

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 04/07/2017
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
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.	

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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.)*

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. 2016	SELF-EMPLOYED OFFICE FINANCIAL MANAGER
2. 2016	PENSION FROM [REDACTED] RETIREMNET 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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. THE AMERICAN LAW INSTITUTE	02/2/2016 THROUGH 02/04/2016	PHILADELPHIA, PA	RESTATEMENT OF THE LAW, CHILDREN AND THE LAW	TRANSPORTATION, FOOD, AND LODGING
2.				
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.)*

	<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.			

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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) 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	A	Dividend	L	T	Buy (add'l)	08/08/16	K		
2. BANK OF AMERICA ACCOUNT		None	J	T					
3. BARON GROWTH FD INST CL		None	M	T	Buy (add'l)	08/08/16	K		
4. BARON PARTNERS FD INST CL		None	M	T					
5. DFA INTL SMALL CAP VALUE PORT INSTL	A	Dividend	J	T					
6. DFA TAX MANAGED US TARGETED VALUE PORTFOLIO	B	Dividend	M	T					
7. DFA U.S. SMALL CAP VALUE PORTFOLIO	B	Dividend	M	T	Buy (add'l)	08/08/16	J		
8. DODGE & COX STOCK FUND	C	Dividend	M	T					
9. FIDELITY GROWTH & INCOME FUND	B	Dividend	M	T					
10. FIDELITY LOW PRICED STOCK FUND	C	Dividend	N	T	Sold (part)	11/14/16	J		
11. FIDELITY - VIP CONTRAFUND PORTFOLIO - SERVICE CLASS 2		None	K	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	D	Dividend	N	T					
15. HARBOR INTERNATIONAL FUND INST CL	C	Dividend	M	T					
16. LOOMIS SAYLES BOND FUND CL I	C	Dividend	M	T					
17. METROPOLITAN WEST TOTAL RETURN BOND I	B	Dividend	L	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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18. NATIONWIDE FIXED ACCOUNT	A	Interest	L	T	Sold (part)	11/11/16	J		
19. NUVEEN SHORT DUR HIGH YLD MUNI BD I	C	Dividend	M	T					
20. PRIMECAP ODYSSEY STOCK	A	Dividend	K	T	Sold (part)	11/14/16	J		
21. SPDR S&P DIVIDEND ETF	D	Interest	O	T					
22. SUNTRUST BANK ACCOUNT	A	Interest	K	T					
23. SCHWAB BANK ACCOUNT	A	Interest	J	T					
24. TA CLARION GLOBAL REAL ESTATE SECURITIES VP		None	J	T					
25. TA U.S. GOVERNMENT SECURITIES VP		None	J	T					
26. VANGUARD 500 INDEX FD ADMIRAL SHARE	D	Dividend	N	T					
27. VANGUARD HIGH DIVIDEND YIELD ETF	E	Dividend	O	T					
28. VANGUARD INTERM TERM TAX EXEMPT FD ADMIRAL SHARE	D	Dividend	N	T					
29. VANGUARD MID CAP ETF	C	Dividend	M	T					
30. VANGUARD PRIMECAP CORE FUND	A	Dividend	L	T					
31. VANGUARD PRIMECAP FUND ADMIRAL SHARE	B	Dividend	M	T					
32. WELLS FARGO BANK ACCOUNT	A	Interest	K	T					
33. WINTERGREEN FUND		None			Sold	08/08/16	L		
34. CHARLES SCHWAB - CASH ACCOUNTS		None	K	T					

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

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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/ 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
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