

**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) Pratt, Tanya M.	2. Court or Organization United States District Court, Southern District of Indiana	3. Date of Report 07/24/2021
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	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Advisory Board	UNCF
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. 2009	Indiana Judges Pension Fund
2.	
3.	

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Name of Person Reporting

Pratt, Tanya M.

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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.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Pratt, Tanya M.	07/24/2021

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) 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. series EE savings bonds	A	Interest	J	T					
2. series I savings bonds	A	Interest	J	T					
3. Chase Bank	A	Interest	L	T					
4. PNC (savings)	B	Interest	L	T					
5. Huntington Bank Account	A	Interest	K	T	Open	02/08/20	K		
6. APPL (Apple) stock	A	Dividend	K	T					
7. ARBA (Ariba Inc.) stock	A	Dividend			Sold	10/10/20	J	A	
8. CBMC (Calyptrc biomed) stock (X)(H)	A	Int./Div.			Closed	04/06/20	J		
9. CHK (Chesapeake Energy) stock	A	Int./Div.			Sold	10/10/20	J	A	
10. ERIC (Erricsson) stock	A	Dividend	J	T					
11. MSTR (Microstrategy Inc.)	A	Dividend	J	T					
12. WBMD (Web MD)	A	Interest			Sold	02/12/20	J	A	
13. Allianz IRA	B	Interest	M	T					
14. Indiana 529 Plan: Core Bond Index Profile	A	Interest	J	T					
15. Vanguard Institutional Index Fund	A	Interest	J	T					
16. Artio International Equity II Fund	A	Interest	J	T					
17. Indiana 529 Plan: Large Cap Index Portfolio Class A	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

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. Indiana 529 Plan: International Index Portfolio Class	A	Interest	J	T					
19. Bank of America (Savings acct)	A	Interest	J	T					
20. Citigroup	A	Dividend	J	T					
21. EMB-Ishares JP Morgan ETF	A	Dividend	J	T					
22. PCY-Power Shares EM MAR ETF	A	Dividend	J	T					
23. VCIT-Vanguard Intermediate ETF	A	Dividend	J	T					
24. VCSH-Vanguard Short Term ETF	A	Dividend	J	T					
25. VEA-Vanguard MSCI EAFE ETF	A	Dividend	J	T					
26. PCRIX-PIMCO FDS PAC INVT	A	Interest	K	T					
27. XLF-Financial Select Sector SPDR	A	Interest	J	T					
28. XLI-Industrial Select Sector SPDR	A	Interest	J	T					
29. XLK-Technology Select Sector SPDR	A	Interest	J	T					
30. XLV-Healthcare Sector SPDR	A	Interest	J	T					
31. TIP-Ishares TIP Bond ET	A	Dividend	J	T					
32. FESGX-First Eagle S Global	A	Dividend	J	T					
33. PAUCX-PIMCO All Asset All Authority Fund	A	Dividend	J	T					
34. IWM-Ishares Russell 2000 ETF	A	Int./Div.	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

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)
35. IEMG-Ishares Emerging Markets ETF	A	Int./Div.	J	T	Buy (add'l)	03/05/20	J		\
36. Ishares IBOXX\$ ETF high yield	A	Dividend	J	T	Buy	02/22/20	J		
37. IJH -Ishares Core S&P MID ETF.	A	Interest	K	T					
38. IVV-Ishares Core S&P 500 ETF	A	Interest	J	T					
39. AGG-Ishares Core U.S. ETF	B	Int./Div.	L	T					
40. HYG-Ishares JP Morgan ETF USD Emerging Mkt Bond	A	Interest	J	T					
41. Ishares IBOXX\$ ETF high yield	A	Interest	J	T					
42. MBB-Ihsares MBS ETF	A	Interest	J	T					
43. XLY-Select sector SPRD ETF	A	Interest	J	T					
44. RWO-SPDR Dow Jones ETF Global Real Estate	A	Int./Div.	J	T					
45. EMB Ishares JP Morgan ETF USD Emerging Markets Bond	A	Int./Div.	J	T					
46. HYLX XTRACKERS USD High ETFYield Corp Bond	A	Dividend	J	T					
47. ARCX Ishares Tips Bond ETF	A	Dividend	J	T					
48. IEF Ishres Trust ISHARES 7 10 year TR(x)	A	Dividend	J	T					
49. PGBOX JP MORGAN TR II Core BD FD ULTRA (X)	A	Dividend			Sold	07/13/20	J	A	
50. MJGXX JP Morgan US GOV MONEY MARKET (X)	A	Dividend			Sold	07/13/20	J	A	
51. PTTRX PIMCO TOTAL RETURN FUND (X)	B	Dividend			Sold	07/13/20	J	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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52. PBDAX PIMCO INVESTMENT GRADE CREDIT BO (X)	A	Dividend			Sold	07/13/20	J	A	
53. PRCIX ROWE T PRIC NEW INCOME FD INC C (X)	A	Dividend			Sold	07/13/20	J	A	
54. CUSDX SIX IRCLES TR ULTRA Short Durat (X)	A	Dividend			Sold	07/13/20	J	A	
55. ARCX:BSX VANGUARD Short Term Bond ETF (X)	A	Dividend			Sold	07/13/20	J	A	
56. VTABX VANGUARD CHARLOTTE FDS Total INT (X)	A	Dividend	J	T					
57. VGT SX VANGUARD TOTAL INTERNATIONAL BOND X	A	Dividend	J	T					
58. Select Sector SPDR ETF Communicac tion SVCS XLX	D	Dividend	J	T	Buy	07/13/20	J		
59. VANGUARD FTSE ETF Developed Markets ETF VEA	E	Dividend	K	T	Buy	07/13/20	K		
60. VANGUARD Health Care ETF VHT	C	Dividend	J	T	Buy	07/13/20	J		
61. VANGUARD intermediate Bond VCIT	D	Dividend	J	T	Buy	07/13/20	J		
62. VANGUARD MID CAPETF VO	E	Dividend	K	T	Buy	07/13/20	J		
63. MODERNA MRNA	D	Int./Div.	J	T	Buy	05/07/20	J		
64. PFIZER PFE	A	Dividend	J	T	Buy	05/07/20	J		
65. Blackrock Index FDS INC ISHARES INTL BTMKX	A	Dividend	J	T	Buy	01/24/20	J		
66. FIDELITY SALEM STR TR 500 index fund FXAIX	B	Dividend	K	T	Buy	01/24/20	K		
67. ISHARES CORE MSCI IEMG	A	Dividend	J	T	Buy	01/24/20	J		
68. JP MORGAN EXCHANGE BB CA	A	Dividend	J	T	Buy	01/24/20	J		

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
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	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)
69. JP MORGAN EXCHANGE BBAX	A	Dividend	J	T	Buy	01/24/20	J		
70. SIX CIRCLES TR INTL UNCONSTRAINED EQUITY CIUEX	A	Dividend	J	T	Buy	01/24/20	J		
71. VANGUARD INDEX TR	A	Dividend	J	T	Buy	01/24/20	J		

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

Changes from my last report:

The [REDACTED] Trust listed at VII. 51 in the last report was distributed on death in 2019 so it was removed from the 2020 report.

The CBMC (Calypso biomed stock) at VII. 7 was terminated or closed in 2020 and the explanation on the fund (Charles Schwab) was "Registration revoked by SEC"

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Name of Person Reporting

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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