

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 9/20/2012
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 01/01/2011 to 12/31/2011
7. Chambers or Office Address 1480 U.S. Courthouse 75 Spring Street 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. Insert signature on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Member -manager	Astoria Investments, LLC
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Sacca, James R.

Date of Report

9/20/2012

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. 2011	Greenberg Traurig, LLP, compensation	\$50,000.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. National Conference of Bankruptcy Judges	October 12-14, 2011	Tampa, FL	Conference	Hotel
2. Georgia Bar Assoc. CLE Seminar	November 10-11, 2011	Greensboro, GA	Seminar	Hotel, Food
3. Alabama Bar Assoc. CLE Seminar	November 4, 2011	Birmingham, AL	Seminar	Travel, Food
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Sacca, James R.

Date of Report

9/20/2012

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Sacca, James R.

Date of Report

9/20/2012

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	B	Dividend	M	T					
3. -MSA Select Bond									
4. -MSA Money Market									
5. -MSA Index 500 Stock									
6. -MSA Mid Cap Growth Stock									
7. -MSA High Yield Bond									
8. -MSA Growth Stock									
9. -MSA Small Cap Growth Stock									
10. -MSA Small Cap Value									
11. -MSA Index 400 Stock									
12. -MSA International Growth									
13. -MSA Domestic Equity									
14. -MSA International Equity									
15. -MSA Asset Allocation									
16. -Russell Real Estate Securities									
17. IRA #1	D	Dividend	O	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	
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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Sacca, James R.

Date of Report

9/20/2012

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.	-American Century Diversified Bond Investment Fund Class								
19.	-American Funds Europacific Growth Fund								
20.	-American Funds Fundamental Investors								
21.	-American Funds High Income TrustFund								
22.	-Invesco International Growth Fund								
23.	-Fidelity Advisor Newinsights Fund								
24.	-Fidelity Advisor Leveraged Company Stock Fund								
25.	-DWS Dremen Small Cap Value Fund								
26.	-Lazard Emerging Markets Portfolio Funnd								
27.	-MFS International Value Fund								
28.	-PIMCO Commodity Real Return Strategy Fund								
29.	-PIMCO Real Return Fund Class A								
30.	-PIMCO Total Return Class A								
31.	-Russell Global Real Estate Securities Fund								
32.	-Templeton Global Bond Fund								
33.	-Vanguard 500 Index Fund								
34.	Brokerage Account								

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Sacca, James R.

Date of Report

9/20/2012

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)

35. -American Funds Europacific Growth Fund	B	Dividend	L	T	Buy (add'l)	01/19/11	K		
36. -American Century International Bond Fund	B	Dividend			Sold	01/19/11	K		
37. -The Growth Fund of America	A	Dividend	L	T	Buy (add'l)	01/19/11	K		
38. -MFS Value Fund	A	Dividend	L	T	Buy (add'l)	01/19/11	K		
39. -PIMCO Commodity Real Return Strategy Fund	D	Dividend	K	T	Buy (add'l)	01/19/11	J		
40. -PIMCO Real Return Fund	B	Dividend	J	T	Buy (add'l)	01/19/11	J		
41. -PIMCO Total Return Fund	C	Dividend	L	T	Sold (part)	01/19/11	K		
42. -Russell Emerging Markets Fund	A	Dividend	K	T	Buy (add'l)	01/19/11	K		
43. -Russell International Developed Markets Fund	A	Dividend	K	T	Buy (add'l)	01/19/11	K		
44. -Russell Global Real Estate Securities Fund	A	Dividend	K	T	Buy (add'l)	01/19/11	J		
45. -Stratton Small Cap Value Fund		None	K	T					
46. -American Century Tax Free Bond Fund	B	Interest	J	T	Buy (add'l)	01/19/11	K		
47. -Vanguard Mid-Cap Stock Index Fund	A	Dividend	K	T	Sold (part)	01/19/11	J		
48. -Vanguard Index Trust Total Stock Market Portfolio Fund	A	Dividend	M	T	Buy (add'l)	01/19/11	K		
49. BB&T common stock (y)									
50. SunTrust Bank deposit accounts	B	Interest	L	T					
51. Astoria Investments, LLC- Astoria, Oregon	F	Distribution	M	W					

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	
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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Sacca, James R.

Date of Report

9/20/2012

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)
52. Virginia 529 Plan-American Funds	D	Dividend	N	T	Buy (add'l)	12/27/11	K		
53. -Capital World Growth and Income Fund									
54. -American Balanced Fund									
55. -AMCAP Fund									
56. -The Bond Fund of America									
57. IRA #2 (y)									
58. -Harbor Capital Appreciation (y)									
59. -Goldman Sachs Small Cap Value (y)									
60. -Artisan International (y) Investment									
61. -Dodge & Cox International Stock (y)									
62. -Wells Fargo Stable Value Fund (y)									
63. Greenberg Traurig, P.A. stock (y)									
64. Brokerage Account #2									
65. -Fidelity Advisor Growth Opp	A	Dividend			Sold	04/05/11	J	A	
66. -SunTrust Money Market	A	Interest			Closed	04/05/11	J		
67. Perkins Mid Cap Value Fund	B	Dividend	K	T	Buy	01/19/11	K		
68. Templeton Global Bond Fund	A	Dividend	K	T	Buy	01/19/11	K		

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	
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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Sacca, James R.

Date of Report

9/20/2012

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

With respect to Part VII, (a) BB&T common stock was sold in 2010; (b) IRA #2 was closed in 2010 and money transferred to IRA #1 in 2010 and (c) value of Greenberg Traurig stock was paid to me in 2010 upon my leaving the firm.

Amendment was filed to provide additional information in Part VII, page 6, line 45, and page 7, line 66.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Sacca, James R.

Date of Report

9/20/2012

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