

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 05/14/2018
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 01/01/2017 to 12/31/2017
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
7. Director, 2010-2017	Spencer Williams Foundation
8. Commissioner, Indiana Bicentennial Commission, 2011-2017	State of Indiana, Office of the Lt. Governor
9. Advisory Member, Community Advisory Board, 2015-2016	Indiana University Grand Challenges Program
10. Advisory Member, Faith and Action Project, 2017	Christian Theological Seminary

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.	

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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.		
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. 2017	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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Federal Judges Association	May 24-25, 2017	Washington, D.C.	Annual Board Meeting	Transportation, accommodations, meals
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.)*

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.		

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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 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)

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)	03/10/17	J		
5. JP Morgan Chase Bank, Account	A	Interest	K	T					
6. Hartford Whole Life		None	J	T					
7. Ivy Natural Resources A (Mutual Fund, IRA #2)		None	J	T					See Part VIII note 2
8. Ivy International Core Equity A (Mutual Fund, IRA #2)	A	Dividend	L	T					
9. Ivy Core Equity A (Mutual Fund, IRA #2)	C	Dividend	K	T					See Part VIII note 3
10. Waddell & Reed Advisors Science & Technology A (Mutual Fund, IRA #2)	C	Dividend	K	T					
11. Waddell & Reed Advisors High Income A (Mutual Fund, IRA #2)	B	Dividend	K	T					
12. Ivy Advantus Real Estate Securities A (Mutual Fund, IRA #2)	B	Dividend	K	T					See Part VIII note 4
13. Waddell & Reed Advisors Small Cap A (Mutual Fund, IRA #2)	A	Dividend	J	T					
14. Waddell&Reed Advisors Wilshire Global Allocation A (Mut. Fund, IRA #2)	B	Dividend	K	T	Sold (part)	03/20/17	J	B	See Part VIII note 5
15. Waddell & Reed Advisors New Concepts A (Mutual Fund, IRA #2)	B	Dividend	K	T					
16. Ivy Limited-Term Bond A (Mutual Fund, IRA #2)	A	Dividend	K	T					
17. American Balanced Fund CL A (Mutual Fund, IRA #1)	A	Dividend	L	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 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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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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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)	A	Dividend	J	T					
19. BlackRock Advantage Large Cap Core Fund CL A (Mutual Fund, IRA #1)	A	Dividend	J	T					See Part VIII note 6
20. Franklin Investors Securities Trust Balanced Fund (FBMCX)(Mutual Fund)	C	Dividend	L	T					See Part VIII note 7
21. Waddell & Reed Advisors Accumulative A (Mutual Fund)	B	Dividend	K	T					
22. Waddell & Reed Advisors Cash Management A (Mutual Fund)	A	Dividend	J	T					
23. BlackRock Global Allocation Fund (MDLOX) (Mutual Fund)	A	Dividend	K	T					
24. Waddell & Reed Advisors Small Cap A (Mutual Fund)	C	Dividend	K	T					
25. Ivy Tax-Managed Equity A (Mutual Fund)	B	Dividend	K	T					See Part VIII note 8
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)	B	Dividend	K	T					
30. Ivy Core Equity A (Mutual Fund)	B	Dividend	K	T	Buy	03/20/17	J		See Part VIII note 9
31. Ivy Balanced A (Mutual Fund)	A	Dividend	J	T	Buy	03/20/17	J		
32. Ivy Dividend Opportunities A (Mutual Fund, IRA #3)	A	Dividend	J	T					
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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35. Ivy International Core Equity A (Mutual Fund, IRA #3)	A	Dividend	J	T	Sold	03/20/17	J	A	
36. Ivy Emerging Markets Equity A (Mutual Fund, IRA #3)	A	Dividend	J	T					
37. Ivy Balanced A (Mutual Fund, IRA #3)	A	Dividend	K	T					
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	Distributed (part)	03/10/17	J	A	See Part VIII notes 10&11
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)	B	Dividend	J	T					See Part VIII note 12
43. BlackRock Basic Value Fund A (MDBAX) (Mutual Fund, IRA #1)	A	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	Buy	03/10/17	J		

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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 13 and 24 (Waddell & Reed Advisors Small Cap A)
Lines 9 and 30 (Ivy Core Equity 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--Name Change:

This asset name was formerly named "Ivy Global Natural Resources A," which is how it was designated on the 2016 Financial Disclosure Report.

Note #3--Name Change:

This asset was formerly named "Waddell & Reed Advisors Core Investment A," which is how it was designated on the 2016 Financial Disclosure Report.

Note #4--Name Change:

This asset was formerly named "Ivy Real Estate Securities A," which is how it was designated on the 2016 Financial Disclosure Report.

Note #5--Name Change:

This asset was formerly named "Waddell & Reed Advisors Asset Strategy A," which is how it was designated on the 2016 Financial Disclosure Report.

Note #6--Name Change:

This asset was formerly named "BlackRock Large Cap Core Fund A," which is how it was designated on the 2016 Financial Disclosure Report.

Note #7--Name Change:

This asset was formerly named "Franklin Templeton Balanced Fund," which is how it was designated on the 2016 Financial Disclosure Report.

Note #8--Name Change:

This asset was formerly named "Waddell & Reed Tax-Managed Equity A," which is how it was designated on the 2016 Financial Disclosure Report.

Note #9--Name Change:

This asset was formerly named "Waddell & Reed Advisors Core Investment A," which is how it was designated on the 2016 Financial Disclosure Report.

Note #10--Transfer by Journal Entry:

The IRA account (IRA #1) shown at line 39 as holding the BlackRock Large Cap Focus Growth Fund A (formerly BlackRock Large Cap Growth Fund A) is subject to an annual age-related Required Minimum Distribution ("RMD"). In accomplishing the 2017 RMD out of this IRA #1, a portion of this BlackRock fund was transferred out of the IRA account by journal entry and then transferred on the same date into a non-IRA account, also by journal entry. See line 49 detailing that non-IRA account's reception of the transfer from the IRA. We are informed that these transfers did not constitute a sale or a repurchase and did not generate

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any fund fees. Accordingly, we have reported the line 39 outgoing transfer as a "distribution," but since there is no corresponding computerized category to reflect accurately the receiving side of the transfer, we have described the transfer into the non-IRA account at line 49 as a "Buy."

Note #11--Name Change:

This asset was formerly named "BlackRock Large Cap Growth Fund A," which is how it was designated on the 2016 Financial Disclosure Report.

Note #12--Name Change:

This asset was formerly named "BlackRock Global Small Cap Fund A," which is how it was designated on the 2016 Financial Disclosure Report.

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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