

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) Sacca, James R.	2. Court or Organization Bankruptcy Court, Northern District Georgia	3. Date of Report 06/28/2021
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☒ X Amended Report	
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
5. _____	_____

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

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. _____	_____
2. _____	_____
3. _____	_____

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting	Date of Report
Sacca, James R.	05/15/2020

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.)

DATE	SOURCE AND TYPE	INCOME (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.)

DATE	SOURCE 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.)

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Sacca, James R.	05/15/2020

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.		

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. Northwestern Mutual Whole Life Policy	D	Dividend	M	T					
2. Northwestern Mutual Variable Life Policy									
3. -MSA Select Bond		None	K	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	K	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)

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 5 of 11

Name of Person Reporting

Sacca, James R.

Date of Report

05/15/2020

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)
18. -American Century Diversified Bond Fund (ADFIX)	A	Dividend	K	T	Sold (part)	12/30/19	J	A	
19. -American Funds Europacific Growth Fund (AEPFX)	A	Dividend	K	T	Sold (part)	12/30/19	J	A	
20.					Sold (part)	08/30/19	J	A	
21. -American Funds Fundamental Investors (FINFX)	C	Distribution	K	T	Sold (part)	12/30/19	J	A	
22. -American Funds High Income TrustFund (AHIFX)	B	Dividend	K	T	Sold (part)	12/30/19	J	A	
23.					Sold (part)	08/30/19	K	C	
24. -Invesco International Growth Fund (AIIXY)	C	Distribution	K	T	Sold (part)	12/30/19	J	A	
25. -Fidelity Advisor Newinsights Fund (FINSX)	C	Distribution	K	T	Sold (part)	12/30/19	J	B	
26. -Fidelity Advisor Small Cap Value Fund (FCVIX)	A	Distribution	K	T	Sold (part)	12/30/19	J	A	
27.					Buy (add'l)	08/30/19	J		
28. -MFS International Value Fund (MINIX)	B	Distribution	K	T	Sold (part)	12/30/19	J	A	
29.					Sold (part)	08/30/19	J	B	
30. -PIMCO Real Return Fund (PRLPX)	A	Dividend	K	T	Sold (part)	12/30/19	J	A	
31.					Buy (add'l)	08/30/19	J		
32. -PIMCO Absolute Return Class A (PSPTX)	B	Dividend			Sold	08/30/19	K	D	
33. Metropolitan West Total Return Bond Fund (MWTIX)	B	Dividend	L	T	Sold (part)	12/30/19	J	A	
34.					Buy (add'l)	08/30/19	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 \$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 11

Name of Person Reporting

Sacca, James R.

Date of Report

05/15/2020

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)
35. -Russell Global Real Estate Securities Fund (RRESX)	A	Dividend			Sold	08/30/19	K	D	
36. -Vanguard Health Care EFT (VHT)	A	Dividend	K	T	Sold (part)	08/30/19	J	A	
37. -Select Sector SPDR Consumer Staples (XLP)	A	Dividend	K	T	Buy (add'l)	08/30/19	K		
38. -Select Specctor Inter Energy (XLE)	A	Dividend			Sold	08/30/19	K	C	
39. -New World Fund (NFFFX)	B	Dividend	K	T	Sold (part)	12/30/19	J	A	
40.					Sold (part)	08/30/19	J	A	
41. -John Hancock Disc Mid Cap Fund (JVMIX)	A	Distribution	K	T	Sold (part)	12/30/19	J	A	
42. -Deutsche Enhanced Commodity (SKIRX)	A	Dividend			Sold	08/30/19	J	B	
43. -AB Global Bond Fund (ANAYX)	A	Dividend	K	T	Sold (part)	12/30/19	J	A	
44. -Fidelity Adv Biotech (FBTIX)	A	Distribution	J	T	Sold (part)	12/30/19	J	A	
45. -PIMCO Income Fund (PONPX)	C	Dividend	K	T	Sold (part)	12/30/19	J	A	
46. -PIMCO International Stock Fund (PSKIX)	A	Distribution	K	T	Sold (part)	12/30/19	J	A	
47. -Gugg SP 500 Fund (RSP)	A	Dividend	K	T	Buy (add'l)	08/30/19	J		
48. -Opp Dev Mark Fund (ODVYX)	A	Dividend	K	T	Sold (part)	12/30/19	J	A	
49. -PIMCO Comm Real Ret (PCRPX)	A	Dividend	J	T	Sold (part)	12/30/19	J	A	
50.					Buy	08/30/19	J		
51. PIMCO Stocksplus (PTOPX)	C	Dividend	K	T	Buy	08/30/19	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 \$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 11

Name of Person Reporting

Sacca, James R.

Date of Report

05/15/2020

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)
52.					Sold (part)	12/30/19	J	A	
53. T Rowe Health Science (PRHSX)	B	Distribution	J	T	Buy	08/30/19	K		
54.					Sold (part)	12/30/19	J	A	
55. Cohen & Steers Real Estate (CSDIX)	A	Dividend	K	T	Buy	08/30/19	K		
56.					Sold (part)	12/30/19	J	A	
57. -Dreyfus Insured Deposit Program money market account	A	Interest	J	T					
58. Roth IRA									
59. -Pershing Money market		None	L	T	Buy	12/30/19	L		
60. Brokerage Account									
61. -American Funds Europacific Growth Fund (AEPFX)	C	Dividend	M	T	Sold (part)	05/08/19	K	C	
62. -The Growth Fund of America (GFFFX)	C	Distribution	L	T					
63. -MFS Value Fund (MEIIX)	C	Dividend	L	T					
64. Pimco Commod Plus (PCLPX)	B	Distribution	K	T					
65. -Sterling Cap f/k/a Stratton Small Cap Value Fund (STSCX)	C	Distribution	K	T					
66. -American Century Tax Free Bond Fund (TWTIX)	B	Distribution	K	T	Sold (part)	07/25/19	K	B	
67. -Vanguard Mid-Cap Stock Index Fund (VIMAX)	A	Dividend	K	T					
68. -Vanguard Index Trust Total Stock Market Portfolio Fund (VTSAX)	A	Distribution	M	T	Sold (part)	07/25/19	K	D	

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 8 of 11

Name of Person Reporting

Sacca, James R.

Date of Report

05/15/2020

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)
69. -John Hancock Disciplined Value Mid Cap Fund (JVMIX)	B	Distribution	K	T					
70. -AB Global Bond Fund (ANAYX)	B	Dividend	K	T					
71. -Putnam Conv Securities Fund (PCGYX)	B	Distribution	K	T					
72. -Vanguard Healthcare Fund (VHT)	A	Dividend	K	T	Sold (part)	07/25/19	J	A	
73. -New World Fund (NFFFX)	B	Distribution	L	T					
74. -Select Sector Consumer Staples (XLP)	A	Dividend	K	T					
75. -Cohen & Steers Realty Income Fund (CSDIX)	C	Dividend	K	T					
76. -First Eagle Oveseas (SGOIX)	D	Distribution	L	T					
77. -Fidelity Adv Biotech (FBTIX)	B	Distribution	K	T					
78. -EV Float Hi Inc (EIFHX)	A	Dividend	K	T					
79. -Ishares TR TIP Bond (TIP)	A	Dividend	L	T					
80. -Columb Global Ener (CENRX)	A	Dividend			Sold (part)	09/09/19	J	A	
81.					Sold	11/19/19	J	B	
82. -Dreyfus General Money Market Fund	A	Interest	J	T					
83. SunTrust Bank deposit accounts	A	Interest	K	T					
84. Virginia 529 Plan-American Funds									
85. -2018 Fund	A	Dividend			Sold	07/02/19	K	C	

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)	(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)
86. -2021 Fund	C	Dividend	L	T	Redeemed (part)	12/31/19	J	B	
87.					Redeemed (part)	06/28/19	J	B	
88.					Redeemed (part)	11/18/19	J	B	
89. - 2024 Fund	C	Dividend	M	T	Redeemed (part)	12/03/19	J	B	
90.					Redeemed (part)	07/16/19	J	B	
91. -2027 Fund	B	Dividend	K	T	Buy	07/02/19	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

FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting	Date of Report
Sacca, James R.	05/15/2020

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Sacca, James R.

Date of Report

05/15/2020

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/ **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