

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 05/15/2019
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 01/01/2018 to 12/31/2018
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.	Life Director	Metropolitan Indianapolis Public Broadcasting Corporation
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.	

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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.)*

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. Federal Judicial Center	3/13/18-3/16/18	New Orleans , La	Seminar CLE	Transportation , meals , hotel
2. US Govt	4/29/18-5/1/18	Chicago , Ill	7th Cir Bar Ass'n Meeting	Transportation, meals , hotel , parking
3. American Bankruptcy Institute	4/18/18- 4/21/18	Washington , DC	Presentation at seminar CLE	Transportation , meals , hotel
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.)*

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.		

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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. 401 K account Schwab Retirement Services, Inc., Vanguard Target Retir	A	Int./Div.			Closed	01/04/18	K		
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	A	Int./Div.	J	T					
7. ISharesTR Core S&P 500 ETF	C	Int./Div.	M	T					
8. Cash - Dreyfus Corp	A	Int./Div.	J	T					
9. Income Fund Class P -PIMCO	D	Int./Div.	M	T					
10. IShares TR Core S&P Mid-Cap ETF	A	Int./Div.	K	T					
11. Vanguard Bd Index Fds Total Bd Market ETF	D	Int./Div.	M	T					
12. Vanguard Bd Index Fds Vanguard Short TermBd ETF	A	Int./Div.	K	T					
13. The OakmarkSelect Fund Investor Class	C	Int./Div.	L	T					
14. Vanguard Intl Equity Index Fds FTSE Emerging Mkts ETF	B	Int./Div.	K	T					
15. AMG Managers Fairpointe Mid Cap Fund Class I	B	Int./Div.	K	T					
16. New World Fund - F2 -American Funds	B	Int./Div.	K	T					
17. Schwab Strategic Tr Intl Equity ETF	C	Int./Div.	M	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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☐ 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. FMI International Fund Institutional Class	A	Int./Div.	K	T					
19. The Oakmark International Small-Cap Fund Investor Class	A	Int./Div.			Sold	07/16/18	K	B	
20. Cohen & Steers Real Estate Securities Fund Class I	A	Int./Div.	K	T					
21. Deutsche Enhanced Commodity Strategy Fund Institutional Class	A	Int./Div.	K	T					
22. Fidelity Advisor Total Bond Fund Class I	C	Int./Div.	L	T					
23. iShares TR MSCI Eurozone ETF	A	Int./Div.			Sold	05/07/18	K	B	
24. Goldman Sachs International Small Cap Insights I	A	Int./Div.	K	T	Buy	07/16/18	K		
25. PIMCO Commodities Plus- P	A	Int./Div.	K	T	Buy	01/22/18	K		
26. Brokerage Money Market Roth Account - Dreyfus Corp	A	Int./Div.	J	T					
27. Brokerage Money Market - Dreyfus Corp	B	Int./Div.	M	T					
28.									
29.									
30.									
31.									
32.									
33.									
34.									

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
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35.									
36.									

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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/ 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
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