

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) Suddaby, Glenn T.	2. Court or Organization Northern District of New York	3. Date of Report 05/15/2017
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 01/01/2016 to 12/31/2016
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Suddaby, Glenn T.

Date of Report

05/15/2017

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. 2016	NYS & Local Employees Retirement System- Monthly Retirement payment started during 2011	\$22,382.00
2. 2016	NYS Teachers' Retirement System	\$38,844.00
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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Suddaby, Glenn T.

Date of Report

05/15/2017

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Suddaby, Glenn T.

Date of Report

05/15/2017

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. Wells Fargo IRA -Cash account	A	Dividend	J	T					
2. Wells Fargo-IRA 55shs ABBVIE,INC	A	Dividend	J	T					
3. Wells Fargo IRA-73shs ALTRIA GROUP, INC	A	Dividend	J	T					
4. Wells Fargo-IRA- 43shs AMERICAN ELECTRIC POWER INC	A	Dividend	J	T					
5. Wells Fargo-IRA- 99shs AT&T	A	Dividend	J	T					
6. Wells Fargo-IRA- 0 shs BRISTOL MYERS SQUIBB	A	Dividend			Sold	08/11/16	J	A	
7. Wells Fargo-IRA-107shs CISCO SYSTEMS INC	A	Dividend	J	T					
8. Wells Fargo-IRA- 77shs CONAGRA FOODS INC	A	Dividend	J	T					
9. Wells Fargo- IRA- 0 shs CONOCOPHILLOPS	A	Dividend			Sold	01/25/16	J	A	
10. Wells Fargo-IRA-17shs DIAGO PLC	A	Dividend	J	T					
11. Wells Fargo-IRA- 36shs DOMINION RES INC	A	Dividend	J	T					
12. Wells Fargo-IRA- 45shs DOVER CORP	A	Dividend	J	T					
13. Wells Fargo-IRA-63shs DU PONT E.I.	A	Dividend	J	T					
14. Wells Fargo-IRA-37shs EXXON	A	Dividend	J	T	Buy	04/14/16	J		
15. Wells Fargo- IRA-98shs GE	A	Dividend	J	T	Buy	03/01/16	J		
16. Wells Fargo-IRA- 34shs GE	A	Dividend	J	T	Buy	09/15/16	J		
17. Wells Fargo-IRA- 28shs GENL DYNAMICS CORP	A	Dividend	J	T					

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Suddaby, Glenn T.

Date of Report

05/15/2017

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18. Wells Fargo-IRA 23shs GENUINE PARTS CO	A	Dividend	J	T					
19. Wells Fargo-IRA- 64shs GLAXOSMITHKLINE PLC	A	Dividend	J	T					
20. Wells fargo-IRA-34shs HASBRO, INC	A	Dividend	J	T					
21. Wells Fargo-IRA- 0 shs HCP INC	A	Dividend			Sold	02/16/16	J	A	
22. Wells Fargo-IRA- 47shs HOME DEPOT INC	A	Dividend	J	T					
23. Wells Fargo-IRA- 37shs ILLINOIS TOOL WORKS INC	A	Dividend	J	T					
24. Wells Fargo-IRA- 130shs INTEL CORP	A	Dividend	J	T					
25. Wells Fargo-IRA-25shs IBM	A	Dividend	J	T	Buy	09/09/16	J		
26. Wells Fargo- IRA 60shs INTERNATIONAL PAPER CO	A	Dividend	J	T					
27. Wells Fargo-IRA- 37shs JOHNSON & JOHNSON	A	Dividend	J	T					
28. Wells Fargo-IRA- 53shs JPMORGAN CHASE & CO	A	Dividend	J	T					
29. Wells Fargo-IRA- 30shs KIMBERLY-CLARK CORP	A	Dividend	J	T					
30. Wells Fargo-IRA 25shs LOCKHEED MARTIN CORP	A	Dividend	J	T					
31. Wells Fargo-IRA- 19shs M&T BANK CORP	A	Dividend	J	T					
32. Wells Fargo-IRA- 66shs MAXIM INTEGRATED PRODS	A	Dividend	J	T					
33. Wells Fargo-IRA- 24shs MCDONALDS CORP	A	Dividend	J	T					
34. Wells Fargo-IRA- 58shs MICROCHIP TECHNOLOGY INC	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	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Suddaby, Glenn T.

Date of Report

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35. Wells Fargo-IRA- 65shs MICROSOFT CORP	A	Dividend	J	T					
36. Wells Frago-IRA-27shs NEXTERA ENERGY INC	A	Dividend	J	T					
37. Wells Fargo-IRA-46 shs NUCOR CORP	A	Dividend	J	T					
38. Wells Fargo-IRA- 209 shs PEOPLE'S UNITED FINANCL	A	Dividend	J	T					
39. Wells Fargo-IRA- 29shs PEPSICO INCORPORATED	A	Dividend	J	T					
40. Wells Fargo-IRA- 116shs PFIZER INCORPORATED	A	Dividend	J	T					
41. Wells Fargo-IRA- 38shs PHILLIPS 66	A	Dividend	J	T					
42. Wells Fargo-IRA- 43shs PROCTOR & GAMBLE CO	A	Dividend	J	T					
43. Wells Fargo-IRA- 0shs ROYAL DUTCH SHELL PLC	A	Dividend			Sold	09/07/16	J	A	
44. Wells Fargo-IRS- 53shs SONOCO PRODUCTS CO	A	Dividend	J	T					
45. Wells Fargo-IRA- 0 shs SPECTRA ENERGY CORP	A	Dividend			Sold	01/25/16	J	A	
46. Wells Fargo-IRA 78shs THE SOUTHERN COMPANY	A	Dividend	J	T	Buy (add'l)	09/15/16	J		
47. Wells Fargo-IRA- 29shs UNITED PARCEL SERVICE-B	A	Dividend	J	T					
48. Wells Fargo-IRA- 87shs US BANCORP NEW USB	A	Dividend	J	T					
49. Wells Frago-IRA- 76shs VERIZON COMMUNICATIONS	A	Dividend	J	T					
50. Wells Fargo-IRA-39shs WALGREEN BOOTS ALLIANCE INC	A	Dividend	J	T					
51. Wells Fargo-IRA 44shs WASTE MGMT INC DEL	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Suddaby, Glenn T.

Date of Report

05/15/2017

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52. Wells Fargo-IRA-32 shs WELLTOWER	A	Dividend	J	T					
53. Oppenheimer Funds-Capital Appreciation Fund-A (glenn)	C	Dividend	K	T					
54. Wells Fargo IRA- Cash account	A	Int./Div.	J	T					
55. Wells Fargo-IRA-CAPITAL INCOME BLDR CL A	A	Dividend	K	T					
56. Wells Fargo-IRA- CAPITAL WORLD GROWTH & INCOME FD	B	Dividend	K	T	Buy (add'l)	12/01/16	J		
57. Wells Fargo-IRA- FUNDAMENTAL INVS INC CLASS A	B	Dividend	K	T	Buy (add'l)	12/01/16	J		
58. Wells Fargo-IRA-NEW PESEPECTIVE FD A	B	Dividend	K	T	Buy (add'l)	12/01/16	J		
59. Wells Fargo-IRA-NEW WORLD FUND CLASS A	A	Dividend	J	T					
60. Wells Fargo-IRA-SMALLCAP WORLD FD A	A	Dividend	K	T					
61. Wells Fargo-IRA-WASH MUTUAL INVS FD INC CLASS A	A	Dividend	K	T					
62. NYS 529 Plan-Vanguard Moderate Age Based Option-no control	A	Dividend	J	T	Sold (part)	06/30/16	J		
63. NW Mutual Life (Whole Life Policy)	A	Dividend	L	T					
64. Black Rock College Advtge- Agres Growth Option A- no control	A	Int./Div.			Sold	06/30/16	K		
65. Key Investment Services-FDIC Variable rate deposit	A	Int./Div.	J	T	Sold (part)	06/30/16	J		
66. Key Privilege Select Checking (X)	A	Int./Div.	J	T	Sold (part)	06/30/16	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Suddaby, Glenn T.

Date of Report

05/15/2017

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Suddaby, Glenn T.

Date of Report

05/15/2017

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
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Washington, D.C. 20544