

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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, Alan C.	2. Court or Organization U.S. District Court, Hawaii	3. Date of Report 8/1/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge, Sr.	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 300 Ala Moana Blvd., C-415 Honolulu, HI 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. Insert signature on last page.		

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.	Counselor	American Inns of Court -- Hawaii
2.	Elder	Church
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.		

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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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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.)*

<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.		
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. Real Property 1, Molokai, HI (\$305,266)		None	M	S					
2. Real Property 2, Molokai, HI (\$74,200)	B	Rent	L	S					
3. Bank of Hawaii Corp. Trust (IRA&RLT) BOH funds	F	Int./Div.	P1	T					
4. Bank of Hawaii Corp. Trust (IRA&RLT) BOH funds	E	Interest	N	T					
5. no longer applicable									
6. no longer applicable									
7. ATT common stock	A	Dividend	J	T					
8. Bank of Hawaii Corp. common stock	G	Dividend	P1	T		12/12/11	M		Donees: sev. char. /
9. Bank of Hawaii accounts	D	Interest	O	T					
10. Exxon common stock	D	Dividend	N	T					
11. General Electric common stock	D	Dividend	M	T					
12. no longer applicable									
13. Verizon common stock	B	Dividend	K	T					
14. IBM common stock	A	Dividend	J	T					
15. Starwood Hotels & Resorts common stock	B	Dividend	K	T					
16. Conoco-Phillips common stock	A	Int./Div.	K	T					
17. Hawn. Electric Industries common stock	A	Dividend	J	T					

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

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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) 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. Rayonier common stock	A	Dividend	J	T					
19. Lucent Technologies common stock	A	Dividend	J	T					
20. no longer applicable									
21. ITT Industries common stock	B	Dividend	K	T	Distributed (part)	11/01/11	K		
22. Hartford Financial Services Group common stock	A	Dividend	K	T					
23. Newmont Mining comon stock	A	Dividend	J	T					
24. ProLogis common stock	A	Dividend	J	T					
25. no longer applicable									
26. Williams Company common stock	A	Dividend	J	T					
27. Delphi Corp. common stock DPH Holding Corp.	A	Dividend	J	T					
28. Comcast common stock	A	Dividend	J	T					
29. Manulife Financial Corp. common stock	A	Dividend	J	T					
30. John Hancock ordinary life insurance	A	Dividend	J	U					
31. Dept. Veterans Affairs life insurance	A	Dividend	J	U					
32. New York Life - life paid up at 85	A	Dividend	J	U					
33. Real property Kapolei, Oahu, HI (\$757,900)	E	Rent	O	S					
34. Schwab value advantage money fund & GE & (con't on line 51)	E	Int./Div.	P1	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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35. GSP Investments 1 LLC		None	M	T					
36. Duke Energy com stk(acq West Coast Energy, Inc.)	A	Dividend	J	T					
37. Alapaka LLC, gen part of APK Invest & Trust									
38. -Bank of Hawaii common stock & BOH funds	F	Int./Div.	P1	T	Distributed (part)	02/11	J		family
39. no longer applicable									
40. HFP Investments 7, LLC		None	L	T					
41. Tempest Investors, LLC		None	M	T					
42. no longer applicable									
43. Vodafone Group PLC	A	Dividend	J	T					
44. Spectra Energy Corp.	A	Dividend	J	T					
45. Honeywell Int'l Inc.	A	Dividend	J	T					
46. Host Hotels & Resorts	A	Dividend	J	T					
47. Devon Energy Corp.	A	Dividend	J	T					
48. Frontier Communications (should have been disclosed earlier)	A	Dividend	J	T					
49. ITT Exelis	A	Dividend	J	T	Spinoff (from line 21)				
50. Xylem	A	Dividend	J	T	Spinoff (from line 21)				
51. -BOH stock, cash & CAT stock -should have been added earlier									

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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/ Alan C. 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
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Washington, D.C. 20544