

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) BARKER, SARAH E.	2. Court or Organization US District Court Indiana Southern District	3. Date of Report 05/14/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) SENIOR ARTICLE III	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address 46 EAST OHIO STREET, ROOM 210, 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. Member, Executive Board, 1986-present	The Gathering
2. Member, Board of Advisors, 1989-present	Indiana University--Purdue University at Indianapolis
3. Director, 1996-present	Indiana University Health (nonprofit). Formerly Methodist Health Group; formerly Clarian Health Partners.
4. Member, 1996-present	Indiana University--Distinguished Alumni Service Association
5. Director/Officer, 2001-present	Federal Judges Association
6. Member, 2002-present	Indiana Academy
7. Director, 2010-present	Spencer Williams Foundation
8. Commissioner, Indiana Bicentennial Commission, 2011-present	State of Indiana, Office of the Lt. Governor
9. Moderator, 2014-15 and Member, Advisory Council 2014-present	Stanley K. Lacy Executive Leadership Series, Leadership Indianapolis

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.	

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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.)*

<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. 2014	IU Health Morgan Hospital -- Nonemployee compensation
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Federal Judges Association	May 03-07, 2014	Washington, D.C.	Annual Board Meeting and Quadrennial Judicial Conference	Transportation, accommodations, meals
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.	Susman Godfrey, LLP	Pro bono legal services from 01/01/2014 - 12/31/2014. See note: Part VIII, #1.	\$6,466.00
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 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)

1. Indianapolis Post Office Credit Union, Account	B	Interest	M	T					
2. JP Morgan Chase Bank	A	Interest	K	T					
3. BlackRock Global Allocation Fund (Mutual Fund)(IRA #1)	B	Dividend	L	T	Distributed (part)	05/29/14	J		See note: Part VIII, #2
4. FIA Card Services NA RASP (IRA #1, cash eq) (Y)									
5. JP Morgan Chase Bank	A	Interest	L	T					
6. Hartford Whole Life		None	J	T					
7. Ivy Global Natural Resources A (Mutual Fund) (IRA #2)		None	J	T					
8. Ivy International Core Equity A (Mutual Fund) (IRA #2)	C	Dividend	K	T					
9. Waddell & Reed Advisors Core Inv A (Mut Fund) (IRA #2)	C	Dividend	K	T					
10. Waddell & Reed Advisors Science/ Technology A (MF)(IRA #2)	C	Dividend	K	T					
11. Waddell & Reed Advisors High Income A (MutualFund) (IRA #2)	B	Dividend	K	T					
12. Ivy Real Estate Securities A (Mutual Fund) (IRA #2)	A	Dividend	J	T					
13. Waddell & Reed Advisors Small Cap A (Mutual Fund) (IRA #2)	B	Dividend	K	T	Sold (part)	10/15/14	J	A	See note: Part VIII, #3
14. Waddell & Reed Advisors Asset Strategy A (Mut Fund) (IRA#2)	D	Dividend	K	T					
15. Waddell & Reed Advisors New Concepts A (Mut Fund) (IRA#2)	C	Dividend	K	T					
16. Ivy Limited-Term Bond A (Mutual Fund) (IRA #2)	A	Dividend	K	T					See note: Part VIII, #4
17. American Balanced Fund CL A (Mutual Fund)(IRA#1)	A	Dividend	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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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)

18. BlackRock Low Duration Bond Fund CL A (Mutual Fund)(IRA#1)	A	Dividend	J	T	Sold (part)	06/03/14	J		
19. BlackRock Large Cap Core Fund A (Mutual Fund)(IRA#1)	A	Dividend	J	T					
20. Franklin Templeton Balanced Fund (FBMCX)(Mutual Fund)	C	Dividend	L	T					
21. Waddell & Reed Advisors Accumulative A (Mutual Fund)	C	Dividend	K	T	Buy	10/15/14	J		
22. Waddell & Reed Advisors Cash Management A (Mutual Fund)	A	Dividend	K	T	Buy (add'l)	07/14/14	K		
23. BlackRock Global Allocation Fund (MDLOX) (Mutual Fund)	B	Dividend	J	T		05/29/14	J		See note: Part VIII, #2
24. Waddell & Reed Advisors Small Cap (Mutual Fund)	A	Dividend	J	T	Buy	07/14/14	J		See note: Part VIII, #3
25. Waddell & Reed Advisors Tax-Managed Equity A (Mutual Fund)	B	Dividend	K	T	Buy	07/14/14	J		
26. Ivy Global Real Estate A (Mutual Fund)	A	Dividend	J	T	Buy	07/14/14	J		
27. Ivy Managed International Opportunities A (Mutual Fund)	A	Dividend	J	T	Buy	07/14/14	J		
28. Ivy Limited-Term Bond A (Mutual Fund)	A	Dividend	J	T	Buy	07/14/14	J		See note: Part VIII, #4
29.									

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

Part V. Gifts:

Note #1: I was one of seven named plaintiffs in *Barker, et al. v. United States*, Case No. 1:12-cv-00826 (Fed.Cl.), brought to challenge the denial of Article III judges' cost-of-living adjustments (COLAs) over multiple years. Attorneys fees and costs were expended between January 01, 2014 through December 31, 2014 in the total amount of \$45,265 on a pro bono basis by the law firm of Susman Godfrey, LLP, 1201 Third Avenue, Suite 3800, Seattle, WA 98101, who served as plaintiffs' counsel without compensation or reimbursement from me or the other plaintiffs. I have reported in Part V. Gifts my one-seventh share of the total fees amount. The litigation has been finalized at this point, so no additional legal services are anticipated in 2015.

Part VII. Investments and Trusts:

Note #2:

A. Duplication Issue: The Blackrock Global Allocation Fund listed at Line (3) is held in an IRA account. The same fund is listed also at Line (23), except that there it is held in a non-IRA account. If the two holdings were combined, their combined value code would be "L," and their combined income code would be "C."

B. Transfer Issue: The Line (3) IRA account which holds this Blackrock Global Allocation Fund is subject to an annual age-related Required Minimum Distribution ("RMD"). In accomplishing the 2014 RMD, a portion of this Global Allocation Fund was transferred out of the IRA account by journal entry and then transferred into a non-IRA Individual Investor Account, also by journal entry. See Line (23), detailing that account's reception of the transfer from the IRA. We are informed specifically that such transfers do not constitute a sale or repurchase and do not generate any fund fees. Accordingly, we have reported the Line (3) transfer out as a "Distribution (Partial)" and at Line (23) we have left the transaction type blank at Column D(1), as advised by the Administrative Office.

Note #3:

Part VII, Lines (13) and (24): Here is another duplication issue. The Waddell & Reed Advisors Small Cap A Mutual Fund is listed both at Line (13), where it is held in an IRA, and at Line (24), where it is held in a non-IRA account. If the two holdings were combined, their combined value code would be "K," and their combined income code would be "B."

Note #4:

Part VII, Lines (16) and (28): Here is a third duplication issue. The Ivy Limited-Term Bond A Mutual Fund is held in an IRA at Line (16) but also in a non-IRA account at Line (28). If the two holdings were combined, their combined value code would be "K," and their combined income code would be "A."

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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/ SARAH E. BARKER

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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Washington, D.C. 20544