

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, John C.	2. Court or Organization U.S. District Court, Eastern District of Texas	3. Date of Report 04/18/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address United States Courthouse 211 W. Ferguson St. Tyler, Texas 75702		
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. Power of Attorney	Member #1
2. Trustee	Trust #1 (unfunded 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. 2011	Yetter Coleman LLP defined-contribution retirement plan with former law firm, firm-managed asset selection
2. 2015	TexaSaver defined-contribution retirement plan with State of Texas, employer-managed asset selection
3. 2015	Employee Retirement System of Texas defined-benefit pension plan with State of Texas

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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.	
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 Bar Association, Dallas Chapter	January 10-11, 2020	Irving, TX	Northern District of Texas Bench-Bar Conference (moderator)	Transportation, food, lodging
2.	George Mason University Law & Economics Center	September 26- October 2, 2020	Pray, MT	Sage Lodge Colloquium	Transportation, food, lodging
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. IRA #1 (H)									
2. - Vanguard 500 Index Fund	B	Dividend	M	T					
3. - Vanguard Developed Markets Index Fund	A	Dividend	K	T					
4. IRA #2 (H)									
5. - Vanguard 500 Index Fund	B	Dividend	M	T					
6. IRA #3 (H)									
7. - Texas Instruments Inc. stock	A	Dividend	J	T					
8. - TDAmeritrade Deposit Account		None	K	T					
9. 401(k) Plan #1 (H)									
10. - TIAA-CREF Lifecycle Index Ret Fund		None	K	T					
11. - Fidelity International Index Fund		None	K	T					
12. - Vanguard Total Int'l Stock Index Fund		None	K	T					
13. - John Hancock Variable Insurance Trust 500 Index Trust		None	L	T					
14. - Fidelity ContraFund		None	K	T					
15. - American Funds Capital World Bond Fund		None	J	T					
16. - John Hancock Variable Insurance Trust Total Bond Market Trust		None	K	T					
17. 401(k) Plan #2 (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	
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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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18. - Fidelity Contrafund	D	Dividend	M	T					
19. - Vanguard Institutional Index 1	B	Dividend	L	T					
20. 401(k) Plan #3 (H)									
21. - LifePath Index 2045 Fund F	A	Dividend			Sold	05/13/20	J	A	
22. Section 529 Plan #1 (H)									
23. - Invest529 Vanguard Institutional Total Stock Market Index Fund		None	M	T					
24. - Invest529 Vanguard Total International Stock Index Fund		None	K	T					
25. Section 529 Plan #2 (H)									
26. - Utah my529 Age Based Aggressive Global Investment (X)	A	Dividend	K	T					
27. Brokerage #1 (H)									
28. - TD Ameritrade Deposit Account	A	Interest	N	T					
29. - Barrick Gold Corp. stock	A	Dividend	J	T					
30. - Entergy Corp. stock	A	Dividend	K	T					
31. - Excelon Corp. stock	B	Dividend	K	T					
32. - ExxonMobil stock	A	Dividend	J	T	Buy	03/10/20	J		
33. - FirstEnergy Corp. stock	A	Dividend	J	T					
34. - Newmont Mining Corp. stock	A	Dividend	J	T					

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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	
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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35. - Royal Dutch Shell PLC American depository shares	A	Dividend	J	T					
36. - Southern Co. stock	A	Dividend	J	T					
37. - Texas Instruments stock	C	Dividend	M	T					
38. - AllianceBernstein Income Fund	C	Dividend	L	T					
39. - Janus Henderson Research Fund	A	Dividend	K	T					
40. Brokerage #2 (H)									
41. - Vanguard LifeStrategy Growth Fund	A	Dividend	J	T					
42. - Vanguard LifeStrategy Income Fund	A	Dividend	J	T					
43. - Vanguard 500 Index Fund	A	Dividend	J	T					
44. TIAA Bank (formerly EverBank) Cash Account	A	Interest	M	T					
45. American Express Bank Cash Account	B	Interest	M	T					
46. American State Bank Cash Account	A	Interest	J	T	Open	01/21/20	J		

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

Part I, line 2 trust (██████ Trust #1) is unfunded.

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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/ **John C. 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