

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) Sacca, James R.	2. Court or Organization Bankruptcy Court, Northern District Georgia	3. Date of Report 08/24/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge, Full time	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 1480 U.S. Courthouse 75 Ted Turner Drive Atlanta, GA 30303		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

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.)*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.

Georgia Bar Assoc.
Bankruptcy Section CLE
SeminarSeptember 29-30,
2016

Greensboro, Georgia

Seminar

Hotel, Food

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 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. Northwestern Mutual Whole Life Policy	C	Dividend	M	T					
2. Northwestern Mutual Variable Life Policy	C	Dividend	M	T					
3. -MSA Select Bond		None	J	T					
4. -MSA Money Market		None	J	T					
5. -MSA Index 500 Stock		None	L	T					
6. -MSA Mid Cap Growth Stock		None	K	T					
7. -MSA High Yield Bond		None	K	T					
8. -MSA Growth Stock		None	K	T					
9. -MSA Small Cap Growth Stock		None	J	T					
10. -MSA Small Cap Value		None	J	T					
11. -MSA Index 400 Stock		None	K	T					
12. -MSA International Growth		None	J	T					
13. -MSA Domestic Equity		None	J	T					
14. -MSA International Equity		None	J	T					
15. -MSA Asset Allocation		None	J	T					
16. -Russell Real Estate Securities		None	J	T					
17. IRA #1									

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 H = \$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 = \$250,000,001 - \$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 \$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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☐ 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)

18. -American Century Diversified Bond Fund (ADFIX)	A	Dividend	K	T					
19. -American Funds Europacific Growth Fund (AEPFX)	A	Dividend	K	T	Sold (part)	03/08/16	J	A	
20. -American Funds Fundamental Investors (FINFX)	B	Dividend	K	T	Sold (part)	03/08/16	J	B	
21. -American Funds High Income TrustFund (AFFIX)	B	Dividend	K	T					
22. -Invesco International Growth Fund (AIIFYX)	A	Dividend	K	T					
23. -Fidelity Advisor Newinsights Fund (FINSX)	B	Dividend	K	T	Sold (part)	03/08/16	J	B	
24. -Fidelity Advisor Leveraged Company Stock Fund (FLVIX)	C	Dividend	K	T	Sold (part)	03/08/16	J	A	
25. -Fidelity Advisor Small Cap Value Fund (FCVIX)	B	Dividend	K	T	Sold (part)	03/08/16	J	B	
26. -Lazard Emerging Market Portfolio Fund		None			Sold	03/08/16	K		
27. -MFS International Value Fund (MINIX)	A	Dividend	K	T					
28. -PIMCO Real Return Fund (PRLPX)	A	Dividend	K	T					
29. -PIMCO Absolute Return Class A (PSPTX)	B	Dividend	K	T					
30. Metropolitan West Total Return Bond Fund (MWTIX)	C	Dividend	L	T					
31. -Russell Global Real Estate Securities Fund (RRESX)	C	Dividend	K	T					
32. -Templeton Global Bond Fund (TGBIX)	A	Dividend			Sold	11/02/16	K	A	
33. -Vanguard 500 Index Fund (VIFIX)	A	Dividend	K	T					
34. -Vanguard Health Care EFT (VHT)	A	Dividend	K	T					

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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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		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)
35. -Select Sector SPDR Consumer Staples (XLP)	A	Dividend	J	T	Buy	03/08/16	J		
36. -Select Specctor Inter Energy (XLE)	A	Dividend	K	T	Buy	03/08/16	K		
37. -New World Fund (NFFFX)	A	Dividend	K	T	Buy	03/08/16	K		
38. -John Hancock Disc Mid Cap Fund (JVMIX)	A	Dividend	J	T	Buy	03/08/16	J		
39. -Deutsche Enhanced Commodity (SKIRX)	B	Dividend	K	T					
40. -AB Global Bond Fund	A	Dividend	K	T	Buy	11/02/16	K		
41. -Fidelity Adv Biotech (FBTIX)		None	J	T					
42. -PIMCO Income Fund (PONPX)	B	Dividend	K	T					
43. -PIMCO International Stock Fund (PSKIX)		None	K	T					
44. -Dreyfus Insured Deposit Program money market account	A	Interest	J	T					
45. Brokerage Account									
46. -American Funds Europacific Growth Fund (AEPFX)	B	Dividend	M	T					
47. -The Growth Fund of America (GFFFX)	C	Distribution	L	T	Sold (part)	03/08/16	J	A	
48. -MFS Value Fund (MEIIX)	B	Dividend	L	T	Sold (part)	03/08/16	J	C	
49. -PIMCO Real Return Fund (PRLPX)	A	Dividend	K	T					
50. -Russell Global Real Estate Securities Fund (RRESX)	C	Distribution			Sold	12/22/16	K	A	
51. -Sterling Cap f/k/a Stratton Small Cap Value Fund (STSCX)	B	Distribution	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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	(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)

52. -American Century Tax Free Bond Fund (TEAFX)	B	Distribution	K	T					
53. -Vanguard Mid-Cap Stock Index Fund (VIMAX)	A	Dividend	K	T					
54. -Vanguard Index Trust Total Stock Market Portfolio Fund (VTSMX)	B	Dividend	M	T	Sold (part)	03/08/16	K	D	
55. -John Hancock Disciplined Value Mid Cap Fund (JVMIX)	B	Dividend	K	T	Buy (add'l)	03/08/16	J		
56. -AB Global Bond Fund (ANAYX)	B	Dividend	K	T					
57.					Sold (part)	03/08/16	J	A	
58. -Putnam Conv Securities Fund (PCGYX)	A	Dividend	K	T					
59. -Vanguard Healthcare Fund (VHT)	A	Dividend	K	T	Buy (add'l)	12/26/16	J		
60. -New World Fund (NFFFX)	A	Dividend	K	T					
61. -Deutsche Enhanced Comm Strategy Fund (SKIRX)	B	Dividend	K	T					
62. -Select Sector Energy (XLE)	A	Dividend	K	T	Buy	03/08/16	K		
63.					Buy (add'l)	12/22/16	J		
64. -Select Sector Consumer Staples (XLP)	A	Dividend	K	T	Buy	03/08/16	K		
65. -Cohen & Steers Realty Income Fund (CSDIX)		None	K	T	Buy	12/22/16	K		
66. -First Eagle Overseas (SGOIX)	C	Dividend	L	T					
67. -Metropolitan West Total Return Bond (MWTIX)	B	Dividend	K	T					
68. -Fidelity Adv Biotech (FBTIX)		None	J	T					

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69. -Dreyfus General Money Market Fund	A	Interest	K	T					
70. SunTrust Bank deposit accounts	A	Interest	K	T					
71. Virginia 529 Plan-American Funds									
72. -American High Income Fund (CITAX)	A	Dividend	J	T	Redeemed (part)	01/06/16	J	A	
73. -American Mutual Fund (CMLAX)	A	Dividend	J	T	Redeemed (part)	01/06/16	J	A	
74. -Capital Income Builder (CIRAX)	A	Dividend	J	T	Redeemed (part)	01/06/16	J	A	
75. -The Income Fund of America (CIMAX)	A	Dividend	J	T	Redeemed (part)	01/06/16	J	A	
76. -US Gov't Securities Fund (CGTAX)	A	Dividend	J	T	Redeemed (part)	01/06/16	J	A	
77. -2021 Fund	C	Dividend	M	T	Redeemed (part)	01/06/16	K	A	
78. - 2024 Fund	C	Dividend	M	T					
79. Great American Life Insurance Annuity (fixed)	E	Distribution	L	T					

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

Part VII, Lines 2-16. Amendments to these lines were requested. I have added the proper codes in Columns B (blank) and C (none). The policy itself pays an annual dividend to me, which I have reported in Line 2. I have confirmed with my financial advisor that I receive no income from the individual holdings in the policy, but that the income I receive, through a dividend, is paid by Northwestern on the entire policy, the amount of which is based on several factors. I receive no reporting of any income or dividends paid on the individual holdings, only on the asset value of each individual holding.

Part VII, Line 17. I have removed the aggregate information of my IRA and have now only reported the performance and value of each individual holding as requested.

Part VII, Line 26, has been amended to add "none" in Column B(2)

Part VII, Line 49, has been amended to add proper codes in Column C

Part VII, Lines 71-78, have been amended to clarify what assets are in that plan

Part VII, Line 79, has been amended to show the annuity is a fixed annuity.

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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/ **James R. Sacca**

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