

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) Holmes, Barbara D.	2. Court or Organization U.S. District Court	3. Date of Report 02/20/2019
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 01/01/2017 to 12/31/2017
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.	Trustee	Nashville Bar Foundation
2.	Executor	Family Estate # 1
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 7

Name of Person Reporting

Holmes, Barbara D.

Date of Report

02/20/2019

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	Metropolitan Nashville Davidson County - Salary
2. 2017	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. Nashville Bar Association	02/04/2017-02/06/2017	Miami, FL	ABA Mid-Winter Meeting	Transportation, Lodging, Meals and Incidentals
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

Holmes, Barbara D.

Date of Report

02/20/2019

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	Credit Card	J
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Holmes, Barbara D.

Date of Report

02/20/2019

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. Mass Mutual Enhanced Whole Life Policy	A	Dividend	K	T					
3. Regions Money Market	A	Interest	L	T					
4. US Community Credit Union Various Cash Account	A	Interest	M	T					
5. Pershing LLC IRA (Cash)	A	Interest	J	T					
6. -iShares TR Core S&P Small Cap ETF	A	Dividend	K	T	Buy	11/02/17	K		
7. -First Trust Large Cap Growth Alphadex FD	A	Dividend	J	T	Buy	11/09/17	J		
8. -iShares Real Estate Fund	A	Dividend	J	T					
9. -Vanguard Real Estate Fund ETF	A	Dividend	J	T					
10. -Vanguard World Energy Fund ETF	B	Dividend	K	T					
11. -iShares Core Aggregate Bond Fund ETF	C	Dividend	L	T					
12. -iShares US Investment Grade Bond Fund ETF	C	Dividend	L	T					
13. -iShares Core High Dividend Fund	C	Dividend	K	T					
14. -Vanguard International Equity Emerging Markets ETF	A	Dividend	K	T					
15. -Vanguard Index Growth ETF	C	Dividend	M	T					
16. -Vanguard Index Value ETF	C	Dividend	L	T					
17. Nationwide Variable Annuity (H)									

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 = \$250,000.01 - \$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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

Holmes, Barbara D.

Date of Report

02/20/2019

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)

18. -Fidelity VIP Free 2010 Mutual Fund	B	Dividend	L	T					
19. -NW Cardinal Managed Growth Mutual Fund	B	Dividend	L	T					
20. -NW Indvest Managed Growth Mutual Fund	B	Dividend	L	T					
21. -NW Indvest Managed Growth Inc II Mutual Fund	B	Dividend	L	T					
22.									

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 7

Name of Person Reporting

Holmes, Barbara D.

Date of Report

02/20/2019

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

In Part I, I listed being an Executor to Family Estate #1. The 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 that position Vanguard World Energy Fund has not changed. I left out the word "World" in the 2017 report. My apologies and I have added the word "World" to the 2017 report. In addition, please note that the position ticker (VDE) has not changed but with different custodians and websites is known as both Vanguard World Energy Fund and Vanguard Energy Fund.

Please note that position Vanguard World Energy Fund (VDE) is known as both Vanguard World Energy Fund and Vanguard Energy Fund, depending on the custodian reporting software and websites. Please note that this asset was listed twice in section VII (lines 7 & 12) on the 2016 report due to the purchase of additional shares of VDE during that reporting period (Line 7), which was in addition to my existing position in VDE as reflected in Line 12 of Section VII; they are the same asset position with the ticker symbol VDE, although the interchangeable long description was used for the two line, which inadvertently caused confusion. This same asset was reflected on the original 2017 report in section VII (line10) as Vanguard Energy Fund, which has now been amended with the description of Vanguard World Energy Fund, with my apologies for the additional confusion. All of this reporting is for the same asset with the ticker symbol VDE.

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Holmes, Barbara D.

Date of Report

02/20/2019

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