

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 5/13/2021
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 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 46 EAST OHIO STREET, ROOM 210, INDIANAPOLIS, IN 46204		
IMPORTANT NOTES: <i>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>		

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, 1996-2020	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
8. Member, Board of Directors, 2020-Present	Indiana Landmarks
9. Co-Chair, Advisory Committee, 2020-Present	Digital Encyclopedia of Indianapolis
10. Co-Chair, Indiana University Building Names Committee, 9/2020-3/2021	Indiana University
11. Advisory Council, 2015-Present	Stanley K. Lacy Leadership Series
12.	
13.	
14.	
15.	

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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.	

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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.		
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. 2020	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.				
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.		

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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. Indianapolis Post Office Credit Union, Cash Account	B	Interest	M	T					
2. JP Morgan Chase Bank, Cash Account	A	Interest	K	T					
3. BlackRock Global Allocation Fund (Mutual Fund, IRA #1) (MDLOX)	A	Dividend	J	T					See Part VIII Note 1
4. JP Morgan Chase Bank, Cash Account	A	Interest	K	T					
5. Talcott Resolution Life & Annuity (Whole Life)		None	J	T					See Part VIII Note 2
6. Ivy Natural Resources A (Mutual Fund, IRA #2)	A	Dividend	J	T					
7. Ivy International Core Equity A (Mutual Fund, IRA #2)	A	Dividend	K	T					
8. Ivy Core Equity A (Mutual Fund, IRA #2)	B	Dividend	L	T					
9. Ivy Science & Technology A (Mutual Fund, IRA #2)	D	Dividend	L	T					
10. Ivy High Income A (Mutual Fund, IRA #2)	B	Dividend	K	T					
11. Ivy Securian Real Estate Securities A (Mutual Fund, IRA #2)	A	Dividend	K	T					
12. Ivy Small Cap Growth A (Mutual Fund, IRA #2)	B	Dividend	J	T					
13. Ivy Wilshire Global Allocation A (Mutual Fund, IRA #2)	A	Dividend	K	T					
14. Ivy Mid Cap Growth A (Mutual Fund, IRA #2)	D	Dividend	L	T					
15. Ivy Limited-Term Bond A (Mutual Fund, IRA #2)	A	Dividend	K	T					
16. American Balanced Fund CL A (Mutual Fund, IRA #1) (ABALX)	C	Dividend	L	T					
17. BlackRock Low Duration Bond Fund CL A (Mutual Fund, IRA #1) (BLDAX)	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	

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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)
18. BlackRock Advantage Large Cap Core Fund CL A (Mut. Fund, IRA #1) MDLRX	A	Dividend	J	T					
19. Franklin Invs Sec Trust Franklin Managed Incm Fund (Mutual Fund) FBLAX	C	Dividend	L	T					
20. Ivy Accumulative A (Mutual Fund)	B	Dividend	K	T					
21. Ivy Cash Management A (Mutual Fund)	A	Dividend	J	T					
22. BlackRock Global Allocation Fund (MDLOX) (Mutual Fund)	B	Dividend	K	T					
23. Ivy Small Cap Growth A (Mutual Fund)	C	Dividend	K	T					
24. Ivy Large Cap Growth A (Mutual Fund)	C	Dividend	L	T					
25. Ivy LaSalle Global Real Estate A (Mutual Fund)	A	Dividend	J	T					
26. Ivy Managed International Opportunities A (Mutual Fund)	A	Dividend	J	T					
27. Ivy Limited-Term Bond A (Mutual Fund)	A	Dividend	K	T					
28. Ivy Core Equity A (Mutual Fund)	B	Dividend	L	T					
29. Ivy Balanced A (Mutual Fund)	A	Dividend	J	T					
30. Ivy Global Equity Income A (Mutual Fund, IRA #3)	A	Dividend	J	T					See Part VIII Note 3
31. Ivy Science & Technology A (Mutual Fund, IRA #3)	B	Dividend	J	T					See Part VIII Note 3
32. Ivy LaSalle Global Real Estate A (Mutual Fund, IRA #3)	A	Dividend	J	T					See Part VIII Note 3
33. Ivy International Core Equity A (Mutual Fund, IRA #3)	A	Dividend	J	T					See Part VIII Note 3
34. Ivy Emerging Markets Equity A (Mutual Fund, IRA #3)	A	Dividend	J	T					See Part VIII Note 3

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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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35. Ivy Balanced A (Mutual Fund, IRA #3)	B	Dividend	K	T					See Part VIII Note 3
36. American Balanced Fund CL A (Mutual Fund) (ABALX)	A	Dividend	J	T					
37. BlackRock Large Cap Focus Growth Fund IncA (MDFOX) (Mut. Fund, IRA #1)	A	Dividend	J	T					
38. BlackRock Strategic Income Opps PTF A (BASIX) (Mutual Fund, IRA #1)	A	Dividend	J	T					
39. BlackRock Capital Appreciation Fund A (MDFGX) (Mutual Fund, IRA#1)	A	Dividend	J	T	Buy	12/14/20	J		
40. BlackRock Advantage Global Fund Inc. A (MDGCX) (Mutual Fund, IRA#1)	A	Dividend	J	T					
41. BlackRock Basic Value Fund A (MDBAX) (Mutual Fund, IRA #1)	A	Dividend	J	T					
42. BlackRock Total Return Fund CL A (MDHGX) (Mutual Fund, IRA #1)	A	Dividend	J	T					
43. BlackRock Emerging Markets Fund A (MDDCX) (Mutual Fund, IRA #1)	A	Dividend	J	T					
44. BlackRock Equity Dividend Fund A (MDDVX) (Mutual Fund, IRA #1)	A	Dividend	J	T					
45. BlackRock International Fund A (MDILX) (Mutual Fund, IRA #1)	A	Dividend	J	T	Buy	12/14/20	J		
46. BlackRock High Yld BD Portfolio CL A (BHYAX) (Mutual Fund, IRA #1)	A	Dividend	J	T					
47. BlackRock Large Cap Focus Growth Fund Inc A (MDFOX) (Mutual Fund)		None	J	T					
48. American Bond Fund of America CL C (BFACX)	A	Dividend	J	T					
49. Vanguard S&P 500 Growth Index Fund EFT (VOOG)	A	Dividend	J	T					
50. Vanguard S&P 500 Value Index Fund EFT (VOOV)	A	Dividend	J	T					
51. Ivy Mid Cap Growth A (Mutual Fund)	A	Dividend	J	T					

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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 22 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 22) include the following:

Lines 7 and 33 (Ivy International Core Equity A)

Lines 8 and 28 (Ivy Core Equity A)

Lines 9 and 31 (Ivy Science & Technology A)

Lines 12 and 23 (Ivy Small Cap Growth A)

Lines 14 and 51 (Ivy Mid Cap Growth A)

Lines 15 and 27 (Ivy Limited-Term Bond A)

Lines 16 and 36 (American Balanced Fund CL A)

Lines 25 and 32 (Ivy LaSalle Global Real Estate A)

Lines 29 and 35 (Ivy Balanced A)

Lines 37 and 47 (BlackRock Large Cap Focus Growth Inc Fund A)

Note #2

This asset was previously designated as "Prudential Financial dba Talcott Resolution Life & Annuity." We have since received notice that while Prudential Financial continues to administer the policy, Prudential Financial and its affiliates are not affiliates of Talcott Resolution, so we have dropped the "dba" designation.

Note #3

The six assets listed at lines 30 through 35 were held in a traditional IRA until 06/03/2020, when they were subjected to a Roth conversion transfer which changed "IRA #3" from a traditional to a Roth IRA. Although this was a taxable event, all taxes generated by the transfer were paid out of other funds, and no part of any of the six listed assets was sold, purchased, or liquidated in any manner. Since only the form of IRA#3 was changed but the assets themselves remained intact, we have assumed that no reportable "transaction" occurred.

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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/ 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
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Washington, D.C. 20544