

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) HUMPHREYS, KAREN M.	2. Court or Organization U.S. DISTRICT COURT - KANSAS	3. Date of Report 08/10/2012
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 01/01/2011 to 12/31/2011
7. Chambers or Office Address 322 U.S. COURTHOUSE 401 N. MARKET WICHITA, KS 67202		
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.	CO-TRUSTEE	TRUST
2.	DIRECTOR (BOARD CHAIR)	KANSAS LEADERSHIP CENTER
3.	DIRECTOR	KANSAS UNIVERSITY ALUMNI ASSOCIATION
4.	COMMISSIONER	KANSAS LAWYERS ASSISTANCE PROGRAM
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 4/29/11	Kansas Leadership Center, stipend donated to charitable organizations	\$1,250.00
2. 7/18/2011	Kansas Leadership Center, stipend donated to charitable organization	\$1,250.00
3. 11/9/11	Kansas Leadership Center, stipend donated to charitable organization	\$1,250.00
4. 11/30/11	Kansas Leadership Center, stipend donated to charitable organization	\$1,250.00

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.)*

DATE	SOURCE 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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Kansas Leadership Center	7/21/11 - 7/22/11	Lawrence, Kansas	Board Retreat	Transportation, meals, hotel
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.	INTRUST BANK	CREDIT CARD	J
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. REGAL BELOIT - COMMON STOCK - (RBC)	A	Dividend	K	T					
2. NATIXIS US DIVER PORT A, fka IXIS		None			Redeemed	7/5/11	K	B	
3. ALLSTATE -COMMON STOCK (ALL)	A	Dividend	J	T					
4. WELLS FARGO - COMMON STOCK (WFC)	A	Dividend	J	T					
5. TRUST									
6. -CHEVRON CORP- COMMON STOCK (CVX)	A	Dividend	K	T					
7. -BOFA TAX EXEMPT RESERVES TRUST CLASS*	A	Interest	J	T					
8. -DISCOVER FINL SVCS (DFS)	A	Dividend	J	T					
9. -GE CO. - COMMON STOCK (GE)	A	Dividend	K	T					
10. -MERCK & CO., INC. NEW COM (MRK)	A	Dividend	K	T					
11. -MORGAN STANLEY- COMMON STOCK (MS)	A	Dividend	J	T					
12. -WELLS FARGO & CO. NEW - COMMON STOCK - (WFC)	A	Dividend	J	T					
13. COLUMBIA MANAGEMENT (IRA) fka NATION FUNDS -Cash Equivalent	A	Interest	J	T					
14. -COLUMBIA LARGE CAP	A	Dividend	J	T					
15. -COLUMBIA SMALLCAP INDEX FUND A	A	Dividend	J	T					
16. AMERITRADE, INC.									
17. -SENTINEL FDS (MYPVX) (name change)	A	Dividend	K	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 \$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 I (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. -WEITZ SERIES FUND/NC (WVALX)	A	Interest	K	T					
19. DWS MUNI INC TR, mutual fund	A	Interest	J	T					
20. NEW ENGLAND FIN'L VARIABLE FLEX LIFE									
21. -CLARION GLOBAL REST		None	J	T					
22. -AMER FUNDS BOND		None	J	T					
23. -JANUS FORTY PORTFOLIO		None	J	T					
24. -AMER FUNDS GROWTH		None	J	T					
25. -AMER FUNDS GRO INC.		None	J	T					
26. -AMER FUNDS GLOSMCAP		None	J	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/ **KAREN M. HUMPHREYS**

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