

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Holmes, Barbara D.	2. Court or Organization U.S. District Court, MD Tennessee	3. Date of Report 10/31/2016
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 01/01/2015 to 12/31/2015
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	Homework Hotline
2.	Trustee	Nashville Bar Foundation
3.	Trustee	Tennessee Bar Foundation
4.	Director	Peterson Foundation for Parkinson's
5.	Executor	Family Estate #1
6.	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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Holmes, Barbara D.

Date of Report

10/31/2016

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. 2015	Harwell Howard Hyne Gabbert & Manner P.C. - Salary	\$98,349.61
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. 2015	Metropolitan Nashville Davidson County - Salary
2. 2015	Powers Management - Salary
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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Holmes, Barbara D.

Date of Report

10/31/2016

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.	Nashville Bar Association	Purchase of refreshments for investiture ceremony	\$519.00
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.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Holmes, Barbara D.

Date of Report

10/31/2016

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		None			Closed	09/30/15	M		1035 Exchange-Nationwide
3. -Delaware MGMT Domestic Equity	A	Int./Div.			Sold	09/30/15	K		
4. -Janus Focused Appreciation	A	Int./Div.			Sold	09/30/15	J		
5. -American Centruy Mid Cap Value	A	Int./Div.			Sold	09/30/15	K		
6. -Fidelity VIP Mid Cap	A	Int./Div.			Sold	09/30/15	J		
7. -T Rowe Price Mid Cap Value	A	Int./Div.			Sold	09/30/15	J		
8. -Wellington Small Cap Growth	A	Int./Div.			Sold	09/30/15	J		
9. -Franklin Templeton International Equity	A	Int./Div.			Sold	09/30/15	K		
10. -Wells Capital Mgmt. Select Bond	A	Int./Div.			Sold	09/30/15	K		
11. -Federated Investors High Yield Bond	A	Int./Div.			Sold	09/30/15	K		
12. Mass Mutual Enhanced Whole Life Policy	A	Dividend	K	T					
13. Regions Money Market	A	Interest	L	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	N		IRA Rollover
17. -AB High Income	A	Dividend			Sold	08/27/15	K		

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		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Holmes, Barbara D.

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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				
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18. -Alger Spectra Inst.	A	Dividend			Sold	08/27/15	K		
19. -Allianz NFJ Small Cap Value	A	Dividend			Sold	08/27/15	K		
20. -American Century Equity	C	Dividend			Sold	08/27/15	K		
21. -Columbia Acorn Intl.	A	Dividend			Sold	08/27/15	K		
22. -Cuna Mutual Guarantee Account	A	Dividend			Sold	08/27/15	K		
23. -Delaware Diversified Income	C	Dividend			Sold	08/27/15	K		
24. -Delaware Value	A	Dividend			Sold	08/27/15	K		
25. -First Eagle Overseas	A	Dividend			Sold	08/27/15	K		
26. -Ivy Asset Strategy	A	Dividend			Sold	08/27/15	K		
27. -John Hancock Large Cap Growth	B	Dividend			Sold	08/27/15	K		
28. -JP Morgan Large Cap Growth	C	Dividend			Sold	08/27/15	K		
29. -Lord Abbett Value	B	Dividend			Sold	08/27/15	K		
30. -MFS Value	A	Dividend			Sold	08/27/15	K		
31. -Oppenheimer Intl. Growth	A	Dividend			Sold	08/27/15	K		
32. -Pimco GNMA	B	Dividend			Sold	08/27/15	K		
33. -Prudential GLBL Real Estate	B	Dividend			Sold	08/27/15	K		
34. -Templeton Global Bond	A	Dividend			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 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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FINANCIAL DISCLOSURE REPORT

Page 6 of 9

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35. -Virtus Alternatives	A	Dividend			Sold	08/27/15	K		
36. Pershing LLC IRA (Cash)	A	Interest	L	T	Open	09/16/15	L		
37. -iShares Core Aggregate Bond Fund ETF	A	Dividend	L	T	Buy	11/04/15	L		
38. -iShares US Investment Grade Bond Fund ETF	A	Dividend	M	T	Buy	11/04/15	L		
39. -iShares Core High Dividend ETF	A	Dividend	K	T	Buy	11/13/15	K		
40. -Vanguard World Energy ETF	A	Dividend	K	T	Buy	11/04/15	K		
41. -Vanguard International Equity Emerging Markets ETF	A	Dividend	K	T	Buy	11/04/15	K		
42. -Vanguard Index Growth ETF	A	Dividend	L	T	Buy	11/04/15	L		
43. -Vanguard Index Growth ETF	A	Dividend	L	T	Buy	11/30/15	L		
44. - Vanguard Index Value ETF	A	Dividend	L	T	Buy	11/04/15	L		
45. Nationwide Variable Annuity		None	M	T	Buy	10/09/15	M		
46. -Fidelity VIP Free 2010 Mutual Fund	A	Dividend	L	T	Buy	10/09/15	L		
47. -NW Cardinal Managed Growth Mutual Fund	A	Dividend	L	T	Buy	10/09/15	L		
48. -NW Indvest Managed Growth Mutual Fund	A	Dividend	L	T	Buy	10/09/15	L		
49. -NW Indvest Managed Growth Inc II Mutual Fund	A	Dividend	L	T	Buy	10/09/15	L		
50.									
51.									

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FINANCIAL DISCLOSURE REPORT

Page 7 of 9

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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Holmes, Barbara D.

Date of Report

10/31/2016

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

In part I I listed being an executor to Family Estate #1. This Family 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.

Please note Northwestern Mutual VA was exchanged, not sold, therefore listed as "closed".

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Holmes, Barbara D.

Date of Report

10/31/2016

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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Washington, D.C. 20544