

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) Pratt, Tanya M.	2. Court or Organization United States District Court, Southern District of Indiana	3. Date of Report 05/15/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III 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 Birch Bayh Federal Courthouse 46 E. Ohio Street Suite 330 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.	Board of Trustee	Cathedral High School
2.	Advisory Board	UNCF
3.	Master (member)	American Inn of Court, Indianapolis
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. 2009	Indiana Judges Pension Fund: Eligible for pension withdrawal at age 62
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.)*DATESOURCE AND TYPEINCOME

(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

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.	JP Morgan Chase	mortgage	L
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. series EE savings bonds	A	Interest	J	T					
2. series I savings bonds	A	Interest	J	T					
3. CHASE Bank	A	Interest	J	T					
4. PNC (savings)	A	Interest	J	T					
5. APPL (Apple) stock	A	Dividend	J	T					
6. ARBA (Ariba Inc.) stock	A	Dividend	J	T					
7. CBMC (Calypse biomed) stock	A	Int./Div.	J	T					
8. CHK (Chesapeake energy) stock	A	Int./Div.	J	T					
9. ERIC (Ericsson) stock	A	Dividend	J	T					
10. MSTR (Microstrategy Inc.) stock	A	Dividend	J	T					
11. WBMD (Web MD)	A	Interest	J	T					
12. Allianz IRA	B	Interest	M	T					
13. Indiana 529 Plan: Core Bond Index Profile	A	Interest	J	T					
14. Vanguard Institutional Index Fund	A	Interest	J	T					
15. Artio International Equity II Fund	A	Interest	J	T					
16. Indiana 529 Plan: Large Cap Index Portfolio Class A	A	Interest	J	T					
17. Indiana 529 Plan: International Index Portfolio Class	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 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 - \$500,000.00	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	

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18. Bank of America	A	Interest	J	T					
19. Citigroup	A	Dividend	J	T					
20. AGZ-Ishares Barclays ETF	A	Dividend	J	T					
21. EMB-Ishaes JP Morgan ETF	A	Dividend	J	T					
22. IEF-Ishares 7-10 yr Treasury Bond	A	Dividend	J	T					
23. IJJ-Ishares S & P Midcap 400 Value	A	Interest	J	T					
24. IJK-Ishares S & P Midcap 400 Growth	A	Interest	J	T					
25. PCY-Power Shares EM MAR ETF	A	Dividend	J	T					
26. PFF-Ishares S & P US	A	Dividend	J	T					
27. SHY-Ishares 1-3 year Treasury Bonds	A	Dividend	J	T					
28. VCIT-Vanguard Intermediate ETF	A	Dividend	J	T					
29. VCSH-Vanguard Short Term ETF	A	Dividend	J	T					
30. VEA-Vanguard MSCI EAFE ETF	A	Dividend	J	T					
31. VNQ-Vanguard REIT ETF	A	Dividend	J	T					
32. VWO-Vanguard MSCI ETF	A	Dividend	J	T					
33. ANCMX-Allianz FDS Multi-STRT	A	Dividend	J	T					
34. BCSIX-Brown CAP MGMT MUT FDS	A	Dividend	J	T					

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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. FEVIX-First Eagle US Value	A	Dividend	J	T					
36. GCIEX-Gabelli Equity Income	A	Interest	J	T					
37. GSZIX-Goldman Sachs Trust	A	Int./Div.	K	T					
38. ICEIX-IVY FDS	A	Interest	J	T					
39. IGLIX-ING Global Real Estate	A	Interest	J	T					
40. IVHIX-IVY FDS INC	A	Interest	J	T					
41. JIGFX-Janus INVT FD	A	Interest	J	T					
42. LDLFX-Lord Abbett Investment	A	Int./Div.	K	T					
43. MWTIX-Metropolitan West FDS	A	Interest	J	T					
44. NELYX-Loomis Sayles Limited	A	Interest	J	T					
45. ODVYX-Oppenheimer DEV MKTS	A	Interest	J	T					
46. PCRIX-PIMCO FDS PAC INVT	A	Interest	J	T					
47. PFIUX-PIMCO Unconstrained BD	A	Interest	K	T					
48. PRRIX-PIMCO Real Estate Return Bond	A	Interest	J	T					
49. SEVAX-Security Equity FD	A	Interest	J	T					
50. TGBAX-Templeton Funds	A	Interest	J	T					
51. TWHIX-American Century Funds	A	Interest	J	T					

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52. YACKX-Managers AMG Funds	A	Interest	J	T					
53. AFRYX-Invesco Floating Rate Fund	A	Interest	J	T					
54. ANJIX-Allianz FDS INTL Value Fund	A	Interest	J	T					
55. KLCIX-Federal Equity FDS Kaufman Large Cap	A	Interest	J	T					
56. HFQIX-Henderson Global Equity Income	A	Interest	J	T					
57. XLE-Energy Select Sector SPDR	A	Interest	J	T					
58. XLF-Financial Select Sector SPDR	A	Interest	J	T					
59. XLI-Industrial Select Sector SPDR	A	Interest	J	T					
60. XLK-Technology Select Sector SPDR	A	Interest	J	T					
61. XLP-Consumer Staples Sector SPDR	A	Interest	J	T					
62. XLB-Materials Sector SPDR	A	Interest	J	T					
63. XLV-Healthcare Sector SPDR	A	Interest	J	T					
64. XLY-Consumer Discretionary Sector SPDR	A	Interest	J	T					
65. IYZ-Ishares US Telecommunications	A	Int./Div.	J	T					
66. IJT-S & P Small Cap 600 Growth	A	Interest	J	T					
67. IJS-S & P Small Cap 600 Value	A	Interest	J	T					
68. TLT-Ishares 20+ yr Treas. Bond	A	Dividend	J	T					

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69. TIP-Ishares TIP Bond ET	A	Dividend	J	T					
70. FESGX-First Eagle S Global	A	Dividend	J	T					
71. PAUCX-PIMCO All Asset All Authority Fund	A	Dividend	J	T					
72.									
73.									
74.									
75.									
76.									
77.									
78.									
79.									
80.									
81.									

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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/ Tanya M. Pratt

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