

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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, KATHLEEN	2. Court or Organization WESTERN DISTRICT OF LOUISIANA	3. Date of Report 05/29/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) MAGISTRATE JUDGE FULL TIME	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address U. S. COURTHOUSE 611 BROAD STREET SUITE 209 LAKE CHARLES, LA 70601		
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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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. HALLIBURTON 401 K BLENDED FUND INV 2020 RETIREMENT INVESTMENT 2020 R	D	Int./Div.	K	T	Distributed (part)	08/17/17	J	B	
2. HALLIBURTON 401K BOND INV STABLE VALUE STR	E	Int./Div.	O	T	Distributed (part)	08/17/17	K	C	
3. RENTAL PROPERTY #1 LAKE CHARLES, LA (appraised 2008)	D	Rent	L	Q					
4. FIRST NATIONAL BANK ACCOUNTS	A	Int./Div.	J	T					
5. NORTHWESTERN MUTUAL WHOLE LIFE INS POLICIES		None	K	T					
6. FIDELITY CORE (X)	A	Interest	J	T					
7. ISHARES SILVER		None			Sold	10/16/17	J	A	
8. BLACKBERRY LTD NPV		None			Sold	01/30/17	J	A	
9. HALLIBURTON COMMON	A	Dividend	J	T	Sold (part)	01/06/17	J	B	
10.					Sold (part)	05/05/17	J	B	
11.					Sold (part)	11/14/17	J	A	
12. OMEGA HEALTHCARE		None	J	T	Buy	11/28/17	J		
13. VALEANT PHARMACEUTICALS		None			Buy (add'l)	03/17/17	J		
14.					Sold (part)	03/30/17	J	A	
15.					Sold (part)	05/12/17	J	A	
16.					Sold	05/30/17	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 \$5,000,000	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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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)

17. FIDELITY IRS ROLLOVER LADDER CAP CORP CL A	B	Dividend	K	T	Buy (add'l)	01/27/17	J		
18.					Buy (add'l)	03/13/17	J		
19.					Buy (add'l)	05/22/17	J		
20.					Sold (part)	06/16/17	J	A	
21.					Buy (add'l)	07/19/17	J		
22.					Buy (add'l)	11/07/17	J		
23.					Buy (add'l)	11/15/17	J		
24.					Sold (part)	12/26/17	J	A	
25. FIDELITY IRA ROLLOVER OAKTREE CAP GROUP LLC	A	Dividend			Sold	03/10/17	J	A	
26. FIDELITY IRA ROLLOVER MEDICAL PPTYS TR INC	A	Dividend	J	T	Buy	07/21/17	J		
27. FIDELITY IRA ROLLOVER BLACKBERRY LTC		None	J	T	Buy	06/28/17	J		
28. FIDELITY IRA ROLLOVER ABERDEEN ASIA PACIFIC	A	Dividend	J	T	Buy	02/14/17	J		
29. FIDELITY IRA ROLLOVER OAKTREE STRATEGIC INC	A	Dividend	J	T	Buy	02/14/17	J		
30.					Buy (add'l)	02/15/17	J		
31.					Sold (part)	07/19/17	J	A	
32. FIDELITY IRA ROLLOVER NEW SR INVT GROUP	A	Dividend			Buy	07/10/17	J		
33.					Buy (add'l)	09/18/17	J		

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34.					Sold	10/05/17	J	A	
35. FIDELITY IRA ROLLOVER FACEBOOK PUT		None			Buy	09/18/17	J		
36.					Sold	11/17/17	J	A	
37. FIDELITY IRA ROLLOVER CHICAGO BRIDGE PUT		None	J	T	Buy	11/29/17	J		
38. FIDELITY IRA ROLLOVER TESLA INC. PUT		None			Buy	09/18/17	J		
39.					Sold	10/13/17	J	A	
40. FIDELITY IRA ROLLOVER PIMCO DYN CR MRT	A	Dividend	J	T	Buy	11/07/17	J		
41. FIDELITY IRA ROLLOVER MACQUARIE INFRASCT CORP	A	Dividend	J	T	Buy	02/14/17	J		
42.					Buy (add'l)	11/06/17	J		
43. FIDELITY IRA ROLLOVER 3M COMPANY	A	Dividend			Sold	03/03/17	K	B	
44. FIDELITY IRA ROLLOVER HALLIBURTON CO	A	Dividend	J	T	Buy	01/12/17	J		
45.					Buy (add'l)	01/26/17	J		
46.					Buy (add'l)	07/10/17	J		
47.					Buy (add'l)	09/01/17	J		
48.					Sold (part)	10/31/17	J	A	
49. FIDELITY IRA ROLLOVER ASPEN AEROGELS INC		None	J	T	Buy (add'l)	03/01/17	J		
50.					Sold (part)	05/12/17	J	A	

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51.					Sold (part)	06/14/17	J	A	
52.					Sold (part)	07/10/17	J	A	
53.					Sold (part)	08/03/17	J	A	
54.					Buy (add'l)	09/11/17	J		
55.					Sold (part)	11/06/17	J	A	
56.					Sold (part)	11/08/17	J	A	
57. FIDELITY IRA ROLLOVER BLACKSTONE MORT TRU	A	Dividend	J	T	Buy	03/01/17	J		
58.					Buy (add'l)	04/26/17	J		
59. FIDELITY IRA ROLLOVER OMEGA HEALTHCARE INVS	A	Dividend	J	T	Buy	03/13/17	J		
60. FIDELITY IRA ROLLOVER VALEANT PHARMACEUTICALS		None	J	T	Sold (part)	04/27/17	J	A	
61.					Sold (part)	06/13/17	J	A	
62. FIDELITY IRA ROLLOVER CONSOLIDATED EDISON HLDG CO	A	Dividend			Sold	03/13/17	J	A	
63. FIDELITY IRA ROLLOVER CHATHAM LODGING TR COM	A	Dividend	J	T	Buy (add'l)	05/22/17	J		
64.					Sold (part)	10/25/17	J	A	
65. FIDELITY IRA ROLLOVER COHEN & STEERS INFRASTRUCTURE	A	Dividend			Sold	09/27/17	J	A	
66. FIDELITY IRA ROLLOVER COLONY NORTHSTAR INC	A	Dividend	J	T	Buy	08/03/17	J		
67.					Buy (add'l)	10/18/17	J		

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68.					Buy (add'l)	11/24/17	J		
69. FIDELITY IRA ROLLOVER BROOKFIELD REAL ASSETS	A	Dividend	J	T	Buy	10/05/17	J		
70.					Buy (add'l)	11/10/17	J		
71. FIDELITY IRA ROLLOVER DOUBLELINE INCOME SOLUTIONS	A	Dividend	J	T					
72. FIDELITY IRA ROLLOVER SONIC	A	Dividend	J	T	Buy (add'l)	07/25/17	J		
73.					Buy (add'l)	08/03/17	J		
74.					Sold (part)	10/26/17	J	A	
75. FIDELITY IRA ROLLOVER US BANK	A	Int./Div.	J	T					
76.									
77.									

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

Part VII, Lines 1 and 2 These are employer managed retirement funds 

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