

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 04/23/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) SENIOR ARTICLE III	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
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, 1987-present	Kiwanis Club of Indianapolis
3. Director, 1996-present	Indiana University Health (nonprofit). Formerly Methodist Hospital; formerly Clarian Health Partners.
4. Member (affiliated with IUHealth) 1996-Present	Methodist Hospital Group
5. Member, 1996-present	Indiana University--Distinguished Alumni Service Association
6. Ex Officio Director/Officer, 2001-present	Federal Judges Association
7. Member, 2002-present	Indiana Academy

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.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

BARKER, SARAH E.

Date of Report

04/23/2020

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. 2019	Indiana University Health, Inc.
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 University Health	25-27 June 2019	Chicago, IL	Board of Directors Meeting	Transportation, accommodations, meals
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
BARKER, SARAH E.	04/23/2020

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

☐ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
1. Donations from persons who have worked directly with Judge (current & former clerks & staff)	35th Anniversary celebration (reception, food, flowers, after-party & engraved watch)	\$1,211.00
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 9

Name of Person Reporting

BARKER, SARAH E.

Date of Report

04/23/2020

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	C	Interest	M	T					
2. JP Morgan Chase Bank, Account	A	Interest	K	T					
3. BlackRock Global Allocation Fund (Mutual Fund, IRA #1)	A	Dividend	J	T					See Part VIII Note 1
4. Bank of America, NA RASP (IRA #1, cash equivalent) (Y)									
5. JP Morgan Chase Bank, Account	A	Interest	J	T					
6. Prudential Financial dba Talcott Resolution Life & Annuity(Whole Life)		None	J	T					See Part VIII Note 2
7. Ivy Natural Resources A (Mutual Fund, IRA #2)	A	Dividend	J	T					
8. Ivy International Core Equity A (Mutual Fund, IRA #2)	A	Dividend	K	T	Sold (part)	10/31/19	J		
9. Ivy Core Equity A (Mutual Fund, IRA #2)	C	Dividend	K	T					
10. Ivy Science & Technology A (Mutual Fund, IRA #2)	D	Dividend	L	T					
11. Ivy High Income A (Mutual Fund, IRA #2)	B	Dividend	K	T					
12. Ivy Securian Real Estate Securities A (Mutual Fund, IRA #2)	B	Dividend	K	T					
13. Ivy Small Cap Growth A (Mutual Fund, IRA #2)	A	Dividend	J	T					
14. Ivy Wilshire Global Allocation A (Mutual Fund, IRA #2)	B	Dividend	K	T					
15. Ivy Mid Cap Growth A (Mutual Fund, IRA #2)	C	Dividend	K	T					
16. Ivy Limited-Term Bond A (Mutual Fund, IRA #2)	A	Dividend	K	T					
17. American Balanced Fund CL A (Mutual Fund, IRA #1) (ABALX)	B	Dividend	L	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

BARKER, SARAH E.

Date of Report

04/23/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. BlackRock Low Duration Bond Fund CL A (Mutual Fund, IRA #1) (BLDAX)	A	Dividend	J	T					
19. BlackRock Advantage Large Cap Core Fund CL A (Mut. Fund, IRA #1) MDLRX	A	Dividend	J	T					
20. Franklin Invs Sec Trust Franklin Managed Incm Fund (Mutual Fund) FBLAX	D	Dividend	L	T					See Part VIII Note 3
21. Ivy Accumulative A (Mutual Fund)	B	Dividend	K	T					
22. Ivy Cash Management A (Mutual Fund)	A	Dividend	J	T					
23. BlackRock Global Allocation Fund (MDLOX) (Mutual Fund)	A	Dividend	K	T					
24. Ivy Small Cap Growth A (Mutual Fund)	B	Dividend	K	T					
25. Ivy Large Cap Growth A (Mutual Fund)	D	Dividend	L	T					
26. Ivy LaSalle Global Real Estate A (Mutual Fund)	A	Dividend	J	T					
27. Ivy Managed International Opportunities A (Mutual Fund)	A	Dividend	J	T					
28. Ivy Limited-Term Bond A (Mutual Fund)	A	Dividend	K	T					
29. Ivy Core Equity A (Mutual Fund)	C	Dividend	K	T	Buy	10/31/19	J		
30. Ivy Balanced A (Mutual Fund)	A	Dividend	J	T					
31. Ivy Global Equity Income A (Mutual Fund, IRA #3)	A	Dividend	J	T					
32. Ivy Science & Technology A (Mutual Fund, IRA #3)	A	Dividend	J	T					
33. Ivy LaSalle Global Real Estate A (Mutual Fund, IRA #3)	A	Dividend	J	T	Sold (part)	10/31/19	J		
34. Ivy International Core Equity A (Mutual Fund, IRA #3)	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

BARKER, SARAH E.

Date of Report

04/23/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35. Ivy Emerging Markets Equity A (Mutual Fund, IRA #3)	A	Dividend	J	T					
36. Ivy Balanced A (Mutual Fund, IRA #3)	B	Dividend	K	T					
37. American Balanced Fund CL A (Mutual Fund) (ABALX)	A	Dividend	K	T					
38. BlackRock Large Cap Focus Growth Fund IncA (MDFOX) (Mut. Fund, IRA #1)	A	Dividend	J	T					See Part VIII Note 4
39. BlackRock Strategic Income Opps PTF A (BASIX) (Mutual Fund, IRA #1)	A	Dividend	J	T					
40. BlackRock Capital Appreciation Fund A (MDFGX) (Mutual Fund, IRA#1)	A	Dividend	J	T					
41. BlackRock Advantage Global Fund Inc. A (MDGCX) (Mutual Fund, IRA#1)	A	Dividend	J	T					
42. BlackRock Basic Value Fund A (MDBAX) (Mutual Fund, IRA #1)	A	Dividend	J	T					
43. BlackRock Total Return Fund CL A (MDHGX) (Mutual Fund, IRA #1)	A	Dividend	J	T					
44. BlackRock Emerging Markets Fund A (MDDCX) (Mutual Fund, IRA #1)	A	Dividend	J	T	Buy	05/02/19	J		
45. BlackRock Equity Dividend Fund A (MDDVX) (Mutual Fund, IRA #1)	A	Dividend	J	T					
46. BlackRock International Fund A (MDILX) (Mutual Fund, IRA #1)	A	Dividend	J	T					
47. BlackRock High Yld BD Portfolio CL A (BHYAX) (Mutual Fund, IRA #1)	A	Dividend	J	T					
48. BlackRock Large Cap Focus Growth Fund Inc A (MDFOX) (Mutual Fund)	A	Dividend	J	T	Buy	12/10/19	J		See Part VIII Note 4
49. American Bond Fund of America CL C (BFACX)	A	Dividend	J	T					
50. Vanguard S&P 500 Growth Index Fund EFT (VOOG)	A	Dividend	J	T	Buy	05/01/19	J		
51. Vanguard S&P 500 Value Index Fund EFT (VOOV)	A	Dividend	J	T	Buy	05/01/19	J		

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	

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52. Ivy Mid Cap Growth A (Mutual Fund)	A	Dividend	J	T	Buy	10/31/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

BARKER, SARAH E.

Date of Report

04/23/2020

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

Part VII. Investments and Trusts:

Note #1--Apparent Duplications:

The BlackRock Global Allocation Fund listed at line 3 is held, as noted, in an IRA. The same fund is also listed at line 23 except that there it is held in a non-IRA account. In short, the asset has not been aggregated into a single entry because the ownership and/or account vehicles are substantially different.

Similar instances of non-aggregated holdings (and therefore apparent duplications in the filing) appear whenever a particular asset is held either in an IRA account as well as a non-IRA account or is held in two different IRA accounts. Such other instances (besides lines 3 and 23) include the following:

Lines 8 and 34 (Ivy International Core Equity A)
Lines 9 and 29 (Ivy Core Equity A)
Lines 10 and 32 (Ivy Science & Technology A)
Lines 13 and 24 (Ivy Small Cap Growth A)
Lines 15 and 52 (Ivy Mid Cap Growth A)
Lines 16 and 28 (Ivy Limited-Term Bond A)
Lines 17 and 37 (American Balanced Fund CL A)
Lines 26 and 33 (Ivy LaSalle Global Real Estate A)
Lines 30 and 36 (Ivy Balanced A)
Lines 38 and 48 (BlackRock Large Cap Focus Growth Inc Fund A)

Note #2, Line 6--Name Change:

This was previously designated as "Prudential Financial dba Hartford Life & Annuity Ins. Co." The Hartford dba has now become "Talcott Resolution Life and Annuity Insurance Company." The underlying whole life insurance policy, however, remains the same.

Note #3, Line 20--Name Change:

This asset name was formerly designated as Franklin Investors Securities Trust "Balanced Fund." On or about March 1, 2019, the name was changed to Franklin Investors Securities Trust "Franklin Managed Income Fund."

Note #4, Lines 38 and 48--Name Change and Symbol Change:

This asset, listed in an IRA account at line 38 and also listed in a non-IRA account at line 48, was previously reported as "BlackRock Large Cap Focus Growth Fund A" with its symbol being MDLHX. On December 6, 2019, the fund was reorganized, taking a new, slightly changed name, "BlackRock Large Cap Focus Growth Fund Inc A," and also adopting a new symbol, MDFOX.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

BARKER, SARAH E.

Date of Report

04/23/2020

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