AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
Barker, John C.	U.S. District Court, Eastern District of Texas	08/05/2024
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
U.S. District Judge - Active Status	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2023 **to** 12/31/2023
7. Chambers or Office Address		
211 W. Ferguson St Tyler, Texas 75702		

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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Executor	Estate #1
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☐ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.	2011	Yetter Coleman LLP defined-contribution retirement plan with former law firm, firm-managed asset selection (reportable assets are listed in Part VII)
2.	2015	Employee Retirement System of Texas defined-benefit pension plan with State of Texas
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

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
1.		
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☐ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	Judicial Education Institute	March 20-24, 2023	Washington, DC	Educational Seminar	Transportation, food, lodging
2.	University of Texas School of Law	April 4-5, 2023	Austin, TX	Mock Trial Judge	Transportation, food, lodging
3.	George Mason University Global Antitrust Institute	May 28 - June 2, 2023	Florence, Italy	Seminar	Transportation, food, lodging
4.	Eastern District of Texas Bar Association	July 20 - July 21, 2023	Grapevine, TX	Conference Planning Meeting	Transportation, food, lodging
5.	Eastern District of Texas Bar Association	October 25-27, 2023	Plano, TX	Conference	Transportation, food, lodging

6.	George Mason University Law & Economics Center	November 12-14, 2023	Arlington, VA	Symposium	Transportation, food, lodging

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Barker, John C.	08/05/2024

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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)	
1.	Individual Assets (H)									
2.	Charles Schwab (cash)	A	Interest	J	T	Open	09/14/23	J		
3.	Southside Bank (cash) (Y)									
4.	EverBank (cash) (was TIAA Bank Cash Acct)	B	Interest			Closed	12/07/23	J		
5.	Account #1 (H)									
6.	TIAA-CREF Lifecycle Index Ret Fund		None			Sold	09/22/23	K		
7.	Fidelity International Index Fund		None			Sold	09/22/23	K		
8.	Vanguard Total Int'l Stock Index Fund		None			Sold	09/22/23	K		
9.	John Hancock Variable Insurance Trust 500 Index Trust		None			Sold	09/22/23	L		
10.	Fidelity ContraFund		None			Sold	09/22/23	K		
11.	American Funds Capital World Bond Fund		None			Sold	09/22/23	J		
12.	John Hancock Variable Insurance Trust Total Bond Market Trust		None			Sold	09/22/23	K		
13.	Schwab Premier Bank (cash)	A	Interest			Open	10/10/23	M		
14.	Schwab Value Advantage Money Fund (SWVXX) (cash eq.)	B	Dividend	M	T	Buy	10/12/23	M		
15.						Buy (add'l)	10/13/23	L		
16.						Sold	12/18/23	M		
17.						Buy	12/19/23	M		

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000	
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000		
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000		
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000		
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000			
3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market		
	U =Book Value	V =Other	W =Estimated			

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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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
18. Account #2 (H)									
19. Vanguard Federal Money Market Fund (VMFXX) (cash eq.)	A	Dividend			Buy	09/20/23	M		
20.					Sold	09/26/23	M		
21. Vanguard 500 Index Admiral CL (VFIAX)	B	Dividend			Sold	09/19/23	M		
22. Vanguard Developed Markets Index Fund (VTMGX)	A	Dividend			Sold	09/19/23	K		
23. Schwab Premier Bank (cash)	A	Interest			Open	09/26/23	M		
24. Schwab Value Advantage Money Fund (SWVXX) (cash eq.)	C	Dividend	M	T	Buy	10/02/23	M		
25.					Buy (add'l)	10/12/23	K		
26. Account #3 (H)									
27. Avantax Bank Deposit Sweep (cash)	A	Interest			Closed	10/26/23	K		
28. Schwab Premier Bank (cash)	A	Interest	L	T	Open	10/26/23	K		
29. Abbvie Inc (ABBV)	B	Dividend	K	T					
30. Amazon.com Inc (AMZN)		None	L	T					
31. Amer Electric Pwr Co (AEP)	C	Dividend	L	T					
32. Apple Inc (AAPL)	C	Dividend	O	T					
33. BP Plc (BP)	B	Dividend	K	T					
34. Caterpillar Inc (CAT)	B	Dividend	L	T					

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2. Value Codes (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; N =$250,001 - $500,000; O =$500,001 - $1,000,000; P1 =$1,000,001 - $5,000,000; P2 =$5,000,001 - $25,000,000; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000
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35. Chevron Corp (CVX)	C	Dividend	M	T					
36. Clorox Co (CLX)	B	Dividend	L	T					
37. Constellation Energy Cor (CEG)	A	Dividend	K	T					
38. Dominion Energy Inc (D)	B	Dividend	K	T					
39. Duke Energy Corp (DUK)	D	Dividend	M	T					
40. Entergy Corp (ETR)	C	Dividend	M	T	Buy (add'l)	07/20/23	K		
41. Exelon Corp (EXC)	A	Dividend	K	T					
42. Exxon Mobil Corp (XOM)	D	Dividend	M	T					
43. Firstenergy Corp (FE)	A	Dividend	J	T					
44. IBM Corp (IBM)	B	Dividend	L	T					
45. Interntnl Paper (IP)	B	Dividend	K	T					
46. Johnson & Johnson (JNJ)	D	Dividend	M	T					
47. Kraft Heinz Co Com (KHC)	A	Dividend			Sold	07/14/23	J		
48. Kyndryl Hldgs Inc (KD) (Y)									
49. Lockheed Martin Corp (LMT)	B	Dividend	K	T					
50. McDonald's Corp (MCD)	A	Dividend			Sold	07/14/23	J	B	
51. Merck & Co Inc. (MRK)	D	Dividend	M	T					

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2. Value Codes (See Columns C1 and D3)
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52. Organon & Co (OGN)	A	Dividend			Sold	07/14/23	J		
53. Pfizer Inc (PFE)	A	Dividend	J	T					
54. Schlumberger Ltd (SLB)	A	Dividend	K	T					
55. Shell PLC (SHEL)	D	Dividend	N	T					
56. Southern Co (SO)	E	Dividend	N	T					
57. Sylvamo Corp (SLVM)	A	Dividend			Sold	07/14/23	J	A	
58. Target Corp (TGT)	B	Dividend	K	T					
59. Viatris, Inc Com (VTRS) (Y)									
60. Totalenergies SE (TTE)	A	Dividend	K	T					
61. Walmart Inc (WMT)	A	Dividend	K	T					
62. Weyerhaeuser Co (WY)	A	Dividend	K	T					
63. Occidental Pete Corp (Y)									
64. FT Unit 10244 Vest Large Cap Deep (30327Q527)		None			Redeemed	10/18/23	K	C	
65. Account #4 (H)									
66. TDAmeritrade Deposit Account (cash)	A	Interest			Closed	09/05/23	J		
67. Account #5 (H)									
68. Fidelity Contrafund Commingled Pl 1		None			Sold	09/26/23	M		

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69.	Vanguard Institutional Index I	A	Dividend			Sold	09/26/23	L		
70.	TDAmeritrade Deposit Account (cash)	A	Interest			Closed	05/16/23	J		
71.	UMPQUA Bank (cash)	A	Interest			Open	05/16/23	J		
72.						Closed	09/22/23	J		
73.	Charles Schwab Sweep (cash)	A	Interest			Open	09/22/23	J		
74.	Schwab Value Advantage Money Fund (SWVXX) (cash eq.)	B	Dividend	M	T	Buy	10/02/23	M		
75.	Account #6 (H)									
76.	Vanguard Federal Money Market Fund (VMFXX) (cash eq.)	A	Dividend			Buy	09/20/23	M		
77.						Sold	09/26/23	M		
78.	Vanguard 500 Index Fund Admiral Cl (VFIAX)	B	Dividend			Sold	09/19/23	M		
79.	Schwab Value Advantage Money Fund (SWVXX) (cash eq.)	B	Dividend	M	T	Buy	10/02/23	M		
80.	Schwab S&P 500 Index Fund (SWPPX)	A	Dividend	K	T	Buy	07/12/23	K		
81.	Coinbase Global Inc (COIN)		None			Sold	07/12/23	J		
82.	Texas Instrument Inc (TXN)	A	Dividend			Sold	07/12/23	J		
83.	TDAmeritrade Deposit Account (cash) (Y)									
84.	Account #7 (H)									
85.	Vanguard Federal Money Market Fund (VMFXX) (cash eq.) (X)	C	Dividend			Buy (add'l)	09/20/23	M		

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2. Value Codes (See Columns C1 and D3)
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3. Value Method Codes (See Column C2)
Q =Appraisal R =Cost (Real Estate Only) S =Assessment T =Cash Market
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86.					Buy (add'l)	09/21/23	M		
87.					Sold	09/28/23	N		
88. Vanguard Total Bond Market ETF (BND)	B	Dividend			Sold	09/19/23	L		
89. Vanguard LifeStrategy Growth Fund (VASGX)	A	Dividend			Sold	09/19/23	J		
90. Vanguard LifeStrategy Income Fund (VASIX)	A	Dividend			Sold	09/19/23	J		
91. Vanguard Consumer Staples ETF (VDC)	A	Dividend			Sold	09/19/23	K	A	
92. Vanguard Equity Income Fund (VEIPX)	A	Dividend			Sold	09/19/23	J		
93. Vanguard 500 Index Admiral Cl Fund (VFIAX)	A	Dividend			Sold	09/19/23	L	C	
94. Vanguard Growth Index Fund (VIGAX)	A	Dividend			Sold	09/19/23	K	A	
95. Vanguard Mid-Cap ETF (VO)	A	Dividend			Sold	09/19/23	J		
96. Vanguard S&P 500 ETF (VOO)	A	Dividend			Sold	09/19/23	L	B	
97. Vanguard Total Stock Market ETF (VTI)	A	Dividend			Sold	09/19/23	K		
98. Vanguard Growth ETF (VUG)	A	Dividend			Sold	09/19/23	K		
99. Vanguard Total International Stock ETF (VXUS)	A	Dividend			Sold	09/19/23	J		
100. Avantax Bank Deposit Sweep (cash)	A	Interest			Closed	10/26/23	J		
101. Charles Schwab Sweep (cash)	A	Interest	N	T	Open	09/25/23	M		
102. Schwab Value Advantage Money Fund (SWVXX) (cash eq.)	D	Dividend	O	T	Buy	09/26/23	M		

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103.					Buy (add'l)	10/02/23	N		
104. Santander Bk Natl Assn (cash)	C	Interest			Open	05/23/23	M		
105.					Closed	08/23/23	M		
106. Beal Bank (cash)	C	Interest			Open	09/20/23	M		
107.					Closed	12/20/23	M		
108. Centerpoint Energy Inc Com (CNP)	A	Dividend			Sold	07/14/23	J		
109. Chevron Corp (CVX)	A	Dividend			Sold	07/14/23	K		
110. Duke Energy Corp (DUK)	B	Dividend	K	T					
111. Entergy Corp (ETR)	B	Dividend	L	T	Buy (add'l)	07/20/23	K		
112. Exxon Mobil Corp (XOM)	D	Dividend	N	T					
113. Southern Co (SO)	A	Dividend	J	T					
114. Account #8 (H)									
115. Charles Schwab Sweep (cash) (X)	A	Interest	K	T					
116. Schwab Value Advantage Money Fund (SWVXX) (cash eq.)	C	Dividend	N	T	Buy	09/27/23	N		
117. JPMorgan Chase & Co (cash)		None	L	T	Open	07/18/23	L		
118. TDAmeritrade Deposit Account (cash)	A	Interest			Closed	09/19/23	J		
119. AT&T Inc (T) (X)	B	Dividend	K	T					

1. Income Gain Codes: (See Columns B1 and D4) A =$1,000 or less; B =$1,001 - $2,500; C =$2,501 - $5,000; D =$5,001 - $15,000; E =$15,001 - $50,000; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000
2. Value Codes (See Columns C1 and D3) J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; N =$250,001 - $500,000; O =$500,001 - $1,000,000; P1 =$1,000,001 - $5,000,000; P2 =$5,000,001 - $25,000,000; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000
3. Value Method Codes (See Column C2) Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
120. Amazon.com (AMZN)		None	K	T					
121. Grupo Aval Acciones y Valores (AVAL)	A	Dividend			Sold	07/12/23	J		
122. Galaxy Digital Holdings Ltd (BRPHF) (Y)									
123. Costco Wholesale Corp (COST)	A	Dividend			Sold	07/12/23	J		
124. Constellation Energy Cor (CEG) (X)	A	Dividend	K	T					
125. Duke Energy Corp (DUK)	C	Dividend	L	T					
126. Entergy Corp (ETR)	A	Dividend	K	T					
127. Exelon Corp (EXC)	B	Dividend	K	T					
128. Exxon Mobil Corp (XOM)	B	Dividend	L	T					
129. Firstenergy Corp (FE)	B	Dividend	L	T					
130. Barrick Gold Corp (GOLD)	A	Dividend			Sold	07/12/23	J		
131. Newmont Corp (NEM)	A	Dividend	K	T					
132. Onemain Holdings Inc (OMF) (X)	A	Dividend	K	T					
133. ProShares S&P 500 Dividend Aristocrats ETF (NOBL)	A	Dividend			Sold	07/12/23	J		
134. Orion Office REIT Inc. (ONL) (Y)									
135. Pfizer Inc (PFE)	B	Dividend	K	T					
136. Procter & Gamble Co (PG)	A	Dividend			Sold	07/12/23	K		

1. Income Gain Codes: (See Columns B1 and D4)
A =$1,000 or less
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D =$5,001 - $15,000
E =$15,001 - $50,000
F =$50,001 - $100,000
G =$100,001 - $1,000,000
H1 =$1,000,001 - $5,000,000
H2 =More than $5,000,000

2. Value Codes (See Columns C1 and D3)
J =$15,000 or less
K =$15,001 - $50,000
L =$50,001 - $100,000
M =$100,001 - $250,000
N =$250,001 - $500,000
O =$500,001 - $1,000,000
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3. Value Method Codes (See Column C2)
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Name of Person Reporting	Date of Report
Barker, John C.	08/05/2024

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
137. Shell Plc (SHEL) (was Royal Dutch Shell)	A	Dividend	J	T					
138. iShares Silver Trust (SLV)		None			Sold	07/12/23	J		
139. Southern (SO)	D	Dividend	M	T					
140. Texas Instruments (TXN)	C	Dividend	M	T					
141. Brown Capital Management International Small Company Fund (BCSVX)		None			Sold	07/12/23	J		
142. Dodge & Cox Stock Fund (DODGX)	A	Dividend			Sold	07/12/23	J		
143. Fidelity Health Care Portfolio (FSPHX)		None			Sold	07/12/23	J		
144. Mairs & Power Growth Fund (MPGFX)	A	Dividend			Sold	07/12/23	J		
145. T. Rowe Price Dividend Growth Fund (PRDGX)	A	Dividend			Sold	07/12/23	J		
146. Janus Henderson Research (JAMRX)	B	Dividend	K	T					
147. Realty Income Corp REIT (O)	A	Dividend	J	T					
148. AB Income Fund Advisor Class (ACGYX)	B	Dividend			Sold	09/21/23	L		
149. UMPQUA Bank (cash)	D	Interest			Open	05/12/23	M		
150.					Closed	09/22/23	N		
151. Account #9 (H)									
152. TDAmeritrade Deposit Account (Y)									
153. Columbia Research Enhanced Value ETF (Y)									

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
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Name of Person Reporting	Date of Report
Barker, John C.	08/05/2024

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
154. Goldman Sachs Physical Gold ETF (Y)									
155. Onemain Holdings Inc (Y)									
156. Shell PLC (Y)									
157. Schwab S&P 500 Index Fund (SWPPX) (X)	A	Dividend	J	T					
158. Account #10 (H)									
159. Coinbase Cash Deposit Account (Y)									
160. Bitcoin (BTC) (Y)									
161. Ethereum (ETH) (Y)									
162. Dogecoin (DOGE) (Y)									
163. Account #11 (H)									
164. NY 529 Growth Stock Index Portfolio		None	L	T	Buy	09/26/23	L		
165. NY 529 Aggressive Growth Portfolio		None	L	T	Sold	09/26/23	K		
166.					Buy	09/26/23	L		
167. NY 529 Conservative Growth Portfolio		None			Sold	09/26/23	J		
168. NY 529 Mid-Cap Stock Index Portfolio		None			Sold	09/26/23	K		
169. NY 529 Value Stock Index Portfolio		None			Sold	09/26/23	K		
170. Account #12 (H)									

1. Income Gain Codes: (See Columns B1 and D4) — A =$1,000 or less; B =$1,001 - $2,500; C =$2,501 - $5,000; D =$5,001 - $15,000; E =$15,001 - $50,000; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000
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Name of Person Reporting	Date of Report
Barker, John C.	08/05/2024

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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171. NY 529 Aggressive Growth Portfolio		None	L	T	Buy	09/26/23	L		
172. NY 529 Growth Stock Index Portfolio		None	L	T	Sold	09/26/23	L		
173.					Buy	09/26/23	L		
174. NY 529 Developed Markets Index Portfolio		None			Sold	09/26/23	L		
175. Account #13 (H)									
176. NY 529 Aggressive Growth Portfolio		None	K	T	Sold	09/26/23	J		
177.					Buy	09/26/23	K		
178. NY 529 Growth Stock Index Portfolio		None	K	T	Buy	09/26/23	K		
179. NY 529 Developed Markets Index Portfolio		None			Sold	09/26/23	J		
180. NY 529 Growth Portfolio		None			Sold	09/26/23	J		
181. NY 529 Moderate Growth Portfolio		None			Sold	09/26/23	J		

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Name of Person Reporting	Date of Report
Barker, John C.	08/05/2024

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value.

Part II: Both agreements concluded in 2023.

Part VII, lines 13 and 23: Schwab Premier Bank (cash) had no value at the end of the reporting period. There were no corresponding reportable dispositions (Y).

Part VII, line 73: Charles Schwab Sweep (cash) had no value at the end of the reporting period. There were no corresponding reportable dispositions (Y).

Name of Person Reporting	Date of Report
Barker, John C.	08/05/2024

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. § 13141 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ John C. 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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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