

FINANCIAL DISCLOSURE REPORT
INITIAL FILINGReport Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Holmes, Barbara D.	2. Court or Organization U.S. District Court, MD Tennessee	3. Date of Report 12/09/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge (Full Time)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☒ Initial ☐ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2014 to 09/30/2015
7. Chambers or Office Address U.S. Courthouse 801 Broadway, Room 756 Nashville, TN 37203		
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.	Director	Renewal House
2.	Director	Homework Hotline
3.	Trustee	Nashville Bar Foundation
4.	Trustee	Tennessee Bar Foundation
5.	Director	Peterson Foundation for Parkinson's
6.	Executor	██████████ Estate #1
7.	Shareholder (Partner)	Harwell Howard Hyne Gabbert & Manner, P.C.

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. 2013	Harwell Howard Hyne Gabbert & Manner P.C. - Salary	\$439,740.33
2. 2014	Harwell Howard Hyne Gabbert & Manner P.C. - Salary	\$269,892.14
3. 2015	Harwell Howard Hyne Gabbert & Manner P.C. - Salary	\$98,349.61
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. 2013	Metropolitan Nashville Davidson County - Salary
2. 2013	Powers Management - Salary
3. 2014	Metropolitan Nashville Davidson County - Salary
4. 2014	Powers Management - Salary
5. 2015	Metropolitan Nashville Davidson County - Salary
6. 2015	Powers Management - Salary

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. Exempt				
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.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	Exempt		
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.			
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) 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. U.S. Savings Bond	A	Interest	J	T					
2. Northwestern Mutual Variable Annuity (H)		None							
3. -Delaware MGMT Domestic Equity	A	Int./Div.	K	T					
4. -Janus Focused Appreciation	A	Int./Div.	K	T					
5. -American Century Mid Cap Value	A	Int./Div.	J	T					
6. -Fidelity VIP Mid Cap	A	Int./Div.	J	T					
7. -T Rowe Price Mid Cap Value	A	Int./Div.	J	T					
8. -Wellington Small Cap Growth	A	Int./Div.	J	T					
9. -Franklin Templeton International Equity	A	Int./Div.	K	T					
10. -Wells Capital Mgmt. Select Bond	A	Int./Div.	J	T					
11. -Federated Investors High Yield Bond	A	Int./Div.	J	T					
12. Mass Mutual Enchanced Whole Life Policy	A	Dividend	K	T					
13. Regions Money Market	A	Interest	K	T					
14. US Community Credit Union Various Cash Accounts	A	Interest	M	T					
15. Stock in Harwell Howard Hyne Gabbert Manner P.C. (H3GM)		None			Sold	07/31/15	J		H3GM
16. UBS 401(k) (with former employer)		None			Sold	08/27/15	O		IRA Rollover
17. -AB High Income	A	Int./Div.			Sold	08/27/15	K		

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	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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☐ 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 I (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. -Alger Spectra Inst.		None			Sold	08/27/15	K		
19. -Allianz NFJ Small Cap Value		None			Sold	08/27/15	K		
20. -American Century Equity	C	Int./Div.			Sold	08/27/15	K		
21. -Columbia Acorn Intl.		None			Sold	08/27/15	K		
22. -Cuna Mutual Guarantee Account	A	Int./Div.			Sold	08/27/15	K		
23. -Delaware Diversified Income	C	Int./Div.			Sold	08/27/15	L		
24. -Delaware Value		None			Sold	08/27/15	K		
25. -First Eagle Overseas		None			Sold	08/27/15	K		
26. -Ivy Asset Strategy		None			Sold	08/27/15	K		
27. -John Hancock Large Cap Equity	B	Int./Div.			Sold	08/27/15	K		
28. -JP Morgan Large Cap Growth	C	Int./Div.			Sold	08/27/15	K		
29. -Lord Abbett Value	B	Int./Div.			Sold	08/27/15	K		
30. -MFS Value		None			Sold	08/27/15	K		
31. -Oppenheimer Intl Growth		None			Sold	08/27/15	K		
32. -Pimco GNMA	B	Int./Div.			Sold	08/27/15	K		
33. -Prudential GLBL Reas Estate	B	Int./Div.			Sold	08/27/15	K		
34. -Templeton Global Bond		None			Sold	08/27/15	L		

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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. -Virtus Alternatives	A	Int./Div.			Sold	08/27/15	K		
36. Pershing LLC IRA (Cash)		None	O	T	Open	09/16/15	O		IRA Rollover

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

In part I I listed being an executor to [redacted] Estate #1. This [redacted] Estate was not established by anyone in my household. In addition, there is no one in my household who receives any interest or income from the estate.

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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/ Barbara D. Holmes**

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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