

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) TOTENBERG, AMY M.	2. Court or Organization NORTHERN DISTRICT OF GEORGIA	3. Date of Report 05/14/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US DISTRICT JUDGE - ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 2388 Richard Russell Federal Building 75 Ted Turner Drive, SW Atlanta, GA 30303-3309		
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 8

Name of Person Reporting

TOTENBERG, AMY M.

Date of Report

05/14/2020

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. 2019	SELF-EMPLOYED OFFICE FINANCIAL MANAGER
2. 2019	PENSION FROM FORMER EMPLOYER'S DEFINED BENEFIT RETIREMENT PLAN
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 ASSOCIATION OF CRIMINAL DEFENSE LAWYERS	10/24/2019	WASHINGTON, DC	CONFERENCE PANEL	REIMBURMENT FOR TRAVEL EXPENSES
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
TOTENBERG, AMY M.	05/14/2020

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 4 of 8

Name of Person Reporting

TOTENBERG, AMY M.

Date of Report

05/14/2020

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) 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. ABERDEEN EMERGING MARKETS INST CL	B	Dividend	L	T					
2. BANK OF AMERICA ACCOUNT		None	J	T					
3. BARON GROWTH FD INST CL		None	M	T					
4. BARON PARTNERS FD INST CL		None	M	T					
5. DFA INTL SMALL CAP VALUE PORT INSTL	A	Dividend			Sold	07/17/19	J		
6. DFA TAX MANAGED US TARGETED VALUE PORTFOLIO	C	Dividend	N	T					
7. DODGE & COX GLOBAL STK FD	B	Dividend	K	T	Buy	07/17/19	K		
8. DODGE & COX STOCK FUND	C	Dividend	M	T	Sold (part)	07/17/19	J		
9. FIDELITY GROWTH & INCOME FUND	C	Dividend	M	T					
10. FIDELITY LOW PRICED STOCK FUND	D	Dividend	N	T	Sold (part)	07/17/19	K		
11. FIDELITY - VIP CONTRAFUND PORTFOLIO - SERVICE CLASS 2		None	L	T					
12. FIDELITY - VIP MID CAP PORTFOLIO - SERVICE CLASS 2		None	K	T					
13. FIDELITY- VIP VALUE STRATEGIES PORTFOLIO SERVICE CLASS 2		None	K	T					
14. FRANKLIN MUTUAL GLOBAL DISC FD Z	C	Dividend	M	T					
15. LOOMIS SAYLES BOND FUND CL I	D	Dividend	M	T					
16. METROPOLITAN WEST TOTAL RETURN BOND I	D	Dividend	N	T	Sold (part)	10/15/19	J		
17. NATIONWIDE FIXED ACCOUNT	A	Interest	L	T	Distributed (part)	11/11/19	J		

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	

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. NUVEEN SHORT DUR HIGH YLD MUNI BD I	D	Dividend	N	T	Buy (add'l)	12/04/19	K			
19. PRIMECAP ODYSSEY STOCK	A	Dividend	L	T	Sold (part)	01/24/19	J			
20.					Buy (add'l)	07/17/19	J			
21.					Sold (part)	07/19/19	J			
22.					Sold (part)	11/06/19	J			
23. SCHWAB MUNICIPAL MONEY FUND ULTRA SHARES	C	Dividend	M	T	Sold (part)	04/09/19	O			
24.					Buy (add'l)	12/04/19	M			
25. SPDR S&P DIVIDEND ETF	E	Dividend	O	T						
26. SUNTRUST BANK ACCOUNT	A	Interest	M	T						
27. SCHWAB BANK ACCOUNT	A	Interest	J	T						
28. TA BLACKROCK GLOBAL REAL ESTATE SECURITIES		None	J	T						
29. TA U.S. GOVERNMENT SECURITIES VP		None	J	T						
30. TWEEDY BROWNE GLOBAL VALUE FUND	B	Dividend	M	T						
31. US TREASURY NOTE	C	Interest			Matured	10/31/19	M			
32. VANGUARD 500 INDEX FD ADMIRAL SHARE	D	Dividend	O	T						
33. VANGUARD HIGH DIVIDEND YIELD ETF	E	Dividend	O	T						
34. VANGUARD INTERM TERM TAX EXEMPT FD ADMIRAL SHARE	D	Dividend	N	T	Buy (add'l)	12/04/19	K			

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

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
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

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
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

E =\$15,001 - \$50,000

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)
35. VANGUARD LTD TERM TAX EXEMPT ADMIRAL SHARE	C	Dividend	M	T					
36. VANGUARD MID CAP ETF	C	Dividend	M	T					
37. VANGUARD PRIMECAP CORE FUND	B	Dividend	L	T					
38. VANGUARD PRIMECAP FUND ADMIRAL SHARE	C	Dividend	M	T					
39. VANGUARD SHORT TERM INVESTMENT GRADE FUND ADMIRAL	D	Dividend	N	T					
40. WELLS FARGO BANK ACCOUNT	A	Interest	K	T					
41. CHARLES SCHWAB - CASH ACCOUNTS	A	Interest	K	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

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

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

TOTENBERG, AMY M.

Date of Report

05/14/2020

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

SECTION V11. INVESTMENTS and TRUSTS - LINE 28 - TA CLARION GLOBAL REAL ESTATE SECURITIES CHANGED NAMES TO TA BLACKROCK GLOBAL REAL ESTATE SECURITIES

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

TOTENBERG, AMY M.

Date of Report

05/14/2020

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/ AMY M. TOTENBERG**

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