88.									
89.									

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

Part I., Line 1: Appointed as testamentary executrix of estate. I will not be taking a fee for this work.

Part VII., Lines 6 and 7: Argent Advisors is currently managing portfolios for Karen Hayes (Argent IRA Managed Asset Portfolio 4), and her spouse (Argent 401k Managed Asset Portfolio 4). MAP is an automated mutual fund allocation program which uses no load mutual funds to meet its investment objective. Clients can select from six different MAP portfolios based on the investor's return objectives and risk attitudes. The MAP 4 portfolio is composed of 60% stocks and 40% bonds and is normally selected by investors who are interested in total return and use income to reduce risk. Funds are not held in the clients' names, nor do the clients have individual ownership at the fund level. Fund selection is exclusively Argent Advisors' and no client has veto ability in the MAP program. The investment asset is the portfolio, not the individual assets.

Part VII., Line 8. Moved account to LPL financial

Part VII, Lines 23-54: Are all assets inherited in 2020 as a naked owner of a usufruct account (similar to a remainder from a life estate in common law terms), or as beneficiary of an IRA.

Part VII, Lines 56-58 are IRA assets inherited in 2019 and inadvertently omitted from 2020 form. Lines 59-64 are transactions within that IRA in 2020.

Part VII, Lines 65-85: Assets of Estate of which filer is Executrix, values are for filer's interest in same. Will had a 90 day survivorship clause, and no dividends or other income have been generated in the 30 days since the contingency period ended.

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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/ **Karen L. Hayes**

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