

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) McKinney, Larry J.	2. Court or Organization U.S. District Court, Southern District of Indiana	3. Date of Report 05/14/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge, Article III, Senior Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 361 Birch Bayh Federal Building and United States Courthouse 46 East Ohio Street 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.		
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. 1978-1987	Indiana Judicial Retirement System - No control
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	Indiana Judicial Retirement System - Pension	\$36,000.00
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. 2013	Franklin College of Indiana (Spouse) - Wages
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.				

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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.	Chase Bank	Mortgage - Staten Island, New York - Condominium	M
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. Schwab IRA (H)	A	Int./Div.	J	T					
2. - Lexington Gold Mutual Fund (LEXMX)					Sold	03/14/13	K	C	
3. - Schwab Adv Cash Reserve (SWQXX)					Buy	03/18/13	M		
4.					Sold	03/20/13	M	A	
5. -iShares Trust S&P 500 (IVV)					Sold	03/14/13	K	D	
6. -PIMCO Total Return Mutual Fund (PTTRX)					Sold	03/14/13	J	A	
7. -iShares Tr MSCI EAFE Fund (EFA)					Sold	03/14/13	K	B	
8. -Vanguard Appreciation Fund (VIG)					Sold	03/14/13	K	C	
9. -Schwab US Large Cap Growth (SCHG)					Sold	03/14/13	K	B	
10. -American Fd Growth Fund (GFAFX)					Sold	03/14/13	J	C	
11. -Sound Shore Fund (SSHFX)					Sold	03/14/13	J	B	
12. -Vanguard MSCI European (VGK)					Sold	03/14/13	J	A	
13. -Schwab Emerging Mkt Eq ETF (SCHE)					Sold	03/14/13	L	B	
14. -Vanguard Bond Index Fund (BIV)					Sold	03/14/13	K	A	
15. -Loomis Sayles Bond Fund (LSBRX)					Sold	03/14/13	K	B	
16.									
17. State Farm Life Insurance Policy #1 - Cash Value	A	Interest	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = \$15,001 - \$50,000	E = \$15,001 - \$50,000 F = \$50,001 - \$100,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,001 - \$500,000	K = \$15,001 - \$50,000 O = \$50,001 - \$1,000,000	L = \$50,001 - \$100,000 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				
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18. State Farm Life Insurance Policy #2 - Cash Value	A	Interest	J	T					
19.									
20. St. Joseph County, IN Farm - [REDACTED]	D	Rent	M	W					
21.									
22. Huntington TOD Account #1 (H)									
23. -Huntington Money Market (HFIXX)	A	Dividend	J	T					
24. -Van Kampen Unit Trs Unit 1269 Closed End Strat Fund	D	Dividend	L	T					
25. -Build Amer Bds Income Tr Unit (12008A443)	C	Dividend	L	T					
26. -Invesco Unit Trs Unit 1305 ETF (46133L478)	A	Dividend	J	T	Buy	05/13/13	J		
27.					Buy	07/25/13	J		
28.					Buy	10/25/13	J		
29.									
30. Schwab IRA #2 (H)					Closed	03/06/13	M	D	
31. -Schwab Adv Cash Reserve (SWQXX)									
32. -Lexington Gold Mutual Fd (LEXMX)					Sold	03/06/13	J	A	
33. -American Funds Growth Fd of Amer (AGTHX)					Sold	03/06/13	J	A	
34. -PIMCO Local Emerging Market (PELBX)					Sold	03/06/13	J	A	

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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. -Dreyfus Small Cap Stock (DISSX)					Sold	03/06/13	J	C	
36. -PIMCO Total Return Fund (PTTRX)					Sold	03/06/13	K	A	
37. -PIMCO Unconstrained Bd Fd (PUBDX)					Sold	03/06/13	K	A	
38. -Schwab US Large Cap Growth (SCHG)					Sold	03/06/13	J	B	
39. -Schwab US Large Cap Value (SCHV)					Sold	03/06/13	K	D	
40. -Oakmark Intl Fd (OAKIX)					Sold	03/06/13	J	B	
41. -PIMCO Total Return (PTTDX)					Sold	03/06/13	J	A	
42. -Osterweis Strategic (OSTIX)					Sold	03/06/13	J	A	
43. -Vanguard MSCI European (VGK)					Sold	03/06/13	J	A	
44. -Schwab Emerging Mkt ETF (SCHE)					Sold	03/06/13	J	A	
45. -Vanguard Short-Term Bond ETF (BSV)					Sold	03/06/13	K	A	
46. -Loomis Sayles Bond Fund (LSBRX)					Sold	03/06/13	J	A	
47.									
48. Schwab Joint Account (H)									
49. -PIMCO Total Return fund (PTTDX)	A	Dividend	J	T					
50. -Schwab Muni Money Fd (SWXXX)	A	Dividend	J	T					
51.									

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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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52. Salin Bank Premier Interest Checking	A	Interest	K	T					
53.									
54. Staten Island, New York - Condominium		None	N	W					
55.									
56. Sovereign Bank Account	A	Interest	J	T					
57.									
58. Ameritas Life Ins Policy - Cash Value (X)	A	Interest	J	T					
59.									
60. Huntington Hartford Retirement Account #1 (H) (X)	D	Interest	N	T	Open	03/18/13	N		
61. -Htfd Index HLS (X)			M	T	Buy	03/18/13	M		
62. -Htfd Port Diversifier HLS (X)			M	T	Buy	03/18/13	M		
63.									
64. Huntington Hartford Retirement Account #2 (H) (X)	D	Interest	M	T	Open	03/18/13	M		
65. -Htfd Index HLS (X)			M	T	Buy	03/18/13	L		
66. -Htfd Port Diversifier HLS (X)			M	T	Buy	03/18/13	L		
67.									
68. Franklin College Defined Contribution Retirement Plan (H) (X)	D	Dividend	K	T					

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69. -CREF U747044-8 (X)			J	T					
70. -T-C Lifecycl 2010-Rtmt (X)			J	T					

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

- 1.) Part II - Indiana state pension for eight and a half years on the state bench from January 1978 to July 1987.
- 2.) Part III - Indiana state pension amount. Similar amounts should have been reported for the reporting years 2010, 2011 and 2012, and some, smaller amount for the reporting year 2009, but were inadvertently omitted because of the prior disclosure in Part II of the pension and a mis-reading of the Instructions regarding excludable pensions. Amendments for the prior years' disclosures will be forthcoming.
- 3.) Part VII, lines 1 through 15 - This IRA was closed in March 2013 and the assets transferred to a new account, Huntington Hartford Retirement Account #1, listed at lines 60 through 62 and designated with an "(X)." There is some small amount of cash remaining in this IRA.
- 4.) Part VII, lines 17 and 18 - (Part VII, Lines 24 and 25 on the 2012 Report) Insurance policies that I own on each of my two [REDACTED]. The premiums have been prepaid for both. The value indicated is the cash value.
- 5.) Part VII, line 20 - The most appropriate code for farm income is rent. This income represents shared income after expenses with the farmer.
- 6.) Part VII, lines 30 through 46 - This IRA was rolled over in March 2013 and the assets transferred to a new account, Huntington Hartford Retirement Account #2, listed at lines 64 through 66 and designated with an "(X)."
- 7.) Part VII, line 58 - Life insurance policy that [REDACTED] owns on me. The premiums are paid with principle in the account. Amount indicated is the cash value.
- 8.) Part VII, lines 60 through 62 - As previously disclosed in number 3.) above, this account received assets from the closed Schwab IRA reported at lines 1 through 15. The income during the reporting period is most accurately reported for the entire account because the amount for the Index Fund is positive, but is offset by the decrease in the Port Diversifier Fund.
- 9.) Part VII, lines 64 through 66 - As previously disclosed in number 6.) above, this account received funds rolled over from the IRA reported at Part VII, lines 30 through 46. The income during the reporting period is most accurately reported for the entire account because the amount for the Index Fund is positive, but is offset by the decrease in the Port Diversifier Fund.
- 10.) Part VII, lines 68 through 70 - My [REDACTED] employer's pension/retirement plan account is newly reported. I was unaware until late in 2013 that the amount in the fund exceeded the reporting thresholds. The total gain for the two funds, the CREF Annuity and the T-C Lifecycle 2010-Rtmt, is reported to most accurately reflect the change in value of this pension/retirement plan.

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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/ **Larry J. McKinney**

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
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Washington, D.C. 20544