

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Carr, James M.	2. Court or Organization Bankruptcy Court for the Southern District of Indiana	3. Date of Report 05/21/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address Room 322 46 E. Ohio St United States Courthouse 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.	Director	WFYI Foundation, Inc.
2.	Director	Board of Visitors Maurer School of Law, Indiana University
3.		
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. 2012	Faegre Baker Daniels LLP, former law firm, payout of capital account and retirement benefit, no control
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Carr, James M.

Date of Report

05/21/2018

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.	
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 Judicial Center	3/12/17-3/15/17	Charleston , SC	Seminar CLE	Transportation , meals , hotel
2. US Govt	4/30/17-5/2/17	Chicago , Ill	7th Cir Bar Ass'n Meeting	Transportation, tuition, meals , hotel , parking
3. US Govt	11/8/17-11/9/17	Chicago , Ill	Circuit judicial conference	Hotel + transportation , meals
4. American Bankruptcy Institute	11/9/17- 11/10/17	Chicago , Ill	Presentation at seminar CLE	Hotel
5.				

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Carr, James M.

Date of Report

05/21/2018

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. 401 K account Schwab Retirement Services, Inc., Vanguard Target Retir	C	Int./Div.	K	T					
2.									
3. The Ball & Biscuit LLC	A	Dividend	J	U					
4. LM Legacy, LLC	C	Int./Div.	J	U					
5. BROKERAGE MONEY MARKET - Dreyfus Corp	A	Int./Div.	K	T					
6. Brown Capital Management Small Company Fund Instit Institutional Class	B	Int./Div.	K	T					
7. COLUMBIA ACORN INTERNATIONAL FUND-Z ACINX	A	Int./Div.			Sold	02/15/17	K	C	
8. Cash - Dreyfus Corp	A	Int./Div.	J	T					
9. Income Fund Class P -PIMCO	D	Int./Div.	M	T					
10. International Growth and Income - F2 - American Funds	B	Int./Div.			Sold	02/15/17	L	C	
11. Ishares TR MSCI EAFE ETF	C	Int./Div.			Sold	02/15/17	M	D	
12. John Hancock Disciplined Value Mid Cap Fund Class	B	Int./Div.			Sold	02/15/17	L	C	
13. Low Duration Fund Class P -PIMCO	B	Int./Div.			Sold	02/15/17	L	A	
14. Metropolitan West Total Return Bond Fund Class I	C	Int./Div.			Sold	02/15/17	M	D	
15. MFS Value Fund-I	B	Int./Div.			Sold	02/15/17	L	E	
16. New World Fund - F2 -American Funds	B	Int./Div.	M	T					
17. NFJ Dividend Value A	C	Int./Div.			Sold	02/15/17	L	D	

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 (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	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Carr, James M.

Date of Report

05/21/2018

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. Northern Small Cap Value Fund	A	Int./Div.			Sold	02/15/17	K	C	
19. PIMCO Commodities Plus Strategy Fund Class P	A	Int./Div.			Sold	02/15/17	L	A	
20. Powershares QQQ Trust Unit Ser I	B	Int./Div.			Sold	02/15/17	M	E	
21. American Century Real Estate Fund	D	Int./Div.			Sold	02/15/17	L	D	
22. SPDR S&P 500 ETF Tr Unit	B	Int./Div.			Sold	02/15/17	M	E	
23. Templeton GLBL Bnd Fund - Advior Class	B	Int./Div.			Sold	02/15/17	L	C	
24. The Oakmark International Fund Class I	B	Int./Div.			Sold	02/15/17	L	D	
25. Brokerage Money Market - Dreyfus Corp	A	Int./Div.	J	T					
26. Brokerage Money Market Roth Account - Dreyfus Corp	A	Int./Div.	J	T					
27. Diversified Bond -American Century	B	Int./Div.			Sold	02/15/17	L	C	
28. Dodge & Cox Income Fund	C	Int./Div.			Sold	02/15/17	M	C	
29. Fidelity Adv Mid Cap II I	B	Int./Div.			Sold	02/15/17	L	D	
30. Fidelity Adv New Insights I	C	Int./Div.			Sold	02/15/17	M	E	
31. Fidelity Adv Government Income	A	Int./Div.			Sold	02/15/17	L	B	
32. Ishares TR Core S&P ETF	A	Int./Div.	N	T	Buy	02/15/17	N		
33. Ishares TR Core S&P Mid-Cap ETF	A	Int./Div.	L	T	Buy	02/15/17	L		
34. Vanguard Bd Index Funds Vanguard Total Bd Market ETF	D	Int./Div.	M	T	Buy	02/15/17	M		

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Carr, James M.

Date of Report

05/21/2018

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)

35. Vanguard Bd Index Funds Vanguard Short Term Bd ETF	A	Int./Div.	L	T	Buy	02/15/17	L		
36. The Oakmark Select Fund Investor Class	C	Int./Div.	M	T	Buy	02/15/17	M		
37. Vanguard Intl Equity Index Fds FTSE Emerging Mkts ETF	B	Int./Div.	L	T	Buy	02/15/17	L		
38. AMG Managers Fairpointe Mid Cap Fund Class I	C	Int./Div.	L	T	Buy	02/15/17	L		
39. Schwab Strategic TR Intl Equity ETF	C	Int./Div.	M	T	Buy	02/15/17	M		
40. FMI International Fund Institutional Class	A	Int./Div.	K	T	Buy	02/15/17	K		
41. The Oakmark International Small- Cap Fund Investor Class	B	Int./Div.	K	T	Buy	02/15/17	K		
42. Cohen & Steers Real Estate Securities Fund Class I	A	Int./Div.	K	T	Buy	02/15/17	K		
43. Deutsche Enhanced Commodity Strategy Fund Institutional Class	A	Int./Div.	K	T	Buy	02/15/17	K		
44. Fidelity Advisor Total Bond Fund Class I	C	Int./Div.	M	T	Buy	02/15/17	M		
45. Ishares TR MSCI Eurozone ETF	A	Int./Div.	K	T	Buy	02/15/17	K		

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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Carr, James M.

Date of Report

05/21/2018

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Carr, James M.

Date of Report

05/21/2018

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/ James M. Carr**

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