

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) Pratt, Tanya M.	2. Court or Organization United States District Court, Southern District of Indiana	3. Date of Report 06/02/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III Judge	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 Birch Bayh Federal Courthouse 46 E. Ohio Street Suite 330 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. Board of Trustee	Cathedral High School
2. Advisory Board	UNCF
3. Master (member)	American Inn of Court, Indianapolis
4. Advisory Board	Catholic Charities, Indianapolis
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. 2009	Indiana Judges Pension Fund: Eligible for pension withdrawal upon retirement at age 62
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	Self-Employed Attorney
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. Indiana State Bar Association	October 8, 2013	French Lick, Indiana	CLE for the Federal Judiciary Committee (teach)	transportation, food and one night lodging
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.	Bank of America	Credit Card	J
2.	PNC	Credit card	J
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. series EE savings bonds	A	Interest	J	T					
2. series I savings bonds	A	Interest	J	T					
3. CHASE Bank	A	Interest	J	T					
4. PNC (savings)	A	Interest	K	T					
5. APPL (Apple) stock	A	Dividend	J	T					
6. ARBA (Ariba Inc.) stock	A	Dividend	J	T					
7. CBMC (Calypse biomed) stock		None	J	T					
8. CHK (Chesapeake energy) stock		None	J	T					
9. ERIC (Ericsson) stock	A	Dividend	J	T					
10. MSTR (Microstrategy Inc.) stock	A	Dividend	J	T					
11. WBMD (Web MD)		None	J	T					
12. Allianz IRA	B	Interest	M	T					
13. Schwab Fixed IRA	A	Interest			Sold	02/01/13	K		
14. Indiana 529 Plan: Core Bond Index Profile	A	Interest	J	T					
15. Vanguard Institutional Index Fund		None	J	T					
16. Artio International Equity II Fund	A	Interest	J	T					
17. Indiana 529 Plan: Large Cap Index Portfolio Class A	A	Interest	J	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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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. Indiana 529 Plan: International Index Portfolio Class	A	Interest	J	T					
19. Bank of America		None	J	T					
20. Citigroup	A	Dividend	J	T					
21. AGZ-Ishares Barclays ETF	A	Dividend	J	T					
22. EMB-Ishaes JP Morgan ETF	A	Dividend	J	T					
23. IEF-Ishares 7-10 yr Treasury Bond	A	Dividend	J	T					
24. IJJ-Ishares S & P Midcap 400 Value	A	Interest	J	T					
25. IJK-Ishares S & P Midcap 400 Growth	A	Interest	J	T					
26. IVE-Ishares S & P 500 Value ETF		None			Sold	02/01/13	J		
27. IVW-Ishares S & P 500 Growth		None			Sold	02/01/13	J		
28. JNK-SPDR Barclays ETF		None			Sold	02/01/13	J		
29. MBB-Ishares Barclay		None			Sold	02/01/13	J		
30. PCY-Power Shares EM MAR ETF	A	Dividend	J	T					
31. PFF-Ishares S & P US	A	Dividend	J	T					
32. SHY-Ishares 1-3 year Treasury Bonds	A	Dividend	J	T					
33. STPZ-PIMCO ETF		None			Sold	02/01/13	J		
34. VCIT-Vanguard Intermediate ETF	A	Dividend	J	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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☐ 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)

35. VCSH-Vanguard Short Term ETF	A	Dividend	J	T					
36. VEA-Vanguard MSCI EAFE ETF	A	Dividend	J	T					
37. VNQ-Vanguard REIT ETF	A	Dividend	J	T					
38. VWO-Vanguard MSCI ETF	A	Dividend	J	T					
39. ALRX-Alger INSTL FD		None			Sold	02/01/13	J		
40. ANAYX-Alliancebernstein		None			Sold	02/01/13	J		
41. ANCMX-Allianz FDS Multi-STRT	A	Dividend	J	T					
42. BCSIX-Brown CAP MGMT MUT FDS	A	Dividend	J	T					
43. FEVIX-First Eagle US Value	A	Dividend	J	T					
44. GCIEX-Gabelli Equity Income	A	Interest	J	T					
45. GSZIX-Goldman Sachs Trust	A	Int./Div.	K	T					
46. ICEIX-IVY FDS	A	Interest	J	T					
47. IGLIX-ING Global Real Estate	A	Interest	J	T					
48. IVHIX-IVY FDS INC	A	Interest	J	T					
49. JIGFX-Janus INVT FD	A	Interest	J	T					
50. LDLEX-Lord Abbett Investment	A	Int./Div.	K	T					
51. MWTIX-Metropolitan West FDS	A	Interest	J	T					

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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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52. NELYX-Loomis Sayles Limited	A	Interest	J	T					
53. ODVYX-Oppenheimer DEV MKTS	A	Interest	J	T					
54. PCRIX-PIMCO FDS PAC INVT	A	Interest	J	T					
55. PFIUX-PIMCO Unconstrained BD	A	Interest	K	T					
56. PRRIX-PIMCO Real Estate Return Bond	A	Interest	J	T					
57. SEVAX-Security Equity FD		None	J	T					
58. TGBAX-Templeton Funds	A	Interest	J	T					
59. TWHIX-American Century Funds	A	Interest	J	T					
60. YACKX-Managers AMG Funds	A	Interest	J	T					
61. AFRYX-Invesco Floating Rate Fund	A	Interest	J	T	Buy	02/01/13	J		
62. ANJIX-Allianz FDS INTL Value Fund	A	Interest	J	T	Buy	02/01/13	J		
63. KLCIX-Federal Equity FDS Kaufman Large Cap		None	J	T	Buy	02/01/13	J		
64. HFQIX-Henderson Global Equity Income	A	Interest	J	T	Buy	02/01/13	J		
65. XLE-Energy Select Sector SPDR	A	Interest	J	T	Buy	02/01/13	J		
66. XLF-Financial Select Sector SPDR	A	Interest	J	T	Buy	02/01/13	J		
67. XLI-Industrial Select Sector SPDR	A	Interest	J	T	Buy	02/01/13	J		
68. XLK-Technology Select Sector SPDR	A	Interest	J	T	Buy	02/01/13	J		

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69. XLP-Consumer Staples Sector SPDR	A	Interest	J	T	Buy	02/01/13	J		
70. XLB-Materials Sector SPDR	A	Interest	J	T	Buy	02/01/13	J		
71. XLV-Healthcare Sector SPDR	A	Interest	J	T	Buy	02/01/13	J		
72. XLY-Consumer Discretionary Sector SPDR	A	Interest	J	T	Buy	02/01/13	J		
73. IYZ-Ishares US Telecommunications	A	Int./Div.	J	T	Buy	02/01/13	J		
74. IJT-S & P Small Cap 600 Growth	A	Interest	J	T	Buy	02/01/13	J		
75. IJS-S & P Small Cap 600 Value	A	Interest	J	T	Buy	02/01/13	J		
76. TLT-Ishares 20+ yr Treas. Bond	A	Dividend	J	T	Buy	02/01/13	J		
77. TIP-Ishares TIP Bond ET	A	Dividend	J	T	Buy	02/01/13	J		
78. FESGX-First Eagle S Global		None	J	T	Buy	02/01/13	K		
79. PAUCX-PIMCO All Asset All Authority Fund	A	Dividend	J	T	Buy	02/01/13	J		
80.									
81.									
82.									
83.									
84.									
85.									

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86.									
87.									
88.									
89.									

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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/ Tanya M. Pratt

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544