

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 05/09/2019
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 01/01/2018 to 12/31/2018
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.		

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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.)*

<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. Oregon Bar Association	04/13/2018	Seattle, WA	Speaker at 31st Annual Northwest Bankruptcy Institute CLE	Meals, materials and registration fee
2. National Conference of Bankruptcy Judges and the American Bar Association	10/25/2018 to 10/31/2018	San Antonio, TX	Attendance at National Conference of Bankruptcy Judges	lodging, airfare, transportation and meals
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.)

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.		

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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)	(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) (X)	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	C	Distribution	J	T					
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	J	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 Preferred Stock Index	A	Dividend			Sold	11/26/18	J	D	
12. IShares S&P Small Cap 600 Index	A	Dividend	K	T					
13. IShares S&P Small Cap 600 Growth Index	A	Dividend	J	T					
14. IShares S&P Small Cap 600 Value Index	A	Dividend	J	T					
15. American Funds Captial Income Builder Fund	B	Dividend	K	T					
16. American Funds Income Fund of America	B	Dividend	K	T	Distributed (part)	12/18/18	J	B	
17. Credit Suisse Commodity Ret Strategy Fund	A	Dividend	J	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	

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Name of Person Reporting

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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 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. Lazard Developing Markets Equity Open Fund	A	Dividend	J	T					
19. Oppenheimer Developing Markets Fund	A	Dividend	J	T					
20. American Funds EuroPacific Fund	A	Dividend	K	T	Distributed (part)	12/20/18	J	B	
21. Artisian International Fund	A	Dividend	K	T	Distributed (part)	11/20/18	J	B	
22. American Funds Washington Mutual Investors Fund	A	Dividend	K	T	Distributed (part)	12/21/18	J	A	
23. Ford Motor Company	A	Dividend	J	T					
24. JHancock3 Disciplined Value Fund	A	Dividend	J	T	Distributed (part)	12/20/18	J	A	
25. Loomis Sayles Growth Fund	A	Dividend	L	T	Distributed (part)	12/20/18	J	C	
26. Lord Abbett Short Duration Income Fund	A	Dividend	K	T	Sold (part)	01/10/18	K	A	
27. MFS Value Fund	A	Dividend	K	T	Distributed (part)	12/20/18	J	A	
28. Microsoft Corporation	A	Dividend	J	T					
29. Oracle Corporation	A	Dividend	J	T					
30. Russell Global Real Estate Securities Fund	A	Dividend	J	T	Sold (part)	12/31/18	J	A	
31. Schwab Div Emerging Market Equity Fund	A	Dividend	J	T					
32. Schwab Government Securities Money Market Fund	A	Dividend	K	T					
33. Schwab International Equity		None	J	T					
34. Schwab S&P 500 Index Fund	C	Dividend	M	T	Distributed (part)	12/21/18	J	A	

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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	
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35. Schwab US Aggregate Bond	B	Dividend	L	T					
36. Schwab US Large Growth Fund	A	Dividend	K	T					
37. Schwab US Small Blend Index	A	Dividend	L	T					
38. Toyota Motor Corp ADR	A	Dividend	J	T					
39. Vanguard Intermediate Term Tax Exempt Bond Fund	B	Dividend	L	T					
40. American Funds Balanced Fund	A	Dividend	K	T	Distributed (part)	12/18/18	J	B	
41. PIMCO Foreign Bond Fund	A	Dividend	K	T	Distributed (part)	12/12/18	J	A	
42. Powershares QQQ	A	Dividend	L	T					
43. Schwab Money Market Fund	A	Dividend	M	T					
44. Schwab Retirement Money Market Fund	A	Dividend	J	T					
45. Schwab US Mid Blend	A	Dividend	L	T					
46. SPDR S&P 500	C	Dividend	K	T					
47. Vanguard REIT Index	A	Dividend	J	T					
48. Vanguard REIT Index Fund	B	Dividend	K	T					
49. The Tocqueville Phoenix Fund fka Delafield Fund	A	Dividend	L	T	Distributed (part)	12/12/18	J	C	
50. Schwab US REIT Index	A	Dividend	K	T					
51. SSR Mining aka Silver Standard Resources		None	J	T					

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52. US Geothermal		None			Sold	04/25/18	J	A	
53. Baird Mid Cap Investors Fund	A	Dividend	J	T	Distributed (part)	12/26/18	J	A	
54. AAM Himco Short Duration Fund	A	Dividend	K	T	Buy	01/11/18	J		
55. Schwab Cash & Money Market	A	Int./Div.	K	T					
56. Schwab Cash & Money Market (IRA)	A	Interest	J	T					
57. Bank of America (Account)	A	Interest	L	T					

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

Delafield Fund's name has changed to The Tocqueville Phoenix Fund

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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/ **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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