

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) BAKER, TIM A.	2. Court or Organization U.S. DISTRICT COURT, SDIN	3. Date of Report 6/14/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US MAGISTRATE JUDGE FULL-TIME	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address UNITED STATES COURTHOUSE 46 E. OHIO STREET, ROOM 234 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.	Custodian	Vanguard Group Trustee (Nos. 1-3)
2.	Trustee	Trust Agreement (Trust No. 9)
3.		
4.		
5.		

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 6

Name of Person Reporting

BAKER, TIM A.

Date of Report

6/14/2017

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. 2016	Indiana University
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. Indiana State Bar Association	10/28/2016-10/29/2016	Indianapolis, Indiana	Served as Chair of the Annual Meeting	Reimbursement of registration and lodging.
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 6

Name of Person Reporting

BAKER, TIM A.

Date of Report

6/14/2017

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 6

Name of Person Reporting

BAKER, TIM A.

Date of Report

6/14/2017

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. Vanguard Trust Group	E	Interest	N	T	Sold (part)		L		
2. Trust Agreement (Trust No. 9)		None	O	W					
3. TIAA CREF	E	Interest	N	T					
4. College Choice 529 Investment Plan	B	Interest	K	T					
5. College Choice 529 Investment Plan	B	Interest	K	T					
6. College Choice 529 Investment Plan	B	Interest	K	T					
7. Edward Jones Growth Fund of America Trust No. 1	A	Interest			Sold	05/2016	J		
8. Edward Jones Growth Fund of America Trust No. 2	A	Interest			Sold	05/2016	J		
9. Edward Jones Growth Fund of America Trust No. 3	A	Interest	J	T					
10. Chase Bank Account No. 1		None	K	T					
11. Chase Bank Account No. 2	A	Interest	K	T					
12. Chase Bank Account No. 3		None	J	T					
13. Chase Bank Account No. 4	A	Interest	J	T					
14.									
15.									
16.									
17.									

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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 6

Name of Person Reporting

BAKER, TIM A.

Date of Report

6/14/2017

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

1. With respect to part VII, line 1, additional shares were purchased for the Vanguard Trust Group in December 2015, each with a Value Code of J. These were shares of the Vanguard Windsor II Fund, Investor Shares. In addition, shares of those funds were sold on March 23, 2016, August 19, 2016, August 22, 2016, September 12, 2016, and December 2, 2016. The Value Code for each of those sales was J. In addition, shares of those funds also were sold on August 8, 2016, and December 2, 2016, and the Value Code for each of these sales was K.
2. With respect to Part VII, line 3, the TIAA CREF fund is a 401(K) retirement fund with monthly contributions with a value of J each month and a total value for the year of K. Additionally, that account is more fully described as the "TIAA-CREF Growth Account," with NASDAQ symbol of QCGR1X.
3. As in prior disclosures, with respect to Part VII, page 4, lines 4-6, these 529 plans are aged-based plans, with monthly contributions to each plan. The value of the contributions to each plan each month is J, and the total value of contributions to each plan for the year is B.
4. With respect to part VII, lines 7 and 8, those Edward Jones funds were sold in their entirety in May 2016, though the exact date is unknown.

FINANCIAL DISCLOSURE REPORT

Page 6 of 6

Name of Person Reporting	Date of Report
BAKER, TIM A.	6/14/2017

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/ **TIM A. BAKER**

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
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