

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) Barbier, Carl J.	2. Court or Organization U.S. District Court, E.D. La.	3. Date of Report 05/01/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge-Active	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 500 Poydras Street New Orleans, LA. 70130		
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, Board of Directors	Loyola Law Alumni Association
2. Member, Board of Directors	Federal Bar Assoc.-New Orleans Chapter
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.	

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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. 01/30/2016	Merrill Lynch Individual Retirement Account - Required Minimum Distribution	\$103,069.00
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. 01/30/2016	Merrill Lynch IRA - Required Minimum Distribution
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. New Orleans Bar Association	3/10-3/13/2016	Point Clear, Alabama	Bench Bar Conference	Food and lodging
2. Baton Rouge Bar Association	7/20-7/22/2016	Point Clear, AL	Bench Bar Conference	Food and lodging
3. ACI - Conference	1/27-1/28/2016	Houston, TX	Maritime Law CLE Program (Speaker)	Airline, Food and Lodging
4. NYU Law School	12/01-12/03/2016	NYU Law School, New York City	Complex Litigation CLE Program (Speaker)	Airline, Food and Lodging
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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 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. Merrill Lynch FIA NA Rasp (money mkt acct)	A	Interest	M	T	Buy (add'l)	12/30/16	J		
2. Anheuser Busch Notes Apr 01 2018	B	Interest	K	T					
3. Anheuser Busch Cos Inc Notes Mar 01 2019	A	Interest	K	T					
4. Penn. Electric Co. Sr. Notes 4/01/19	A	Interest	J	T					
5. Spectra Energy Capital Global Notes 10/01/2019	C	Interest	K	T					
6. Ford Holdings Inc Mar 01, 2020	B	Interest	K	T					
7. Scana Corp. Ser Mtn Apr 01 2020	A	Interest	K	T					
8. El Paso Nat. Gas (Bond) Jan 15, 2022	A	Interest	J	T					
9. Coca Cola Ent. Debentures Feb 01 2022	B	Interest	K	T					
10. USX Corp May 15, 2022	B	Interest	K	T					
11. Coca Cola Ent. Inc. Debentures Sep 15 2022	C	Interest	L	T					
12. USX Marathon Grp Debentures Mar 01 2023	C	Interest	L	T					
13. Gen Motors Corp Global Bds July 15 2023	A	Interest	J	T					
14. USX Marathon Group July 15, 2023	B	Interest	K	T					
15. Southern Union Co. Feb 01, 2024	A	Interest	J	T					
16. Time Warner Cos Inc Feb 01, 2024	B	Interest	K	T					
17. Entergy La. LLC Nov. 01, 2024	A	Interest	K	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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☐ 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)

18. Union Carbide Deben 6/1/25	A	Interest	J	T					
19. BellSouth Telecommunications Oct 01, 2025	A	Interest	J	T					
20. Citizens Utilities Co Nov 01, 2025	C	Interest	K	T					
21. Ford Motor Co. Nov 15, 2025	B	Interest	K	T					
22. Burlington Resources Inc Feb 15, 2026	B	Interest	K	T					
23. Petro Canada Jun 15, 2026	A	Interest	J	T					
24. Indiana Bell Tel Debentures Aug 15 2026	D	Interest	M	T					
25. Morgan Stanley Sub Ser GMTN Sept 08, 2026	B	Interest	L	T					
26. Bristol Meyers Squibb Nov 15 2026	B	Interest	K	T					
27. Hydro Quebec Deb Ser MBIA Jan 15, 2027	B	Interest	K	T					
28. Phillip Morris Cos Inc Jan. 15, 2027	B	Interest	K	T					
29. Eli Lilly & Co March 15, 2027	A	Interest	K	T					
30. Wal-Mart Stores, Inc Apr 05 2027	B	Interest	K	T					
31. CSX Corp May 01 2027	A	Interest	J	T					
32. GTE California Inc May 15 2027	C	Interest	L	T					
33. Hershey Foods Corp Aug 15, 2027	A	Interest	J	T					
34. Seagull Energy Corp Sr. Notes 9/15/27	C	Interest	K	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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☐ 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				
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35. Puget Sound Energy Inc. Dec 01, 2027	B	Interest	K	T					
36. Anheuser-Busch Cos Inc Dec 15 2027	A	Interest	J	T					
37. Pioneer Natural Resource Jan 15, 2028	B	Interest	K	T					
38. Sears Roebuck Acceptance Jan. 15, 2028	A	Interest	J	T					
39. Verizon Florida (formerly GTE Florida) Feb. 01, 2028	D	Interest	M	T					
40. GTE North Inc. Feb. 15, 2028	B	Interest	J	T					
41. KN Energy Inc. Mar. 01, 2028	A	Interest	J	T					
42. Occidental Petroleum Apr 01 2028	B	Interest	K	T					
43. Bell Atlantic Corp Apr 15, 2028	B	Interest	K	T					
44. GTE Corporation Apr 15, 2028	D	Interest	M	T					
45. Bell South Telecom Inc Jun 01 2028	A	Interest	J	T					
46. Georgia-Pacific Group Jun 01 2028	A	Interest	J	T					
47. Heinz (HJ) Co July 15 2028	C	Interest	K	T					
48. United Utilities PLC Aug 15, 2028	A	Interest	J	T					
49. Petro Canada Deben 11/15/28	A	Interest	J	T					
50. Bell Atlantic Penn Dec 01, 2028	B	Interest	K	T					
51. Duke Energy Corp Dec. 01, 2028	B	Interest	K	T					

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52. Burlington Resources Mar 01, 2029	B	Interest	K	T					
53. Conoco Inc Apr 15, 2029	B	Interest	K	T					
54. Archer-Daniels-Midland May 01 2029	B	Interest	K	T					
55. Norfolk Southern Corp May 17, 2029	B	Interest	K	T					
56. Amerada Hess Corp Bonds Oct 01 2029	C	Interest	L	T					
57. Dow Chemical Co Nov 01, 2029	B	Interest	K	T					
58. New England Tel & Tel Co. Nov 15 2029	B	Interest	K	T					
59. New Jersey Bell Tel Co Nov 15, 2029	B	Interest	K	T					
60. Apache Fin Canada Corp Dec 15, 2029	B	Interest	K	T					
61. Wal Mart Stores Bonds Feb 15 2030	C	Interest	L	T					
62. Burlington North Santa Fe Aug 15, 2030	A	Interest	K	T					
63. Bell Telephone Co PA Dec 15, 2030	A	Interest	J	T					
64. Dominion Res Cap TR III Jan 15, 2031	B	Interest	K	T					
65. Amerada Hess Corp Aug 15, 2031	C	Interest	K	T					
66. Gen. Electric Cap Corp Mar 15, 2032	B	Interest	K	T					
67. Gen. Electric Cap Corp Jul 15, 2032	B	Interest	K	T					
68. Texaco Capital Inc Aug 01, 2032	A	Interest	J	T					

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69. Florida Power Corp Mar 01, 2033	B	Interest	K	T					
70. Wisconsin Electric Power May 15, 2033	A	Interest	J	T					
71. Florida Power & Light Apr 01, 2034	A	Interest	J	T					
72. Gen. Electric Cap Corp Jun 15, 2034	B	Interest	K	T					
73. Bell South Corp Nov. 15, 2034	B	Interest	K	T					
74. Goldman Sachs Group Jun 15, 2035	B	Interest	K	T					
75. Goldman Sachs Group Oct 1, 2037	C	Interest	L	T					
76. St. Gabriel La Pub Impt May 01 29	A	Interest	K	T					
77. Jefferson PH LA Hosp Svc Jan 1 31	C	Interest	L	T					
78. La. LCL GVT ENV CDA RV Sep 01 32	A	Interest	J	T					
79. Tyler Tex Hlth Fcs Dev Nov 01 37	A	Interest	K	T					
80. San Jose Calif Arpt Rev Mar 01 41	B	Interest	K	T					
81. Colorado Health Facs Sep 01 41	B	Interest	K	T					
82. La LCL GVT ENV CDA RV Mar 01 42	A	Interest	J	T					
83. Tangipahoa Ph La Wtr Rev Apr 01 42	A	Interest	J	T					
84. Louisiana Pub Facs Auth Jul 01 42	A	Interest	J	T					
85. Washington St Motor Aug 01 42	A	Interest	J	T					

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86. Louisiana LCL GVT Mar 01 47	B	Interest	K	T					
87. Met Pea II Dedicated ST Jun 15 50	B	Interest	K	T					
88. American Airls Group Inc.	A	Dividend	K	T					
89. Merrill Lynch BIF (CMA) Tax-Exempt Fund	A	Dividend	J	T					
90. Goldman Sachs Group Oct 1, 2037	A	Interest	J	T					
91. St. Tammany Prshwide 03/01/24 (muni bonds)	A	Interest			Redeemed	03/01/16	K	A	
92. LA Pub Facs Auth Rev Tul Ser B Dec 15 32	A	Interest	K	T					
93. Louisiana Univ-Agric CLG 07/01/33	A	Interest			Redeemed	07/01/16	K	A	
94. St Gabriel La Pub Impt May 01 37	B	Interest	L	T					
95. Louisiana Pub Facs Auth Rev Ochsner Ser A May 15, 2038	C	Interest	L	T					
96. LA Pub Facs Auth Rev Loyola Proj Oct 01 41	B	Interest	K	T					
97. Merrill Lynch Bank USA RASP (money market)	A	Interest	K	T					
98. Cooper Tire & Rubber Co Dec 15 2019 (Bond)	A	Interest	J	T					
99. Goldman Sachs Group Aug 15, 2025	B	Interest	K	T					
100. Morgan Stanley Sub Ser GMTN Sept 08, 2026	A	Interest	J	T					
101. Phillip Morris Cos Inc Jan 15, 2027 (Bonds)	B	Interest	K	T					
102. GTE North Inc. Bond Feb. 15, 2028	A	Interest	J	T					

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103. General Elec Cap Corp July 15, 2032	A	Interest	J	T					
104. Bell South Corp Nov 15, 2034	A	Interest	J	T					
105. LA LCL GVT ENV CDA RV Nov 01 31	A	Interest	J	T					
106. Central Plains Energy Sep 01 42	A	Interest	K	T					
107. Aegon NV PFD STK	B	Interest	K	T					
108. Florida Pwr & Lt Cap TR Mar 15 2044	A	Interest	K	T					
109. Vanguard Ttl Stk Mkt Index Fund	E	Dividend	O	T					
110. Vanguard Prime MM Fund	A	Dividend	J	T					
111. Capital One Bank-- checking/savings	A	Interest	K	T					

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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/ Carl J. Barbier**

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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