

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) Carr, James M.	2. Court or Organization Bankruptcy Court for the Southern District of Indiana	3. Date of Report 11/10/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
5b. ☒ Amended Report		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 5/1/2019	Compensation for adjunct professor teaching busioness reorganization class at Maurer School of Law	\$5,200.00
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	7/7/19-7/10/19	New York , NY	Seminar CLE	Transportation , meals , hotel
2.	National Conference of Bankruptcy Judges	10/29/19-11/1/19	Washington DC	annual meeting and education committee meeting	Transportation , hotel
3.	American Bankruptcy Institute	4/11/19- 4/12/19	Washington , DC	Presentation at seminar CLE	Transportation , meals , hotel
4.	American Bankruptcy Institute	3/4/19-3/5/19	New York , NY	Judging Duberstein Moot Court competition	Transportation and hotel
5.	Indiana Continuing Legal Education Foundation	8/1/19	French Lick, In	Presentation at CLE seminar	Transportation and hotel

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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)	(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)
1. The Ball & Biscuit LLC	A	Dividend			Redeemed	08/31/19	J	A	The Ball & Biscuit LLC
2. Dreyfus Corp money market account	A	Int./Div.	K	T					
3. Brown Capital Management Small Company Fund Instit Institutional Class	A	Int./Div.	J	T					
4. ISharesTR Core S&P 500 ETF	C	Int./Div.	M	T					
5. Cash - Dreyfus Corp	A	Int./Div.	J	T					
6. Income Fund Class P -PIMCO	D	Int./Div.	L	T	Sold (part)	01/09/19	J	B	
7. IShares TR Core S&P Mid-Cap ETF	A	Int./Div.	K	T					
8. Vanguard Bd Index Fds Vanguard Short TermBd ETF	A	Int./Div.	K	T	Sold (part)	08/19/19	J	A	
9. The OakmarkSelect Fund Investor Class	C	Int./Div.	L	T					
10. Vanguard Intl Equity Index Fds FTSE Emerging Mkts ETF	B	Int./Div.	K	T					
11. AMG Managers Fairpointe Mid Cap Fund Class I	A	Int./Div.			Sold	11/25/19	K	B	
12. New World Fund - F2 -American Funds	B	Int./Div.	K	T					
13. Schwab Strategic Tr Intl Equity ETF	B	Int./Div.	L	T	Sold (part)	01/09/19	J	B	
14. FMI International Fund Institutional Class	A	Int./Div.	K	T					
15. Cohen & Steers Real Estate Securities Fund Class I	A	Int./Div.	J	T	Sold (part)	01/09/19	J	B	
16. Deutsche Enhanced Commodity Strategy Fund Institutional Class	A	Int./Div.	K	T					
17. Fidelity Advisor Total Bond Fund Class I	C	Int./Div.	L	T					

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		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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. Goldman Sachs International Small Cap Insights I	A	Int./Div.	K	T					
19. PIMCO Commodities Plus- P	A	Int./Div.	K	T					
20. Dreyfus Corp money market account	A	Int./Div.	J	T					
21. Dreyfus Corp money market account	B	Int./Div.	M	T					
22. Ishares TR Core S&P Small-Cap ETF	A	Int./Div.	K	T	Buy	08/19/19	K		
23. Parnassus Mid Cap Fund CL I	A	Int./Div.	K	T	Buy	11/25/19	K		
24. Vanguard Inflation Protected Secs ETF	A	Int./Div.	K	T	Buy	08/19/19	K		
25. Vanguard Bond IndexFunds Total Bond Market ETF	D	Int./Div.	M	T					
26.									
27.									
28.									
29.									
30.									
31.									
32.									
33.									

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

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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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