

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) BARKER, SARAH E.	2. Court or Organization US District Court Indiana Southern District	3. Date of Report 05/11/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) SENIOR ARTICLE III	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 46 EAST OHIO STREET, ROOM 210, INDIANAPOLIS, IN 46204		
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. Member, Executive Board, 1986-present	The Gathering
2. Member, 1987-present	Kiwanis Club of Indianapolis
3. Director, 1996-present	Indiana University Health (nonprofit). Formerly Methodist Health Group; formerly Clarian Health Partners.
4. Member, 1996-present	Indiana University--Distinguished Alumni Service Association
5. Ex Officio Director/Officer, 2001-present	Federal Judges Association
6. Member, 2002-present	Indiana Academy
7. Director, 2010-Present	Spencer Williams Foundation
8. Commissioner, Indiana Bicentennial Commission, 2011-present	State of Indiana, Office of the Lt. Governor
9. Advisory Member, Community Advisory Board, 2015-present	Indiana University Grand Challenges Program
10. Advisory Member, Faith and Action Project	Christian Theological Seminary

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.	

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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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2016	IU Health Morgan Hospital
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Federal Judges Association	May 16-18, 2016	Washington, D.C.	Annual Board Meeting and Quadrennial Judicial Conference	Transportation, accommodations, meals
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. Indianapolis Post Office Credit Union, Account	B	Interest	M	T					
2. JP Morgan Chase Bank, Account	A	Interest	K	T					
3. BlackRock Global Allocation Fund (Mutual Fund)(IRA #1)	A	Dividend	J	T	Distributed (part)	10/20/16	J	A	See note: Part VIII #1, 2
4. Bank of America, NA RASP (IRA #1, cash eq)	A	Interest	J	T	Distributed (part)	03/09/16	J		
5.					Distributed (part)	10/20/16	J		
6. JP Morgan Chase Bank, Account	A	Interest	K	T					
7. Hartford Whole Life		None	J	T					
8. Ivy Global Natural Resources A (Mutual Fund) (IRA #2)	A	Dividend	J	T					
9. Ivy International Core Equity A (Mutual Fund) (IRA #2)	A	Dividend	K	T					
10. Waddell & Reed Advisors Core Inv A (Mut Fund) (IRA #2)	B	Dividend	K	T					
11. Waddell & Reed Advisors Science/ Technology A (MF)(IRA #2)		None	K	T					
12. Waddell & Reed Advisors High Income A (MutualFund) (IRA #2)	B	Dividend	K	T					
13. Ivy Real Estate Securities A (Mutual Fund) (IRA #2)	B	Dividend	K	T					
14. Waddell & Reed Advisors Small Cap A (Mutual Fund) (IRA #2)	A	Dividend	J	T					
15. Waddell & Reed Advisors Asset Strategy A (Mut Fund) (IRA#2)		None	K	T	Sold (part)	10/12/16	J		
16. Waddell & Reed Advisors New Concepts A (Mut Fund) (IRA#2)	A	Dividend	K	T					
17. Ivy Limited-Term Bond A (Mutual Fund) (IRA #2)	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 \$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. American Balanced Fund CL A (Mutual Fund)(IRA#1)	A	Dividend	K	T					
19. BlackRock Low Duration Bond Fund CL A (Mutual Fund)(IRA#1)	A	Dividend	J	T					
20. BlackRock Large Cap Core Fund A (Mutual Fund)(IRA#1)	A	Dividend	J	T					
21. Franklin Templeton Balanced Fund (FBMCX)(Mutual Fund)	C	Dividend	L	T					
22. Waddell & Reed Advisors Accumulative A (Mutual Fund)	A	Dividend	K	T					
23. Waddell & Reed Advisors Cash Management A (Mutual Fund)	A	Dividend	J	T					
24. BlackRock Global Allocation Fund (MDLOX) (Mutual Fund)	A	Dividend	K	T	Buy	10/20/16	J		See Part VIII #1, 2
25. Waddell & Reed Advisors Small Cap A (Mutual Fund)	B	Dividend	K	T					
26. Waddell & Reed Advisors Tax-Managed Equity A (Mutual Fund)	A	Dividend	K	T					
27. Ivy LaSalle Global Real Estate A (Mutual Fund)	A	Dividend	J	T					See Part VIII #3
28. Ivy Managed International Opportunities A (Mutual Fund)	A	Dividend	J	T					
29. Ivy Limited-Term Bond A (Mutual Fund)	A	Dividend	K	T					
30. Waddell & Reed Advisors Vanguard A (Mutual Fund)	B	Dividend	J	T					
31. Waddell & Reed Advisors Core INV A (Mutual Fund)	A	Dividend	J	T	Buy	10/12/16	J		
32. Ivy Balanced A (Mutual Fund)	A	Dividend	J	T					
33. Ivy Dividend Opportunities A (Mutual Fund) (IRA #3)	A	Dividend	J	T					
34. Ivy Science & Technology A (Mutual Fund) (IRA #3)		None	J	T					

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35. Ivy LaSalle Global Real Estate A (Mutual Fund) (IRA #3)	A	Dividend	J	T					See Part VIII, #3
36. Ivy International Core Equity A (Mutual Fund) (IRA #3)	A	Dividend	J	T	Sold (part)	10/12/16	J	A	
37. Ivy Emerging Markets Equity A (Mutual Fund) (IRA #3)		None	J	T					
38. Ivy Balanced A (Mutual Fund) (IRA #3)	A	Dividend	K	T					
39. American Balanced Fund CL A (Mutual Fund)	A	Dividend	J	T					
40. BlackRock Large Cap Growth Fund A (MDLHX) (Mutual Fund) (IRA #1)	A	Dividend	J	T					
41. BlackRock Strategic Income Opps PTF A (BASIX) (Mutual Fund) (IRA #1)	A	Dividend	J	T					
42. BlackRock Capital Appreciation Fund A (MDFGX) (Mutual Fund) (IRA #1)		None	J	T					
43. BlackRock Global Smallcap Fund A (MDGCX) (Mutual Fund) (IRA #1)	A	Dividend	J	T					
44. BlackRock Basic Value Fund A (MDBAX) (Mutual Fund) (IRA #1)	A	Dividend	J	T					
45. BlackRock Total Return Fund CL A (MDHGX) (Mutual Fund) (IRA #1)	A	Dividend	J	T					
46. BlackRock Emerging Markets Fund A (MDDCX) (Mutual Fund) (IRA #1)	A	Dividend	J	T					
47. BlackRock Equity Dividend Fund A (MDDVX) (Mutual Fund) (IRA #1)	A	Dividend	J	T					
48. BlackRock International Fund A (MDILX) (Mutual Fund) (IRA #1)	A	Dividend	J	T					
49. BlackRock HI YLD BD Portfolio Class A (BHYAX) (Mutual Fund) (IRA #1)	A	Dividend	J	T					

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII. Investments and Trusts:

Note #1--Apparent Duplications:

The Blackrock Global Allocation Fund listed at line 3 is held, as noted, in an IRA. The same fund is also listed at line 24 except that there it is held in a non-IRA account. In short, the asset has not been aggregated into a single entry because the ownership and/or account vehicles are so different.

Similar instances of non-aggregated holdings (and therefore apparent duplications in the filing) appear whenever a particular asset is held either in an IRA account as well as a non-IRA account or is held in two different IRA accounts. Such other instances (besides lines 3 and 24) include the following:

Lines 9 and 36 (Ivy International Core Equity A)
Lines 10 and 30 (Waddell & Reed Advisors Core Inv. A)
Lines 14 and 25 (Waddell & Reed Advisors Small Cap A)
Lines 17 and 29 (Ivy Limited-Term Bond A)
Lines 18 and 39 (American Balanced Fund CL A)
Lines 27 and 35 (Ivy LaSalle Global Real Estate A)
Lines 32 and 38 (Ivy Balanced A)

Note #2--Transfer by Journal Entry:

The line 3 IRA account (IRA #1) which holds the Blackrock Global Allocation Fund listed there is subject to an annual age-related Required Minimum Distribution ("RMD"). In accomplishing the 2016 RMD out of this IRA #1, a portion of this Blackrock fund was transferred out of the IRA account by journal entry and then transferred on the same date into a non-IRA account, also by journal entry. See line 24 detailing that non-IRA account's reception of the transfer from the IRA. We are informed that these transfers did not constitute a sale or a repurchase and did not generate any fund fees. Accordingly, we have reported the line 3 outgoing transfer as a "distribution," but since there is no corresponding computerized category to reflect accurately the receiving side of the transfer, we have described the transfer into the non-IRA account at line 24 as a "Buy."

Note #3--Name Change:

The name of this asset was changed on February 1, 2016, from "Ivy Global Real Estate," which is how it was designated on the 2015 Financial Disclosure Report, to its current designation, "Ivy LaSalle Global Real Estate." The asset is listed both at line 27 and line 35 because in one instance it is held in an IRA account and in the other it is in a non-IRA account (cf. note 1 above).

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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/ SARAH E. BARKER**

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