

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) Barreca, Marc L.	2. Court or Organization United States Bankruptcy Court, Western District of WA	3. Date of Report 04/30/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address United States Courthouse 700 Stewart Street, Room 7121 Seattle, WA 98101		
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Barreca, Marc L.

Date of Report

04/30/2020

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.	
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.	American Bar Association Business Law Section Spring Meeting	03/27/2019 to 03/29/2019	Vancouver, Canada	Attendanace at ABA Business Law Section Spring Meeting	lodging, transportation, meals
2.	Oregon Bar Association	04/04/2019 to 04/06/2019	Portland, OR	Annual Northwest Bankruptcy Institute CLE	lodging, transportatioin, meals, materials, and registration fee
3.	National Conference of Bankruptcy Judges and the American Bar Association	07/07/2019 to 07/10/2019	New York, NY	Attendance at National Conference of Bankruptcy Judges	lodging, airfare, transportation and meals
4.					
5.					

Name of Person Reporting Barreca, Marc L.	Date of Report 04/30/2020
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6. _____

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting	Date of Report
Barreca, Marc L.	04/30/2020

V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
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.)

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

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Barreca, Marc L.

Date of Report

04/30/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Washington Federal (Account)	A	Interest	K	T					
2. Seattle Credit Union fka Seattle Metro Credit Union	A	Interest	L	T					
3. Sound Credit Union (Account)	A	Interest	J	T					
4. Advisors Disciplined Trust Unit Investment Trust 1005	A	Dividend			Sold	09/10/19	J	B	
5. American Century GNMA Fund	C	Dividend	M	T					
6. I shares MSCI Emerging Markets Fund	A	Dividend	J	T					
7. I Shares MSCI EAFE Index	A	Dividend	K	T					
8. IShares S&P Mid Cap 400 Index	A	Dividend	J	T					
9. IShares S&P Mid Cap 400 Value Index	A	Dividend	J	T					
10. IShares Trust Dow Jones	A	Dividend	J	T					
11. IShares S&P Small Cap 600 Index	A	Dividend	K	T					
12. IShares S&P Small Cap 600 Growth Index	A	Dividend	J	T					
13. IShares S&P Small Cap 600 Value Index	A	Dividend	J	T					
14. American Funds Captial Income Builder Fund	B	Dividend	K	T	Distributed (part)	12/20/19	J	A	
15. American Funds Income Fund of America	B	Dividend	K	T	Distributed (part)	12/17/19	J	B	
16. Credit Suisse Commodity Ret Strategy Fund	A	Dividend	J	T					
17. Lazard Developing Markets Equity Open Fund	A	Dividend	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Barreca, Marc L.

Date of Report

04/30/2020

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. Oppenheimer Developing Markets Fund	A	Dividend	J	T	Distributed (part)	12/13/19	J	A	
19. American Funds EuroPacific Fund	A	Dividend	K	T	Distributed (part)	12/19/19	J	A	
20. Artisan International Fund	A	Dividend	K	T	Distributed (part)	11/21/19	J	B	
21. American Funds Washington Mutual Investors Fund	A	Dividend	K	T	Distributed (part)	12/20/19	J	A	
22. Ford Motor Company	A	Dividend	J	T					
23. JHancock3 Disciplined Value Fund	A	Dividend	K	T	Distributed (part)	12/13/19	J	A	
24. Loomis Sayles Growth Fund	A	Dividend	M	T	Distributed (part)	12/20/19	J	B	
25. Lord Abbett Short Duration Income Fund	A	Dividend	K	T					
26. MFS Value Fund	A	Dividend	K	T	Distributed (part)	12/19/19	J	A	
27. Microsoft Corporation	A	Dividend	J	T					
28. Oracle Corporation	A	Dividend	J	T					
29. Russell Global Real Estate Securities Fund	A	Dividend	J	T					
30. Schwab Div Emerging Market Equity Fund	A	Dividend	K	T					
31. Schwab International Equity		None	K	T					
32. Schwab S&P 500 Index Fund	C	Dividend	M	T	Distributed (part)	12/20/19	J	A	
33. Schwab US Aggregate Bond	B	Dividend	L	T					
34. Schwab US Large Growth Fund	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Barreca, Marc L.

Date of Report

04/30/2020

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35. Schwab US Small Blend Index	A	Dividend	L	T					
36. Toyota Motor Corp ADR	A	Dividend	J	T					
37. Vanguard Intermediate Term Tax Exempt Bond Fund	B	Dividend	L	T					
38. American Funds Balanced Fund	A	Dividend	K	T	Distributed (part)	12/17/19	J	A	
39. PIMCO Foreign Bond Fund	A	Dividend	K	T	Distributed (part)	12/11/19	J	A	
40. Powershares QQQ	A	Dividend	M	T	Sold (part)	09/16/19	J	B	
41. Schwab Retirement Money Market Fund	A	Dividend			Merged (with line 52)	01/01/19	J	A	
42. Schwab US Mid Blend	A	Dividend	L	T					
43. SPDR S&P 500	C	Dividend	K	T					
44. Vanguard REIT Index	A	Dividend	K	T					
45. Vanguard REIT Index Fund	B	Dividend	K	T					
46. The Tocqueville Phoenix Fund	A	Dividend	L	T	Distributed (part)	11/14/19	J	B	
47. Schwab US REIT Index	A	Dividend	K	T					
48. SSR Mining		None	J	T					
49. Baird Mid Cap Investors Fund	A	Dividend	K	T	Distributed (part)	12/17/19	J	A	
50. AAM Himco Short Duration Fund	A	Dividend	K	T					
51. Schwab Bank Sweep	A	Dividend	J	T	Sold (part)	01/17/19	M	A	

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52. Schwab Investor Money Market Fund SWRXX	A	Dividend	J	T					
53. Schwab Value Advantage Money Market Fund SWVXX	B	Dividend	M	T	Buy	01/17/19	M		
54. Bank of America (Account)	A	Interest	L	T					

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FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Barreca, Marc L.

Date of Report

04/30/2020

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

Cleaned up the Schwab cash positions. At the end of 2019 there were holdings in Schwab Bank, Schwab Value Advantage Money Market Fund (SWVXX) and the Schwab Investor Money Market Fund (SWVXX). Line 40 from last year was merged to line 52. On May 9, 2019 a number of mutual funds were swapped for the same underlying fund but a share class with a lower Operating Expense Ratio, as follows,

American Balanced, BALFX to AMBFX
American Century GNMA, BGNMX to AGMHX
PIMCO Intl Bond US, PFOAX to PFORX
Oppenheimer Developing Markets, ODMAX to ODVYX
Loomis Sayles Growth, LGRRX to LSGRX
Lazard Developing Markets, LDMOX to LDMIX
Artisan International, ARTIX to APDIX
Income Fund of America, IFAFX to AMEFX
EuroPacific Growth, AEGFX to AEPFX
Capital Income Builder, CIBFX to CAIFX
Vanguard REIT Index, VGSIX to VGSLX

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Barreca, Marc L.

Date of Report

04/30/2020

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/ **Marc L. Barreca**

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