

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) Pratt, Tanya M.	2. Court or Organization United States District Court, Southern District of Indiana	3. Date of Report 07/29/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address Birch Bayh Federal Courthouse 46 E. Ohio Street Suite 330 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. Advisory Board	UNCF
2. Co-Trustee	Family Trust
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. 2009	Indiana State Judges Pension Fund
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. 07/20/2019	Executor Fee	\$1,500.00
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.				
2.				
3.				
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.		

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. series EE savings bonds	A	Interest	J	T					
2. series I savings bonds	A	Interest	J	T					
3. Chase Bank	A	Interest	J	T					
4. PNC (savings)	A	Interest	J	T					
5. APPL (Apple) stock	A	Dividend	J	T					
6. ARBA (Ariba Inc.) stock	A	Dividend	J	T					
7. CBMC (Calyptrc biomed) stock	A	Int./Div.	J	T					
8. CHK (Chesapeake Energy) stock	A	Int./Div.	J	T					
9. ERIC (Erricsson) stock	A	Dividend	J	T					
10. MSTR (Microstrategy Inc.)	A	Dividend	J	T					
11. WBMD (Web MD)	A	Interest	J	T					
12. Allianz IRA	B	Interest	M	T					
13. Indiana 529 Plan: Core Bond Index Profile	A	Interest	J	T					
14. Vanguard Institutional Index Fund	A	Interest	J	T					
15. Artio International Equity II Fund	A	Interest	J	T					
16. Indiana 529 Plan: Large Cap Index Portfolio Class A	A	Interest	J	T					
17. Indiana 529 Plan: International Index Portfolio Class	A	Interest	J	T					

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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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. Bank of America	A	Interest	J	T					
19. Citigroup	A	Dividend	J	T					
20. EMB-Ishares JP Morgan ETF	A	Dividend	J	T					
21. PCY-Power Shares EM MAR ETF	A	Dividend	J	T					
22. VCIT-Vanguard Intermediate ETF	A	Dividend	J	T					
23. VCSH-Vanguard Short Term ETF	A	Dividend	J	T					
24. VEA-Vanguard MSCI EAFE ETF	A	Dividend	J	T					
25. VNQ-Vanguard REIT ETF	A	Dividend			Sold	04/01/19	J	A	
26. VWO-Vanguard MSCI ETF	A	Dividend	J	T					
27. FEVIX-First Eagle US Value	A	Dividend			Sold	04/01/19	J	A	
28. GCIEF-Cabelli Equity Income	A	Interest			Sold	04/01/19	J	A	
29. GSZIX-Goldman Sachs Trust	A	Int./Div.			Sold	04/01/19	K	A	
30. ICEIX-IVY FDS	A	Interest			Sold	04/01/19	J	A	
31. IGLIX-ING Global Real Estate	A	Interest			Sold	04/01/19	J	A	
32. IVHIX-IVY FDS INC	A	Interest			Sold	04/01/19	J	A	
33. JIGFX-Janus INVT FD	A	Interest			Sold	04/01/19	J	A	
34. LDLFX-Lord Abbett Investment	A	Int./Div.			Sold	04/01/19	K	A	

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	

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	(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. MWTIX-Metropolitan West FDS	A	Interest			Sold	04/01/19	J	A	
36. NELYX-Loomis Sayles Limited	A	Interest			Sold	04/01/19	J	A	
37. ODVYX-Oppenheimer DEV MKTS	A	Interest			Sold	04/01/19	J	A	
38. PCRIX-PIMCO FDS PAC INVT	A	Interest	K	T					
39. PFIUX-PIMCO Unconstrained BD	A	Interest			Sold	08/09/19	J	A	
40. PRRIX-PIMCO Real Estate Return Bond	A	Interest			Sold	08/09/19	J	A	
41. SEVAX-Security Equity FD	A	Interest			Sold	08/09/19	J	A	
42. TGBAX-Templeton Funds	A	Interest			Sold	08/09/19	J	B	
43. TWHIX-American Century Funds	A	Interest			Sold	08/09/19	J	A	
44. XLF-Financial Select Sector SPDR	A	Interest	J	T					
45. XLI-Industrial Select Sector SPDR	A	Interest	J	T					
46. XLK-Technology Select Sector SPDR	A	Interest	J	T					
47. XLV-Healthcare Sector SPDR	A	Interest			Sold	08/09/19	J	A	
48. TIP-Ishares TIP Bond ET	A	Dividend			Sold	08/09/19	J	A	
49. FESGX-First Eagle S Global	A	Dividend			Sold	08/09/19	J	A	
50. PAUCX-PIMCO All Asset All Authority Fund	A	Dividend			Sold	08/09/19	J	A	
51. Family Trust (H)									

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	
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52. IWM-Ishares Russell 2000 ETF	A	Int./Div.	J	T					
53. IEMG-Ishares Emerging Markets ETF	A	Interest	J	T					
54. IJH -Ishares Core S&P MID ETF.	A	Interest	K	T					
55. IVV-Ishares Core S&P 500 ETF	A	Interest	J	T					
56. AGG-Ishares Core U.S. ETF	B	Int./Div.	L	T					
57. HYG-Ishares JP Morgan ETF USD Emerging Mkt Bond	A	Interest	J	T					
58. Ishares IBOXX\$ ETF high yield	A	Interest			Sold	10/16/19	J	A	
59. MBB-Ihsares MBS ETF	A	Interest	J	T	Buy (add'l)	05/24/19	J		
60. XLY-Select sector SPRD ETF	A	Interest	J	T					
61. RWO-SPDR Dow Jones ETF Global Real Estate	A	Int./Div.			Sold	10/16/19	J	A	
62. USMV Ishares Edge MSCI MIN VOL USA ETF	A	Interest	K	T	Buy	08/09/19	J		
63. EMB Ishares JP Morgan ETF USD EMERGING Markets Bond	A	Dividend	J	T	Buy	08/09/19	J		
64. HYLX XTRACKERS USD HIGH ETFyield Corp Bond	A	Dividend	J	T	Buy	08/09/19	J		
65. ARCX Ishares Tips Bond ETF	A	Dividend	J	T	Buy	07/18/19	J		
66. IEF IsharesTrust ISHARES 7 10 Year TR (X)	A	Interest	J	T	Buy	07/18/19	J		
67. PGBOX JP MORGAN TR II COre BD FD ULTRA (X)	A	Interest	J	T	Buy	07/18/19	J		
68. MJGXX JP MORGAN US GOV MONEY MARKET (X)	A	Dividend	J	T	Buy	03/20/19	J		

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69. PTTRX PIMCO TOTAL RETURN FUND (X)	B	Dividend	J	T	Buy	08/23/19	J		
70. PBDAX PIMCO INVESTMENT GRADE CREDIT BO (X)	A	Dividend	J	T	Buy	08/23/19	J		
71. PRCIX ROWE T PRICE NEW INCOME FD INC C (X)	A	Dividend	J	T	Buy	08/23/19	J		
72. CUSDX SIX CIRCLES TR ULTRA short Durat (X)	A	Int./Div.	J	T	Buy	08/23/19	J		
73. ARCX:BSX VANGUARD Short Term Bond ETF (X)	A	Dividend	J	T	Buy	08/23/19	J		
74. VTABX VANGUARD CHARLOTTE FDS Total INT (X)	A	Dividend	J	T	Buy	08/23/19	J		
75. VGTSX VANGUARD TOTAL NTERNATONAL BOND (X)	A	Int./Div.	J	T	Buy	08/23/19	J		

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

The Family Trust listed at VII at 53 was for the benefit of a disabled family member. That family member passed away on April 5, 2019. I had no beneficial interest in the principal or income from the trust, so there are no reportable assets in the Trust.

I received an inheritance of the funds listed at VII 66-75 inclusive, so I marked them with the (X) as per the instructions.

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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/ **Tanya M. Pratt**

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