

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 05/13/2016
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 01/01/2015 to 12/31/2015
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, 1987-present	Kiwanis Club of 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. Member, Community Advisory Board, 2015-present	Indiana University Grand Challenges Program

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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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. 2015	IU Health Morgan Hospital
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	April 13-15, 2015	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.			
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, Account	A	Interest	K	T					
3. BlackRock Global Allocation Fund (Mutual Fund)(IRA #1)	A	Dividend	J	T	Sold (part)	05/01/15	L	A	See note: Part VII #1
4. Bank of America, NA RASP (IRA #1, cash eq)	A	Interest	J	T					See note: Part VII #2
5. JP Morgan Chase Bank, Account	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)	A	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)	B	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	K	T					
13. Waddell & Reed Advisors Small Cap A (Mutual Fund) (IRA #2)		None	J	T	Sold (part)	10/14/15	J	A	
14. Waddell & Reed Advisors Asset Strategy A (Mut Fund) (IRA#2)		None	K	T					
15. Waddell & Reed Advisors New Concepts A (Mut Fund) (IRA#2)	B	Dividend	K	T					
16. Ivy Limited-Term Bond A (Mutual Fund) (IRA #2)	A	Dividend	K	T					
17. American Balanced Fund CL A (Mutual Fund)(IRA#1)	A	Dividend	K	T	Distributed (part)	10/20/15	J	B	See note: Part VII # 3

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.					Sold (part)	10/20/15	J	A	
19. BlackRock Low Duration Bond Fund CL A (Mutual Fund)(IRA#1)	A	Dividend	J	T					
20. BlackRock Large Cap Core Fund A (Mutual Fund)(IRA#1)	A	Dividend	J	T					
21. Franklin Templeton Balanced Fund (FBMCX)(Mutual Fund)	B	Dividend	K	T					
22. Waddell & Reed Advisors Accumulative A (Mutual Fund)	C	Dividend	K	T					
23. Waddell & Reed Advisors Cash Management A (Mutual Fund)	A	Dividend	J	T	Sold (part)	05/27/15	K	A	
24. BlackRock Global Allocation Fund (MDLOX) (Mutual Fund)	A	Dividend	J	T					
25. Waddell & Reed Advisors Small Cap A (Mutual Fund)	B	Dividend	K	T	Buy (add'l)	10/14/15	J		
26. Waddell & Reed Advisors Tax-Managed Equity A (Mutual Fund)	B	Dividend	K	T					
27. Ivy Global Real Estate A (Mutual Fund)	A	Dividend	J	T					
28. Ivy Managed International Opportunities A (Mutual Fund)	A	Dividend	J	T					
29. Ivy Limited-Term Bond A (Mutual Fund)	A	Dividend	K	T					
30. Waddell & Reed Advisors Vanguard A (Mutual Fund)	B	Dividend	K	T	Buy	05/27/15	K		
31. Waddell & Reed Advisors Core INV A (Mutual Fund)	A	Dividend	J	T	Buy	01/28/15	J		
32. Ivy Balanced A (Mutual Fund)	A	Dividend	J	T	Buy	10/14/15	J		
33. Ivy Dividend Opportunities A (Mutual Fund) (IRA #3)	A	Dividend	J	T	Buy	01/20/15	J		
34. Ivy Science & Technology A (Mutual Fund) (IRA #3)	A	Dividend	J	T	Buy	01/20/15	J		

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35. Ivy Global Real Estate A (Mutual Fund) (IRA #3)	A	Dividend	J	T	Buy	01/20/15	J		
36. Ivy International Core Equity A (Mutual Fund) (IRA #3)	A	Dividend	J	T	Buy	01/20/15	J		
37. Ivy Emerging Markets Equity A (Mutual Fund) (IRA #3)	A	Dividend	J	T	Buy	01/20/15	J		
38. Ivy Balanced A (Mutual Fund) (IRA #3)	B	Dividend	K	T	Buy	01/20/15	J		
39. American Balanced Fund CL A (Mutual Fund)	A	Dividend	J	T					See note: Part VII #3
40. BlackRock Large Cap Growth Fund A (MDLHX) (Mutual Fund) (IRA #1)	A	Dividend	J	T	Buy	05/01/15	J		
41. BlackRock Strategic Income Opps PTF A (BASIX) (Mutual Fund) (IRA #1)	A	Dividend	J	T	Buy	05/01/15	J		
42. BlackRock Capital Appreciation Fund A (MDFGX) (Mutual Fund) (IRA #1)	A	Dividend	J	T	Buy	05/01/15	J		
43. BlackRock Global Smallcap Fund A (MDGCX) (Mutual Fund) (IRA #1)	A	Dividend	J	T	Buy	05/01/15	J		
44. BlackRock Basic Value Fund A (MDBAX) (Mutual Fund) (IRA #1)	A	Dividend	J	T	Buy	05/01/15	J		
45. BlackRock Total Return Fund CL A (MDHGX) (Mutual Fund) (IRA #1)	A	Dividend	J	T	Buy	05/01/15	J		
46. BlackRock Emerging Markets Fund A (MDDCX) (Mutual Fund) (IRA #1)	A	Dividend	J	T	Buy	05/01/15	J		
47. BlackRock Equity Dividend Fund A (MDDVX) (Mutual Fund) (IRA #1)	A	Dividend	J	T	Buy	05/01/15	J		
48. BlackRock International Fund A (MDILX) (Mutual Fund) (IRA #1)	A	Dividend	J	T	Buy	05/01/15	J		
49. BlackRock HI YLD BD Portfolio Class A (BHYAX) (Mutual Fund) (IRA #1)	A	Dividend	J	T	Buy	05/01/15	J		

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

Part VII. Investments and Trusts:

Note #1--Apparent Repetitions and/or Duplications:

The Blackrock Global Allocation Fund listed at line 3 is held, as noted, in an IRA account. The same fund is also listed at line 23, except that there it is held in a non-IRA account. The asset has not been aggregated into a single line because the ownership and/or account vehicles are so different.

Similar non-aggregated account holdings appear at lines 8 and 35, in which instance the same asset (Ivy International Core Equity A) is held in two differently-owned IRAs.

The following other instances might appear at first glance to be duplications. However, in each of these the same mutual fund is held in both an IRA account and a non-IRA account and is accordingly not aggregated:

Lines 9 and 30 (Waddell & Reed Advisors Core Inv. A)

Lines 13 and 24 (Waddell & Reed Advisors Asset Strategy A)

Lines 16 and 28 (Ivy Limited-Term Bond A)

Lines 17 and 38 (American Balanced Fund CL A)

Lines 26 and 34 (Ivy Global Real Estate A)

Lines 31 and 37 (Ivy Balanced A)

Note #2:

This "Bank of America, NA RASP" cash equivalent account in IRA #1 is functionally the successor of the previously-reported "FIA Card Services NA RASP," which last year failed the reporting thresholds and was accordingly designated with a (Y) symbol. This year the reporting threshold has, however, been met, and since the cash holding function in this IRA continues institutionally to be exactly the same, I have listed "Bank of America NA RASP" in place of its predecessor.

Note #3--Required Minimum Distribution Issue:

The line 17 IRA account that holds this American Balanced Fund is subject to an annual age-related Required Minimum Distribution ("RMD"). In accomplishing the 2015 RMD (as opposed to accomplishing the separate "sale" noted in the immediately following entry), a portion of this 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 38 detailing that account's reception of the transfer from the IRA. We are informed specifically that this transfer did not constitute a sale or a repurchase and did not generate any fund fees. Accordingly, and as advised by the Administrative Office, we have reported the line 17 transfer as a "Distribution" and have left the related transaction data (the D columns) at line 38 blank, again according to AO instructions.

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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