

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 05/10/2019
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address 46 EAST OHIO STREET, ROOM 210, 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.)

<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-present	Indiana University Health (nonprofit). Formerly Methodist Health Group; formerly Clarian Health Partners.
4. Member, 1996-present	Indiana University--Distinguished Alumni Service Association
5. Ex Officio Director/Officer, 2001-present	Federal Judges Association
6. Member, 2002-present	Indiana Academy

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.)*

DATE	SOURCE AND TYPE	INCOME (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.)*

DATE	SOURCE AND TYPE
1. 2018	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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Federal Judges Association	May 5-6, 2018	Washington, DC	Board of Directors Meeting	Transportation, accommodations
2. Duke Law School	May 24-25, 2018	Durham, NC	Teach Class for Judicial Masters Program	Transportation, accommodations, meals
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.		
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. Indianapolis Post Office Credit Union, Account	B	Interest	M	T					
2. JP Morgan Chase Bank, Account	A	Interest	K	T					
3. BlackRock Global Allocation Fund (Mutual Fund, IRA #1)	A	Dividend	J	T					See Part VIII Note 1
4. Bank of America, NA RASP (IRA #1, cash equivalent)	A	Interest	J	T	Distributed (part)	03/19/18	J		
5. JP Morgan Chase Bank, Account	A	Interest	J	T					
6. Prudential Financial dba Hartford Life & Annuity Ins. Co. (Whole Life)		None	J	T					See Part VIII Note 2
7. Ivy Natural Resources A (Mutual Fund, IRA #2)		None	J	T					
8. Ivy International Core Equity A (Mutual Fund, IRA #2)	C	Dividend	K	T	Sold (part)	03/25/18	J		
9. Ivy Core Equity A (Mutual Fund, IRA #2)	D	Dividend	K	T					
10. Ivy Science & Technology A (Mutual Fund, IRA #2)	C	Dividend	K	T					See Part VIII Note 3
11. Ivy High Income A (Mutual Fund, IRA #2)	B	Dividend	K	T					See Part VIII Note 4
12. Ivy Securian Real Estate Securities A (Mutual Fund, IRA #2)	B	Dividend	K	T					See Part VIII Note 5
13. Ivy Small Cap Growth A (Mutual Fund, IRA #2)	B	Dividend	J	T					See Part VIII Note 6
14. Ivy Wilshire Global Allocation A (Mutual Fund, IRA #2)	B	Dividend	K	T					See Part VIII Note 7
15. Ivy Mid Cap Growth A (Mutual Fund, IRA #2)	C	Dividend	K	T					See Part VIII Note 8
16. Ivy Limited-Term Bond A (Mutual Fund, IRA #2)	A	Dividend	K	T					
17. American Balanced Fund CL A (Mutual Fund, IRA #1) (ABALX)	C	Dividend	L	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market

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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 Low Duration Bond Fund CL A (Mutual Fund, IRA #1) (BLDAX)	A	Dividend	J	T					
19. BlackRock Advantage Large Cap Core Fund CL A (Mut. Fund, IRA #1) MDLRX	A	Dividend	J	T					
20. Franklin Investors Securities Trust Balanced Fund (Mutual Fund)	C	Dividend	L	T					
21. Ivy Accumulative A (Mutual Fund)	C	Dividend	K	T					See Part VIII Note 9
22. Ivy Cash Management A (Mutual Fund)	A	Dividend	J	T					See Part VIII Note 10
23. BlackRock Global Allocation Fund (MDLOX) (Mutual Fund)	A	Dividend	K	T					
24. Ivy Small Cap Growth A (Mutual Fund)	D	Dividend	K	T					See Part VIII Note 11
25. Ivy Large Cap Growth A (Mutual Fund)	C	Dividend	K	T					See Part VIII Note 12
26. Ivy LaSalle Global Real Estate A (Mutual Fund)	A	Dividend	J	T					
27. Ivy Managed International Opportunities A (Mutual Fund)	A	Dividend	J	T					
28. Ivy Limited-Term Bond A (Mutual Fund)	A	Dividend	K	T					
29. Waddell & Reed Advisors Vanguard A (Mutual Fund) (Y)									See Part VIII Note 13
30. Ivy Core Equity A (Mutual Fund)	C	Dividend	K	T	Buy	07/25/18	J		
31. Ivy Balanced A (Mutual Fund)	A	Dividend	J	T	Buy	07/25/18	J		
32. Ivy Global Equity Income A (Mutual Fund, IRA #3)	B	Dividend	J	T					See Part VIII Note 14
33. Ivy Science & Technology A (Mutual Fund, IRA #3)	A	Dividend	J	T					
34. Ivy LaSalle Global Real Estate A (Mutual Fund, IRA #3)	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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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)

35. Ivy International Core Equity A (Mutual Fund, IRA #3)	A	Dividend	J	T					
36. Ivy Emerging Markets Equity A (Mutual Fund, IRA #3)	A	Dividend	J	T					
37. Ivy Balanced A (Mutual Fund, IRA #3)	B	Dividend	K	T	Sold (part)	07/25/18	J		
38. American Balanced Fund CL A (Mutual Fund)	A	Dividend	J	T					
39. BlackRock Large Cap Focus Growth Fund A (MDLHX) (Mutual Fund, IRA #1)	B	Dividend	J	T					
40. BlackRock Strategic Income Opps PTF A (BASIX) (Mutual Fund, IRA #1)	A	Dividend	J	T					
41. BlackRock Capital Appreciation Fund A (MDFGX) (Mutual Fund, IRA#1)	A	Dividend	J	T					
42. BlackRock Advantage Global Fund Inc. A (MDGCX) (Mutual Fund, IRA#1)	A	Dividend	J	T					
43. BlackRock Basic Value Fund A (MDBAX) (Mutual Fund, IRA #1)	B	Dividend	J	T					
44. BlackRock Total Return Fund CL A (MDHGX) (Mutual Fund, IRA #1)	A	Dividend	J	T					
45. BlackRock Emerging Markets Fund A (MDDCX) (Mutual Fund, IRA #1)	A	Dividend	J	T					
46. BlackRock Equity Dividend Fund A (MDDVX) (Mutual Fund, IRA #1)	A	Dividend	J	T					
47. BlackRock International Fund A (MDILX) (Mutual Fund, IRA #1)	A	Dividend	J	T					
48. BlackRock High Yld BD Portfolio CL A (BHYAX) (Mutual Fund, IRA #1)	A	Dividend	J	T					
49. BlackRock Large Cap Focus Growth Fund A (MDLHX) (Mutual Fund)	A	Dividend	J	T					
50. American Bond Fund of America CL C (BFACX)	A	Dividend	J	T	Buy	03/22/18	J		
51. Vanguard S&P 500 Growth Index Fund EFT (VOOG)	A	Dividend	J	T	Buy	05/23/18	J		

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	(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)
52. Vanguard S&P 500 Value Index Fund EFT (VOOV)	A	Dividend	J	T	Buy	05/23/18	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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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 23 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 23) include the following:

Lines 8 and 35 (Ivy International Core Equity A)
Lines 9 and 30 (Ivy Core Equity A)
Lines 13 and 24 (Ivy Small Cap Growth A)
Lines 16 and 28 (Ivy Limited-Term Bond A)
Lines 17 and 38 (American Balanced Fund CL A)
Lines 26 and 34 (Ivy LaSalle Global Real Estate A)
Lines 31 and 37 (Ivy Balanced A)
Lines 39 and 49 (BlackRock Large Cap Focus Growth Fund A)

Note #2--Ownership Clarification:

This asset, whose ownership is now in Prudential Financial, was formerly designated on Line 6 as "Hartford Whole Life."

Note #3--Name Change/Merger:

This asset name was formerly designated on line 10 as "Waddell & Reed Advisors Science & Technology A," but on 23 Feb 2018 it was merged into the Ivy Science & Technology A fund now reported on that line.

Note #4--Name Change/Merger:

This asset was formerly designated on line 11 as "Waddell & Reed Advisors High Income A," but on 23 Feb 2018 it was merged into the Ivy High Income A Fund now reported on that line.

Note #5--Name Change:

This asset was formerly designated on line 12 as "Ivy Advantus Real Estate Securities A," but it was renamed as presently listed on that line, "Ivy Securian Real Estate Securities A."

Note #6--Name Change/Merger:

This asset was formerly designated on line 13 as "Waddell & Reed Advisors Small Cap A," but it was merged on 23 Feb 2018 into the Ivy Small Cap Growth A fund now reported on that line.

Note #7--Name Change/Merger:

This asset was formerly designated on line 14 as "Waddell & Reed Advisors Wilshire Global Allocation A," but it was merged on 23 Feb 2018 into the Ivy Wilshire Global Allocation A fund now reported on that line.

Note #8--Name Change/Merger:

This asset was formerly designated on line 15 as "Waddell & Reed Advisors New Concepts A," but on 23 Feb 2018 it was merged into the Ivy Mid Cap Growth A fund now reported on that line.

Note #9--Name Change/Merger:

This asset was formerly designated on line 21 as "Waddell & Reed Advisors Accumulative A," but on 23 Feb 2018 it was merged into the Ivy Accumulative A fund now reported on that line.

Note #10--Name Change/Merger:

This asset was formerly designated on line 22 as "Waddell & Reed Advisors Cash Management A," but on 23 Feb 2018 it was merged into the Ivy Cash Management A fund now reported on that line.

Note #11--Name Change/Merger:

This asset was formerly designated on line 24 as "Waddell & Reed Advisors Small Cap A," but on 23 Feb 2018 it was merged into the Ivy Small Cap Growth A fund now reported on that line.

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

Note #12--Name Change/Merger:

This asset was formerly designated on line 25 as "Ivy Tax-Managed Equity A," but on 02 Nov 2018 it was merged into the Ivy Large Cap Growth A fund now reported on that line.

Note #13--Name Change/Merger into Asset Reported Elsewhere:

This asset was formerly designated on line 29 as "Waddell & Reed Advisors Vanguard A," but it was merged on 23 Feb 2018 into Ivy Large Cap Growth A, a fund which is reported at line 25. Accordingly, line 29 has been absorbed into line 25.

Note #14--Name Change/Merger:

This asset was formerly designated on line 32 as "Ivy Dividend Opportunitites A," but on 23 Feb 2018 it was merged into the Ivy Global Equity Income A fund now reported on that line.

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544