

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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	2. Court or Organization U.S. District Court, D.C.	3. Date of Report 10/30/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2013 to 12/31/2013
5b. ☒ Amended Report		
7. Chambers or Office Address E. Barrett Prettyman U.S. District Courthouse Rm.2333 333 Constitution Ave., N.W. Washington, D.C. 20001		
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.	Executive Committee	Lawyers Club
2.	Director	Inwood House
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. Bank of America	A	Interest	M	T					
2. Wells Fargo Bank	A	Interest	K	T					
3. DOJ FCU (CD)	B	Interest	M	T					
4. Pacific Life Ins. Select Exec III	D	Int./Div.	N	T					
5. Pacific Life Var.Univ.Life.Ins.	D	Int./Div.	N	T					
6. RBC Bank Deposit Program (Money Mkt)	A	Interest	M	T					
7. EQUITIES									
8. Artersian Res. Corp. Cl. A	C	Dividend	M	T					
9. Carlyle Group Unit Ltd Partn. LP com	C	Dividend	M	T	Buy	04/01/13	M		
10. Conoco Phillips com	C	Dividend	M	T					
11. Cisco com	C	Dividend		T	Sold	11/15/13	L		
12. Exelon Corp.		None			Sold	03/19/13	M		
13. Exxon Mobile Corp	C	Dividend	M	T					
14. General Electric Co. com	D	Dividend	M	T					
15. JP Morgan Chase	C	Dividend	M	T					
16. Kinder Morgan	D	Dividend	M	T	Buy	04/01/13	M		
17. Morgan Stanley Dep Shs Rep.1/1000 Pfd Ser A Non Cum Var		None			Sold	04/01/13	M	D	

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 ~\$250,000,001 - \$500,000,000	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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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. Microsoft Corp	B	Dividend	L	T					
19. Pfizer Inc	C	Dividend	M	T					
20. MUTUAL FUNDS									
21. Blackstone GSO Strategic Fnd SBI	D	Dividend	M	T					
22. DWS Global/Intl. FD Inc. RREEF Global Infrastructure Fd	D	Dividend	M	T	Buy	04/12/13	M		
23. Ivey Funds Inc. Asset Strgy Fnd.	C	Dividend	O	T					
24. Ivey Funds Inc. Asset Strgy Fnd		None			Sold (part)	12/04/13	L	C	
25. Oppenheimer Devlp Mkts Fd	A	Dividend	N	T					
26. Pimco Dynamic Income Fnd		None			Sold	05/29/13	M	E	
27. Pimco All Asset P f/k/a Pimco Fds Pac Inv. Mgmt Ser All Asset Fd	E	Dividend	O	T					
28. Pimco Income Strategy Fd f/k/a Prudential Income Strategy Fnd	D	Dividend	M	T					
29. Powershares Exch Traded FD TR 11 S&P 500 Low Volatility Port			M	T	Buy	12/04/13	M		
30. Prudential Inv.Port Inc 10 Jennison Equity Income Fd	E	Dividend	P1	T					
31. Prudential Inv.Port Inc. 10 Jennison Equity Income Fd		None			Sold (part)	04/12/13	M	E	
32. Prudential Inv. Portfolios 9 Absolute Ret. BD	D	Dividend	M	T	Buy	03/19/13	M		
33. f/k/a/Prudential Sector Fd Ins Hlth Sci Fnd CL1									
34. n/k/a Prudential Jennison Health Science Fd		None	N	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	
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35. Prudential Jennison Health Science Fd		None			Sold (part)	04/01/13	M	E	
36. Prudential Total Return Bond Fnd Inc.	E	Dividend	O	T					
37.									
38.									
39.									
40.									
41.									
42.									
43.									

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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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 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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