

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                     |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Carr, James M.                                                                                                                       | <b>2. Court or Organization</b><br><br>Bankruptcy Court for the Southern District of Indiana                                                                                                                                                                                                        | <b>3. Date of Report</b><br><br>09/13/2016                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>Bankruptcy Judge                                                              | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input checked="" type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2015<br>to<br>12/31/2015 |
| <b>7. Chambers or Office Address</b><br><br>Room 322<br>46 E. Ohio St<br>United States Courthouse<br>Indianapolis , In 46204                                                                              |                                                                                                                                                                                                                                                                                                     |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                                     |                                                                  |

## 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. | Partner         | Baker & Daniels LLP                                         |
| 2. | Partner         | Faegre Baker Daniels LLP                                    |
| 3. | Director        | WFYI Foundation , Inc.                                      |
| 4. | Director        | Board of Visitors Maurer School of Law , Indiana University |
| 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

09/13/2016

**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.)*

DATE

SOURCE AND TYPE

INCOME  
(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.)*

DATE

SOURCE AND TYPE

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1. Indiana Continuing Legal  
Education

8/14-8/15/2015

Michigan City , Indiana

Chair CLE seminar

meals , hotel , and seminar registration

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Carr, James M.

Date of Report

09/13/2016

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

09/13/2016

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>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                                                                                                           | D                                       | 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                                                   | C                                       | Int./Div.                                     | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. COLUMBIA ACORN INTERNATIONAL FUND-Z ACINX                                                                                | C                                       | Int./Div.                                     | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 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                                                                   | C                                       | Int./Div.                                     | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. Ishares TR MSCI EAFE ETF                                                                                                | C                                       | Int./Div.                                     | M                                               | T                                         | Buy                                             | 02/18/15                | M                               |                                |                                                                   |
| 12. John Hancock Disciplined Value Mid Cap Fund Class                                                                       | C                                       | Int./Div.                                     | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. Low Duration Fund Class P -PIMCO                                                                                        | C                                       | Int./Div.                                     | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. Metropolitan West Total Return Bond Fund Class I                                                                        | C                                       | Int./Div.                                     | M                                               | T                                         | Buy                                             | 02/18/15                | M                               |                                |                                                                   |
| 15. MFS Value Fund-I                                                                                                        | D                                       | Int./Div.                                     | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 16. New World Fund - F2 -American Funds                                                                                     | B                                       | Int./Div.                                     | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. NFJ Dividend Value A                                                                                                    | B                                       | Int./Div.                                     | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                       |                                                     |                                                                                       |                                                         |                                                                                           |                                                              |
|-----------------------|-----------------------------------------------------|---------------------------------------------------------------------------------------|---------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|
| 1. Income Gain Codes: | A = \$1,000 or less<br>(See Columns B1 and D4)      | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000                                  | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000 | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000                                      | E = \$15,001 - \$50,000                                      |
| 2. Value Codes        | F = \$50,001 - \$100,000<br>(See Columns C1 and D3) | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000  | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |
| 3. Value Method Codes | Q = Appraisal<br>(See Column C2)                    | R = Cost (Real Estate Only)<br>V = Other                                              | S = Assessment<br>W = Estimated                         | T = Cash Market                                                                           |                                                              |

# FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Carr, James M.

Date of Report

09/13/2016

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code I<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                        |   |           |   |   |      |          |   |   |  |
|--------------------------------------------------------|---|-----------|---|---|------|----------|---|---|--|
| 18. Northern Small Cap Value Fund                      | B | Int./Div. | K | T |      |          |   |   |  |
| 19. PIMCO Commodities Plus Strategy Fund Class P       | B | Int./Div. | L | T |      |          |   |   |  |
| 20. Powershares QQQ Trust Unit Ser I                   | B | Int./Div. | M | T |      |          |   |   |  |
| 21. American Centurt Real Estate Fund                  | C | Int./Div. | M | T |      |          |   |   |  |
| 22. SPDR S&P 500 ETF Tr Unit                           | B | Int./Div. | M | T |      |          |   |   |  |
| 23. Templeton GLBL Bnd Fund - Advior Class             | B | Int./Div. | L | T |      |          |   |   |  |
| 24. The Oakmark International Fund Class I             | C | Int./Div. | L | T |      |          |   |   |  |
| 25. Brokerage Money Market - Dreyfus Corp              | B | Int./Div. | M | T | Buy  | 12/01/15 | M |   |  |
| 26. Brokerage Money Market Roth Account - Dreyfus Corp | A | Int./Div. | J | T |      |          |   |   |  |
| 27. Diversified Bond -American Century                 | B | Int./Div. | M | T |      |          |   |   |  |
| 28. Dodge & Cox Income Fund                            | C | Int./Div. | M | T |      |          |   |   |  |
| 29. Fidelity Adv Mid Cap II I                          | B | Int./Div. | L | T |      |          |   |   |  |
| 30. Fidelity Adv New Insights I                        | C | Int./Div. | M | T |      |          |   |   |  |
| 31. Fidelity Adv Government Income                     |   |           |   |   | Sold | 07/16/15 | L | A |  |
| 32. Harbor Bond Inst                                   |   |           |   |   | Sold | 02/18/15 | L | A |  |
| 33. Principal High Yield                               |   |           |   |   | Sold | 12/01/15 | L | A |  |
| 34. Scout International Fund                           |   |           |   |   | Sold | 02/18/15 | M | A |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Carr, James M.

Date of Report

09/13/2016

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. PIMCO All Asset                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 12/01/15                | N                               | A                              |                                                                   |
| 36.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

**FINANCIAL DISCLOSURE REPORT**

Page 7 of 8

Name of Person Reporting

Carr, James M.

Date of Report

09/13/2016

**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

09/13/2016

## 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