

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 08/09/2017
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 01/01/2016 to 12/31/2016
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.		

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. Settlor and Trustee	The Diane Patmont Foundation (501(c)(3))
2. Donor	Schwab Charitable Fund
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 (\$238,867)		None	M	S					
2. Real Property 2, Molokai, HI (\$78,833)	B	None	L	S					
3. BOH Trust, Strategic-LT Market Outlook (IRA&RLT)	G	Int./Div.	P2	T	Sold	11/01/16	M		IRA distribution
4. BOH Trust, Strategic-LT Market Outlook (IRA&RLT)	D	Interest	O	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		12/31/16	N		Donees: sev. char. / family
9. Bank of Hawaii accounts	C	Interest	M	T					
10. Exxon common stock	D	Dividend	N	T					
11. General Electric common stock	D	Dividend	N	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 merged with Marriott Int'l Inc.	B	Dividend	L	T		09/23/16	L	D	
16. Conoco-Phillips common stock	B	Int./Div.	K	T					
17. Hawn. Electric Industries common stock	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 H ~\$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	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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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				
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18. Rayonier Advanced MA	A	Dividend	J	T					
19. Lucent Technologies common stock absorbed by Nokia	A	Dividend	J	T		01/01/16	J		Nokia
20. Rayonier Inc. REIT	A	Dividend	J	T					
21. ITT Industries common stock	B	Dividend	K	T					
22. Hartford Financial Services Group common stock	B	Dividend	L	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 (\$928,000)	E	Rent	O	S					
34. no longer applicable (see lines 53,54)									

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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	
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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35. no longer applicable									
36. Duke Energy com stk	A	Dividend	J	T					
37. Alapaka LLC, gen part of APK Invest & Trust									
38. -BOH common stock & BOH Trust Strategic-LT market outlook	F	Int./Div.	P1	T					
39. ILG Inc. (should have been reported earlier)	A	Dividend	J						
40. no longer applicable									
41. no longer applicable									
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	A	Dividend	J	T					
49. Harris Corp.	B	Dividend	K	T					
50. Xylem	B	Dividend	L	T					
51. no longer applicable (duplicated line 34)									

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
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52. Phillips 66	B	Dividend	K	T					
53. Schwab acct, cash & dividends	E	Int./Div.	N	T					
54. CAT stock	B	Dividend	K	T					
55. Diane Patmont Foundation									
56. -BOH stk & BOH Fund Strategic Long Term Outlook	D	Dividend	N	T	Donated	12/31/15	K		Donees
57. Schwab Charitable Fund									
58. - Schwab Funds	A	Dividend	L	T					

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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