

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) KAY,, KATHLEEN	2. Court or Organization WESTERN DISTRICT OF LOUISIANA	3. Date of Report 08/06/2012
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 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. Insert signature on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. OFFICER	KATHLEEN KAY, APLC
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. 2011

HALLIBURTON-SALARY

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.	First National Bank	Loan on Investment Property	J
2.	Federal Thrift Plan	Loan against Thrift Plan	J
3.	Fidelity Investment	Scott-Loan against 401K Plan	J
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 Retirement & Savings Plan NO Control		None	O	T					
2. Rental Property #1 Lake Charles, LA (Appraised 2008)	D	Rent	L	Q					
3. First National Bank Accounts	A	Int./Div.	J	T					
4. Northwestern Mutual Whole Life Insurance Policies		None	J	T					
5. Fidelity Core (X)	A	Interest	J	T					
6. Ishares Silver	A	Dividend	J	T	Buy	03/31/11	J		
7. Drexion Daily Large Cap Bear 3X	A	Dividend	K	T	Buy	02/03/11	J		
8.					Buy	03/14/11	J		
9.					Buy	04/28/11	J		
10.					Buy	07/22/11	J		
11.					Buy	08/16/11	J		
12.					Buy	08/26/11	J		
13.					Buy	09/19/11	J		
14.					Buy	10/17/11	J		
15.					Buy	11/14/11	J		
16.					Buy	11/16/11	J		
17.					Buy	12/01/11	J		

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 - \$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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18.					Buy	12/23/11	J		
19.					Sold	08/15/11	J	B	
20.					Sold	08/23/11	J	A	
21.					Sold	09/15/11	J	B	
22.					Sold	09/27/11	J	A	
23.					Sold	11/03/11	J	A	
24.					Sold	11/15/11	J	A	
25.					Sold	11/25/11	J	A	
26.					Sold (part)	12/15/11	J	A	
27. Halliburton Common	A	Dividend			Sold	01/31/11	J	D	
28. Halliburton Common	A	Dividend			Sold	02/02/11	J	A	
29. Halliburton Common	A	Dividend			Sold	02/17/11	J	B	
30. Halliburton Common	A	Dividend			Sold	02/22/11	J	A	
31. Halliburton Common	A	Dividend			Sold	02/23/11	J	C	
32. Halliburton Common	A	Dividend			Sold	07/21/11	J	C	
33.			K	T	Buy	01/11/11	J		
34.					Buy	01/13/11	J		

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35.					Buy	01/14/11	J		
36.					Buy	07/14/11	J		
37.					Buy	08/24/11	J		
38.					Buy	09/27/11	J		
39.									
40.									

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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/ 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
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