

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Suddaby, Glenn T.	2. Court or Organization Northern District of New York	3. Date of Report 09/02/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address 100 South Clinton Street 3rd Floor Syracuse, New York 13261-7198		
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. 2014	NYS & Local Employees Retirement System- Monthly Retirement payment started during 2011	\$22,382.00
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.				
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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) 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. American Funds-Fundamental Investors	A	Interest			Closed	04/29/14	K		
2. Wells Fargo IRA -Cash account	A	Dividend	J	T	Open	04/29/14	J		
3. Wells Fargo-IRA 58shs ABBVIE,INC	A	Dividend	J	T	Buy	04/29/14	J		
4. Wells Fargo IRA-76shs ALTRIA GROUP, INC	A	Dividend	J	T	Buy	04/26/14	J		
5. Wells Fargo-IRA- 44shs AMERICAN ELECTRIC POWE INC	A	Dividend	J	T	Buy	04/26/14	J		
6. Wells Fargo-IRA- 82shs AT&T	A	Dividend	J	T	Buy	04/26/14	J		
7. Wells Fargo-IRA-63shs BRISTOL MYERS SQUIBB	A	Dividend	J	T	Buy	04/26/14	J		
8. Wells Fargo-IRA-113shs CISCO SYSTEMS INC	A	Dividend	J	T	Buy	04/26/14	J		
9. Wells Fargo-IRA- 51shs CONAGRA FOODS INC	A	Dividend	J	T	Buy	04/26/14	J		
10. Wells Fargo- IRA- 48shs CONOCOPHILLOPS	A	Dividend	J	T	Buy	04/26/14	J		
11. Wells Fargo-IRA-17shs DIAGO PLC	A	Dividend	J	T	Buy	04/26/14	J		
12. Wells Fargo-IRA- 37shs DOMINION RES INC	A	Dividend	J	T	Buy	04/26/14	J		
13. Wells Fargo-IRA- 34shs DOVER CORP	A	Dividend	J	T	Buy	04/26/14	J		
14. Wells Fargo-IRA-50shs DU PONT E.I.	A	Dividend	J	T	Buy	04/26/14	J		
15. Wells Fargo-IRA- 29shs GENL DYNAMICS CORP	A	Dividend	J	T	Buy	04/26/14	J		
16. Wells Fargo-IRA 24shs GENUINE PARTS CO	A	Dividend	J	T	Buy	04/26/14	J		
17. Wells Fargo-IRA- 50shs GLAXOSMITHKLINE PLC	A	Dividend	J	T	Buy	04/26/14	J		

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

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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 I (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. Wells Fargo-IRA- 45shs HCP INC	A	Dividend	J	T	Buy	04/26/14	J		
19. Wells Fargo-IRA- 33shs HEALTH CARE REIT INC	A	Dividend	J	T	Buy	04/26/14	J		
20. Wells Fargo-IRA- 60shs HOME DEPOT INC	A	Dividend	J	T	Buy	04/26/14	J		
21. Wells Fargo-IRA- 38/shs ILLINOIS TOOL WORKS INC	A	Dividend	J	T	Buy	04/26/14	J		
22. Wells Fargo-IRA- 138shs INTEL CORP	A	Dividend	J	T	Buy	04/26/14	J		
23. Wells Fargo- IRA 63shs INTERNATIONAL PAPER CO	A	Dividend	J	T	Buy	04/26/14	J		
24. Wells Fargo-IRA- 39shs JOHNSON & JOHNSON	A	Dividend	J	T	Buy	04/26/14	J		
25. Wells Fargo-IRA- 55shs JPMORGAN CHASE & CO	A	Dividend	J	T	Buy	04/26/14	J		
26. Wells Fargo-IRA- 32shs KIMBERLY-CLARK CORP	A	Dividend	J	T	Buy	04/26/14	J		
27. Wells Fargo-IRA-42shs KRAFT FOODS GROUP	A	Dividend	J	T	Buy	04/26/14	J		
28. Wells Fargo-IRA 26shs LOCKHEED MARTIN CORP	A	Dividend	J	T	Buy	04/26/14	J		
29. Wells Fargo-IRA- 20shs M&T BANK CORP	A	Dividend	J	T	Buy	04/26/14	J		
30. Wells Fargo-IRA- 48shs MATTEL INCORPORATED	A	Dividend	J	T	Buy	04/26/14	J		
31. Wells Fargo-IRA- 69shs MAXIM INTEGRATED PRODS	A	Dividend	J	T	Buy	04/26/14	J		
32. Wells Fargo-IRA- 25shs MCDONALDS CORP	A	Dividend	J	T	Buy	04/26/14	J		
33. Wells Fargo-IRA- 61shs MICROCHIP TECHNOLOGY INC	A	Dividend	J	T	Buy	04/26/14	J		
34. Wells Fargo-IRA- 68shs MICROSOFT CORP	A	Dividend	J	T	Buy	04/26/14	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	

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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)

35. Wells Frago-IRA-28shs NEXTERA ENERGY INC	A	Dividend	J	T	Buy	04/26/14	J		
36. Wells Fargo-IRA-48 shs NUCOR CORP	A	Dividend	J	T	Buy	04/26/14	J		
37. Wells Fargo-IRA- 185shs PEOPLE'S UNITED FINANCL	A	Dividend	J	T	Buy	04/26/14	J		
38. Wells Fargo-IRA- 30shs PEPSICO INCORPORATED	A	Dividend	J	T	Buy	04/26/14	J		
39. Wells Fargo-IRA- 103shs PFIZER INCORPORATED	A	Dividend	J	T	Buy	04/26/14	J		
40. Wells Fargo-IRA- 32shs PHILLIPS 66	A	Dividend	J	T	Buy	04/26/14	J		
41. Wells Fargo-IRA- 32shs PROCTOR & GAMBLE CO	A	Dividend	J	T	Buy	04/26/14	J		
42. Wells Fargo-IRA- 30shs ROYAL DUTCH SHELL PLC	A	Dividend	J	T	Buy	04/26/14	J		
43. Wells Fargo-IRS- 55shs SONOCO PRODUCTS CO	A	Dividend	J	T	Buy	04/26/14	J		
44. Wells Fargo-IRA- 77shs SPECTRA ENERGY CORP	A	Dividend	J	T	Buy	04/26/14	J		
45. Wells Fargo-IRA 42shs THE SOUTHERN COMPANY	A	Dividend	J	T	Buy	04/26/14	J		
46. Wells Fargo-IRA- 30shs UNITED PARCEL SERVICE-B	A	Dividend	J	T	Buy	04/26/14	J		
47. Wells Frago-IRA- 47shs VERIZON COMMUNICATIONS	A	Dividend	J	T	Buy	04/26/14	J		
48. Wells Fargo-IRA-41shs WALGREEN BOOTS ALLIANCE INC	A	Dividend	J	T	Buy	04/26/14	J		
49. Wells Fargo-IRA 45shs Waste MGMT INC DEL	A	Dividend	J	T	Buy	04/26/14	J		
50. American Funds-New Perspective Fund-A	B	Dividend			Closed	04/29/14	K		
51. American Funds-New World Fund-A	A	Dividend			Closed	04/29/14	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
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52. American Funds-Small Cap World Fund-A	A	Dividend			Closed	04/29/14	J		
53. American Funds-Capital World Growth & Income Fund-A	A	Dividend			Closed	04/29/14	K		
54. American Funds-Washington Mutual Investors Fund	A	Dividend			Closed	04/29/14	J		
55. American Funds-Capital Income Builder-A	A	Dividend			Closed	04/29/14	K		
56. Oppenheimer Funds-Capital Appreciation Fund-A (glenn)	C	Dividend	K	T	Open	04/29/14	K		
57. Oppenheimer Funds-Capital Appreciation Fund-A (jane)	A	Dividend			Closed	04/29/14	J		
58. Nationwide		None			Closed	04/29/14	J		
59. Wells Fargo IRA- Cash account	A	Int./Div.	J	T	Open	06/20/14	J		
60. Wells Fargo-IRA-CAPITAL INCOME BLDR CL A	A	Dividend	K	T	Buy	06/20/14	K		
61. Wells Fargo-IRA- CAPITAL WORLD GROWTH & INCOME FD	A	Dividend	K	T	Buy	06/20/14	K		
62. Wells Fargo-IRA- FUNDAMENTAL INVS INC CLASS A	B	Dividend	K	T	Buy	06/20/14	K		
63. Wells Fargo-IRA-NEW PESEPECTIVE FD A	B	Dividend	K	T	Buy	06/20/14	K		
64. Wells Fargo-IRA-NEW WORLD FUND CLASS A	A	Dividend	J	T	Buy	06/20/14	J		
65. Wells Fargo-IRA-SMALLCAP WORLD FD A	A	Dividend	J	T	Buy	06/20/14	J		
66. Wells Fargo-IRA-WASH MUTUAL INVS FD INC CLASS A	A	Dividend	J	T	Buy	06/20/14	J		
67. NYS Teachers Retirement	A	Dividend			Closed	06/20/14	M		
68. NYS 529 Plan-Vanguard Moderate Age Based Option-no control	A	Dividend	J	T					

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69. NYS 529 Plan-Vanguard Moderate Age Based Option-no control	A	Dividend	J	T					
70. NW Mutual Life (Whole Life Policy)	A	Dividend	K	T					
71. Black Rock College Advtg.-Agres. Growth Option A- no control	A	Int./Div.	J	T					
72. Black Rock College Advtge- Agres Growth Option A- no control	A	Int./Div.	K	T					
73. Key Investment Services-FDIC Variable rate deposit	A	Int./Div.	M	T					
74. Key Privilege Select Checking (X)	A	Int./Div.	J	T					

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

Note that Jane Suddaby is deceased and her accounts were closed during the year and either merged with Glenn's accounts or new accounts were opened in Glenn's name

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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/ **Glenn T. Suddaby**

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