

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) Carr, James M.	2. Court or Organization Bankruptcy Court for the Southern District of Indiana	3. Date of Report 05/11/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge	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 Room 322 46 E. Ohio St United States Courthouse 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. Director	WFYI Foundation , Inc.
2. Director	Board of Visitors Maurer School of Law , Indiana University
3.	
4.	
5.	
6.	

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. 2012	Faegre Baker Daniels LLP , former law firm, payout of capital account and retirement benefit , 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.)*

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.

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. Federal Judicial Center

4/16/16-4/20/16

Albuquerque, NM

Seminar CLE

Transportation, meals, hotel

2. US Govt

5/1/16-5/3/16

Chicago, Ill

7th Cir Bar Ass'n Meeting

Transportation, tuition, meals, hotel,
parking3. National Conference of
Bankruptcy Judges

10/27/16-10/28/16

San Francisco, Ca

NCBJ Annual Meeting

Hotel

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.			
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. 401 K account Schwab Retirement Services, Inc., Vanguard Target Retir	C	Int./Div.	K	T					
2.									
3. The Ball & Biscuit LLC	A	Dividend	J	U					
4. LM Legacy, LLC	C	Int./Div.	J	U					
5. BROKERAGE MONEY MARKET - Dreyfus Corp	A	Int./Div.	K	T					
6. Brown Capital Management Small Company Fund Instit Institutional Class	B	Int./Div.	K	T					
7. COLUMBIA ACORN INTERNATIONAL FUND-Z ACINX	A	Int./Div.	K	T					
8. Cash - Dreyfus Corp	A	Int./Div.	J	T					
9. Income Fund Class P -PIMCO	D	Int./Div.	M	T					
10. International Growth and Income - F2 - American Funds	B	Int./Div.	L	T					
11. Ishares TR MSCI EAFE ETF	C	Int./Div.	M	T					
12. John HancockDisciplined Value Mid Cap Fund Class	B	Int./Div.	L	T					
13. Low Duration Fund Class P -PIMCO	B	Int./Div.	M	T					
14. Metropolitan West Total Return Bond Fund Class I	C	Int./Div.	M	T					
15. MFS Value Fund-I	B	Int./Div.	L	T					
16. New World Fund - F2 -American Funds	B	Int./Div.	M	T					
17. NFJ Dividend Value A	C	Int./Div.	L	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 (See Columns C1 and D3)	J = \$15,001 - \$50,000 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	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market

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18. Northern Small Cap Value Fund	A	Int./Div.	K	T					
19. PIMCO Commodities Plus Strategy Fund Class P	A	Int./Div.	M	T					
20. Powershares QQQ Trust Unit Ser I	B	Int./Div.	M	T					
21. American Centurt Real Estate Fund	D	Int./Div.	L	T					
22. SPDR S&P 500 ETF Tr Unit	B	Int./Div.	M	T					
23. Templeton GLBL Bnd Fund - Advior Class	B	Int./Div.	L	T					
24. The Oakmark International Fund Class I	B	Int./Div.	L	T					
25. Brokerage Money Market - Dreyfus Corp	A	Int./Div.	J	T					
26. Brokerage Money Market Roth Account - Dreyfus Corp	A	Int./Div.	J	T					
27. Diversified Bond -American Century	B	Int./Div.	L	T					
28. Dodge & Cox Income Fund	C	Int./Div.	M	T					
29. Fidelity Adv Mid Cap II I	B	Int./Div.	L	T					
30. Fidelity Adv New Insights I	C	Int./Div.	M	T					
31. Fidelity Adv Government Income	A	Int./Div.	L	T					
32.									
33.									
34.									

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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.									
36.									

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of 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/ James M. Carr**

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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