

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) BARKER, SARAH E.	2. Court or Organization US District Court Indiana Southern District	3. Date of Report 06/13/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) ACTIVE ARTICLE III	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 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, Board of Advisors, 1989-present	Indiana University--Purdue University at 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. Director/Officer, 2001-2013	Federal Judges Association
6. Member, 2002-present	Indiana Academy
7. Trustee, Board of Trustees, 2003-2013	Indiana Historical Society
8. Member, Board of Advisors, 2005-2013	Spirit and Place, Community Festival
9. Director, 2010-present	Spencer Williams Foundation
10. Commissioner, Indiana Bicentennial Commission, 2011-present	State of Indiana, Office of the Lt. Governor

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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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.)*

<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. 2013	IU Health Morgan Hospital -- Nonemployee compensation
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	February 21-23, 2013	Dallas, TX	Strategic planning meeting	Transportation, lodging, and meals
2. Federal Judges Association	April 23-24, 2013	Washington, DC	Board of directors meeting	Transportation, lodging, and meals
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.	Larry Rudolech	Painting gifted by artist in connection with other painting purchase.	\$400.00
2.	Susman Godfrey, LLP	Pro bono legal services from 11/2012-12/2013.	\$26,658.91
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	L	T					
2. JP Morgan Chase Bank	A	Interest	K	T					
3. BlackRock Global Allocation Fund (Mutual Fund)(IRA #1)	A	Dividend	L	T	Sold (part)	08/29/13	J	A	
4. FIA Card Services NA RASP (IRA #1, cash eq)	A	Interest	J	T					
5. CISCO Systems, Inc., Common Stock	A	Dividend			Sold	10/30/13	J	A	
6. JP Morgan Chase Bank	A	Interest	K	T					
7. Hartford Whole Life		None	J	T					
8. General Electric Common Stock	A	Dividend			Sold	10/30/13	J	A	
9. Ivy Global Natural Resources A (Mutual Fund) (IRA #2)		None	J	T					
10. Ivy International Core Equity A (Mutual Fund) (IRA #2)	A	Dividend	K	T					
11. Waddell & Reed Advisors Core Inv A (Mut Fund) (IRA #2)	C	Dividend	K	T					
12. Waddell & Reed Advisors Science/ Technology A (MF)(IRA #2)	B	Dividend	K	T					
13. Waddell & Reed Advisors High Income A (MutualFund) (IRA #2)	B	Dividend	K	T					
14. Ivy Real Estate Securities A (Mutual Fund) (IRA #2)	A	Dividend	J	T					
15. Waddell & Reed Advisors Small Cap A (Mutual Fund) (IRA #2)	C	Dividend	K	T					
16. Waddell & Reed Advisors Asset Strategy A (Mut Fund) (IRA#2)	B	Dividend	K	T					
17. Waddell & Reed Advisors New Concepts A (Mut Fund) (IRA#2)	B	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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18. Ivy Limited-Term Bond A (Mutual Fund) (IRA #2)	A	Dividend	K	T	Sold (part)	09/03/13	J		
19. American Balanced Fund CL A (Mutual Fund)(IRA#1)	A	Dividend	K	T					
20. BlackRock Low Duration Bond Fund CL A (Mutual Fund)(IRA#1)	A	Dividend	J	T					
21. BlackRock Large Cap Core Fund A (Mutual Fund)(IRA#1)	A	Dividend	J	T					
22. Franklin Templeton Balanced Fund (FBMCX)(Mutual Fund)	B	Dividend	K	T					
23. Waddell & Reed Advisors Accumulative A (Mutual Fund)	A	Dividend	J	T	Buy	09/03/13	J		
24.					Buy (add'l)	09/05/13	J		
25. Waddell & Reed Advisors Cash Management A (Mutual Fund)	A	Dividend	J	T	Buy	09/03/13	J		
26. BlackRock Global Allocation Fund (MDLOX) (Mutual Fund)	A	Dividend	J	T	Buy	10/30/13	J		See note at Part VIII.

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

Part V. Gifts, Line (2): I was one of seven named plaintiffs in Barker, et al. v. United States, Case No. 1:12-cv-00826 (Fed.Cl.), brought to challenge the denial of Article III judges' cost-of-living adjustments (COLAs) over multiple years. Attorneys fees and costs were expended between November 2012 through December 31, 2013 in the total amount of \$186,612.35 on a pro bono basis by the law firm of Susman Godfrey, LLP, 1201 Third Avenue, Suite 3800, Seattle, WA 98101, who served as plaintiffs' counsel without compensation or reimbursement from me or the other plaintiffs. The litigation has not been finalized at this point, so additional legal services are anticipated in 2014.

Part VII. Investments and Trusts, Line (26): The BlackRock Global Allocation Fund listed at line 26 was purchased for and is held in a non-IRA account. It is, however, the same fund entity which is listed at Line 3, except that the Line 3 asset is held in an IRA. If the two holdings were combined, their combined value code would be "L," and their combined income code would be "A."

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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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