

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) Barrett, Amy C.	2. Court or Organization 7th Circuit	3. Date of Report 10/09/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit 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 U.S. Court of Appeals for the Seventh Circuit Robert K. Rodibaugh U.S. Courthouse 401 S. Michigan St., Suite 222 South Bend, IN 46601-2304		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Adjunct Professor	University of Notre Dame Law School
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

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. 2019	University of Notre Dame Law School, teaching income	\$27,825.00
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. 2019	SouthBank Legal: Ladue Curran Kuehn, salary
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. Vanderbilt University	February 1-2, 2019	Nashville, TN	Moot Court Competition	Transportation, lodging, meals, airport parking
2. Notre Dame Club of Washington	February 19-20, 2019	Washington, DC	Notre Dame alumni lecture - educational	Transportation, lodging, meals, airport parking
3. Federalist Society	April 4-5, 2019	Charlottesville, VA	Federalist Society Lecture - educational	Transportation, lodging, meals, airport parking
4. Federalist Society	April 11-14, 2019	New Orleans, LA	Federalist Society Lecture - educational	Transportation, meals
5. George Mason University	April 25-26, 2019	Arlington, VA	Scalia Forum Panelist	Transportation, lodging, meals, airport parking

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6.	Georgetown Law School	May 21-23, 2019	Washington, DC	Originalism Boot Camp Lecture - educational	Transportation, lodging, meals, airport parking
7.	Brigham Young University	September 4-7, 2019	Salt Lake City, UT	Reuben Clark Law School - BYU Founders Day Lecture	Transportation, lodging, meals
8.	William & Mary Law School	September 13-15, 2019	Williamsburg, VA	Supreme Court Preview	Transportation, lodging, meals, airport parking
9.	Case Western Law School	Sept 19-20, 2019	Cleveland, OH	Sumner Canary Lecture - educational	Mileage, tolls, lodging, meals
10.	Princeton University	October 17-18, 2019	Princeton, NJ	Walter F. Murphy Lecture - educational	Transportation, lodging, meals, airport parking
11.	Federalist Society	November 14-16, 2019	Washington, DC	Federalist Society National Lawyers Convention Panelist	Transportation, lodging, meals, airport parking
12.	Federalist Society	February 25, 2019	Philadelphia, PA	Federalist Society Lecture - educational	Transportation, lodging, meals, airport parking
13.	Villanova Law School	February 25, 2019	Villanova, PA	Lecture	Transportation, lodging, meals, airport parking

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1. [REDACTED]	Tuition Agreement	K
2. [REDACTED]	Tuition Agreement	J
3. [REDACTED]	College tuition	None
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) 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. Flagstar Cash Accounts	A	Int./Div.	K	T					
2. Rental of Residence, South Bend IN (Y)									
3. Brokerage Account #1 (H)									
4. -Fidelity Dividend Growth Fund	B	Dividend	K	T					
5. -Fidelity Trend Fund	D	Dividend	L	T					
6. -Fidelity Money Market Fund	A	Int./Div.	K	T					
7. Brokerage Account #2 (H)									
8. -American Funds AMCAP F2	A	Dividend	J	T					
9. -American Funds American Mutual Fund F2	A	Dividend	J	T					
10. -Blackrock Global Long/Short Credit Institutional	A	Dividend	J	T					
11. -Securian Brokerage Money Market Account	A	Dividend	J	T					
12. -Dodge & Cox Income	A	Dividend	J	T					
13. -Franklin Mutual Global Discovery Fund-Class Z	B	Dividend	K	T	Sold (part)	01/08/19	J		
14. -Invesco Oppenheimer Senior Floating Rate Fund	A	Dividend	J	T					
15. -Invesco Oppenheimer Steelpath MLP Select 40 Fund Class I	A	Dividend	J	T					
16. -PIMCO Funds Income Fund Institutional	B	Dividend	K	T					
17. -Principal Global Diversified Income Fund Class (P)	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. -Templeton Global Bond Fund-Advisor Class	B	Dividend	K	T					
19. -Vanguard Specialized Portfolio REIT Index ADM	A	Dividend	K	T					
20. -PIMCO Short-term	A	Dividend	J	T					
21. -AMG Yacktman Fund Service Class	B	Dividend	K	T					
22. -Loomis Strategic Income Fund-Y	A	Dividend	J	T					
23. -American Funds New Perspective Fund-F3	A	Dividend	J	T	Donated (part)				
24. -Invesco Oppenheimer Developing Markets Fund Y	A	Dividend	J	T					
25. -Invesco Oppenheimer International Small Company	A	Dividend	J	T					
26. -Primecap Odyssey Funds Growth Fund	A	Dividend	J	T					
27. -T. Rowe Price Blue Chip Growth		None			Donated				
28. -Lord Abbett Short Duration Income Fund Class F	A	Dividend	J	T					
29. -Blackrock Russell 2000 Small Cap Index - institutional	A	Dividend	K	T	Sold (part)	04/04/19	J	A	
30. IRA #1 (H)									
31. -American Funds New Perspective F2	A	Dividend	J	T					
32. -AMG Yacktman Fund Service Class	B	Dividend	K	T	Sold (part)	03/13/19	J		
33. -Securian Brokerage Money Market Account	A	Dividend	J	T					
34. -Dodge & Cox Income	A	Dividend	J	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		
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35. -Eventide Gilead Fund Class 1	A	Dividend	J	T	Buy	03/13/19	J		
36. -Homestead Small-Company Stock Fund	B	Dividend	J	T	Sold (part)	03/13/19	J		
37. -Loomis Strategic Income Fund	A	Dividend			Sold	03/13/19	J		
38. -Franklin Mutual Global Discovery Fund- Class Z	A	Dividend	J	T					
39. -Nuveen Equity Market Neutral fund		None			Buy	03/13/19	J		
40.					Sold	09/16/19	J		
41. -Invesco Oppenheimer Developing Markets Fund	A	Dividend	J	T					
42. -Invesco Oppenheimer International Small Mid Company Fund	A	Dividend	J	T	Buy	09/17/19	J		
43. -PIMCO Funds Income FD P	A	Dividend	J	T					
44. -Primecap Odyssey Funds Growth Fund	A	Dividend	J	T	Buy	09/16/19	J		
45. -Principal Global Diversified Income Fund Class P	A	Dividend			Sold	09/16/19	J		
46. -T. Rowe Price Blue Chip Growth	A	Dividend	J	T					
47. -Templeton Global Bond Fund-Advisor Class	A	Dividend	J	T					
48. -Vanguard Specialized Portfolio REIT Index ADM	A	Dividend	J	T	Sold (part)	03/13/19	J	A	
49. IRA #2 (H)									
50. -American Funds Capital Income Builder Class C	A	Dividend	J	T					
51. -Securian Brokerage Money Market Account		None	J	T					

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52. IRA #3 (H)									
53. -AMG River Road Small Cap Value Fund Class 1	A	Dividend	J	T					
54. -AQR Funds Managed Future Strategies 1	A	Dividend	J	T					
55. -Blackrock Strategic Income Opportunities	A	Dividend	J	T	Buy	07/18/19	J		
56. -Securian Brokerage Money Market Account	A	Dividend	J	T					
57. -Columbia Commodity Strategy Fund-R4	A	Dividend	J	T					
58. -Diamond Hill Long-Short Fund Class I	A	Dividend	J	T					
59. -Dodge & Cox International Stock Fund	A	Dividend	J	T					
60. -Fidelity Adv International Growth	A	Dividend	J	T	Sold (part)	07/18/19	J	A	
61. -FPA New Income Inc.	A	Dividend	J	T	Buy (add'l)	07/18/19	J		
62. -Hotchkis and Wiley Large-Cap Value Fund Class I	A	Dividend	J	T	Sold (part)	07/18/19	J		
63. -Invesco Growth Ser. Inv. Conv. Sec. Fund Y	A	Dividend	J	T					
64. -Loomis Strategic Income Fund-Y	A	Dividend			Sold	07/18/19	J		
65. -Invesco Oppenheimer Developing Markets Fund Y	A	Dividend	J	T					
66. -Primecap Odyssey Funds Growth Fund	A	Dividend	J	T					
67. -Prudential Global Real Estate Class Z	A	Dividend	J	T					
68. -T. Rowe Price Blue Chip Growth	A	Dividend	J	T					

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69. -JP Morgan Small Cap Growth Fund-L	A	Dividend	J	T					
70. -Templeton Global Bond Fund-Advisor Class	A	Dividend	J	T					
71. -Victory Munder International Small-Cap Fund Class Y	A	Dividend	J	T					
72. 403(B) (H)									
73. -Vanguard Institutional Tr. 2040	E	Dividend	O	T					
74. 401(K) (H)									
75. -Fidelity Low Price Stock	D	Dividend	M	T					
76. -Vanguard Extended Market Index Fund Institutional Shares	A	Dividend	K	T					
77. -PIMCO Total Return Institutional Class	A	Dividend	J	T					
78. Indiana 529 Plan #1 (H)									
79. -U.S. Equity Index Portfolio		None	M	T	Distributed (part)	12/05/19	J		
80.					Distributed (part)	12/23/19	J		
81. -International Portfolio		None	J	T	Distributed (part)	12/05/19	J		
82. -Bond Portfolio		None	K	T	Distributed (part)	12/05/19	J		
83. 529 Plan #2 (H)									
84. -Louisiana Principal Protection Fund	A	Interest	J	T	Distributed (part)	07/12/19	J		
85.					Distributed (part)	12/06/19	J		

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86. -Vanguard Institutional Total Stock Market Index, Inst. Plus	A	Dividend	J	T	Buy (add'l)	01/17/19	J		
87.					Distributed (part)	07/12/19	K		
88.					Distributed (part)	12/06/19	J		
89. Indiana 529 Plan #3 (H)									
90. -U.S. Equity Index Portfolio		None	K	T					
91. -International Portfolio		None	J	T					
92. -Bond Index Portfolio		None	J	T					
93. ABLE Account (H)									
94. -Aggressive Option	A	Int./Div.	J	T					
95. Knights of Columbus Life Insurance Policy	A	Int./Div.	J	T					

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

Part VII: On October 1, 2020, I filed an amended 2019 disclosure report because I noticed while preparing my 2020 nomination report that I had transposed the letters in Line 4 Box 1 and Line 5 Box 1 in my 2019 annual report. They were reported as D and B respectively and should have been B and D instead. When my tax professional fixed that error for the amended filing, she inadvertently did so on a draft of my 2019 disclosure rather than on the final version. This second amended 2019 FDR corrects the typo on Lines 4 and 5 using the filed version of my 2019 FDR.

Line 2: Residence was not rented out in 2019

Lines 11, 33, 51, and 56: The Securian Brokerage Money Market Accounts are holding accounts for cash in the accounts.

Lines 14, 15, 24, 25, 41, 42, and 65: Invesco acquired Oppenheimer funds on May 24, 2019.

Lines 72, 78, 89 and 93: The 403(b) account, the 529 accounts, and the ABLE account provide the market value of the investment vehicles in the accounts.

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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/ Amy C. Barrett

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