

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) HUMPHREYS, KAREN M.	2. Court or Organization U.S. DISTRICT COURT - KANSAS	3. Date of Report 1/7/2015
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 01/01/2013 to 12/31/2013
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.		

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.	COMMISSIONER	KANSAS LAWYERS ASSISTANCE PROGRAM
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 1/2013	Kansas Leadership Center, stipend donated to charitable organizations	\$1,250.00
2. 4/2013	Kansas Leadership Center, stipend donated to charitable organization	\$1,500.00
3. 7/2013	Kansas Leadership Center, stipend donated to charitable organization	\$1,250.00
4. 10/2013	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.				
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.	Stephen Craig	Tickets to KU basketball game	\$500.00
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.	BANK OF AMERICA	CREDIT CARD	K
3.	MET LIFE	LOAN	K
4.	INTRUST BANK	CREDIT CARD	J
5.	NEF VARIABLE LIFE	LOAN	J

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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. ALLSTATE -COMMON STOCK (ALL)	A	Dividend	J	T					
3. WELLS FARGO - COMMON STOCK (WFC)	A	Dividend			Sold	07/30/13	J		
4. TRUST [Y]									
5. -CHEVRON CORP- COMMON STOCK (CVX)	A	Dividend	K	T					
6. -BOFA TAX EXEMPT RESERVES TRUST CLASS*	A	Interest	J	T					
7. -DISCOVER FINL SVCS (DFS)	A	Dividend	J	T					
8. -GE CO. - COMMON STOCK (GE)	A	Dividend	K	T					
9. -MERCK & CO., INC. NEW COM (MRK)	A	Dividend	K	T					
10. -MORGAN STANLEY- COMMON STOCK (MS)	A	Dividend	J	T					
11. -WELLS FARGO & CO. NEW - COMMON STOCK - (WFC)	A	Dividend	J	T					
12. COLUMBIA MANAGEMENT (IRA) fka NATION FUNDS -Cash Equivalent									
13. -COLUMBIA LARGE CAP	A	Dividend	J	T					
14. -COLUMBIA SMALLCAP INDEX FUND A	A	Dividend	J	T					
15. AMERITRADE, INC.									
16. -SENTINEL FDS (MYPVX) (name change)	A	Dividend	K	T					
17. -WEITZ SERIES FUND/NC (WVALX)	A	Interest	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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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 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. DWS MUNI INC TR, mutual fund	A	Interest			Sold	07/30/13	J		
19. NEW ENGLAND FIN'L VARIABLE FLEX LIFE									
20. -CLARION GLOBAL REST		None	K	T					
21. -AMER FUNDS BOND		None	K	T					
22. -JANUS FORTY PORTFOLIO		None	K	T					
23. -AMER FUNDS GROWTH		None	K	T					
24. -AMER FUNDS GRO INC.		None	K	T					
25. -AMER FUNDS GLOSMCAP		None	K	T					
26. FIDELITY BANK (X)	A	Interest	K	T					
27. CHARLES SCHWAB IRA (X)	A	Int./Div.	M	T					
28. -SWGXY									
29. -SAXIX									
30. -SAUFX									
31. -SAEMX									
32. -SAISX									
33. -SAHMX									
34. -SAREX									

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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. -SAMKX									
36. -SABTX									
37. AMER. FUNDS IRA (X)	A	Dividend	K	T					
38. -AMER. BALANCED FUND A									
39. -CAPITAL WORLD GROWTH & INC. FUND A									
40. -THE GROWTH FUND OF AMER. -A									
41. -THE INVESTMENT CO. OF AMER.-A									
42. -NEW PERSPECTIVE FUND A									
43. KPERS (X) RETIREMENT SYSTEM KS. PUBLIC EMP.		None	K	T					
44. NEF VARIABLE LIFE (X)									
45. -CLARION GLOBAL REST		None	K	T					
46. -AMER FUNDS BOND		None	K	T					
47. -JANUS FORTH PORTFOLIO		None	K	T					
48. -AMER FUNDS GROWTH		None	K	T					
49. -AMER FUNDS GRO INC.		None	K	T					
50. -AMER FUNDS GLOSMCAP		None	K	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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