

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Littlefield, Jr., Robert E.	2. Court or Organization Albany, New York	3. Date of Report 05/09/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address James T. Foley U. S. Courthouse 445 Broadway Albany, NY 12207		
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. Trustee (uncompensated family trust)	GBL Irrevocable Trust. (Trust #1) Please see Part VIII
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.	
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. CRBBA	10/20/2017-10/21/2017	Cooperstown, NY	speaker	hotel, meals
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.	Notre Dame Federal Credit Union	college tuition loan - responsibility	K
2.	First Service See Part VIII	college tuition loan - responsibility	J
3.	Capital Communications FCU	college tuition loan- responsibility	None
4.	Capital Communications FCU	law school tuition- responsibility	None
5.	Citizens Bank Please see Part VIII	law school tuition- responsibility	L
6.	Navient	tuition- responsibility	None
7.	Nelnet	tuition- responsibility	M
8.	University of Notre Dame	tuition- responsibility	None
9.	Key Bank	credit card	K

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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. Morgan Stanley Private Bank NA.	A	Dividend	J	T					
2. Exxon Mobil Oil Common Stock (XOM)	A	Dividend	J	T					
3. IBM Common Stock (IBM)	A	Dividend	J	T					
4. GE Common Stock (GE)	A	Dividend	J	T	Sold (part)	10/25/17	J		
5. GE Common Stock (GE)	A	Dividend	J	T	Buy (add'l)	12/14/17	J		
6. Invest Co. AM Mutual fund	A	Dividend	K	T					
7. Cisco Systems Common Stock (CSCO)	A	Dividend	J	T					
8. Intel. Corp. Common Stock (INTC)	A	Dividend	J	T					
9. Microsoft Corp. Common Stock (MSFT)	A	Dividend	J	T					
10. Amgen, Inc. Common Stock (AMGN)	A	Dividend	J	T					
11. Pfizer Common Stock (PFE)	A	Dividend	J	T					
12. Ishares Index Fund (IWR)	A	Dividend	J	T					
13. IsharesMidcap Index Fund (EFA)	A	Dividend	J	T					
14. Chevron Corp Common Stock (CVX)	A	Dividend	J	T					
15. Coca-Cola Common Stock (KO)	A	Dividend	J	T					
16. Merck Common Stock (MRK)	A	Dividend	J	T					
17. Johnson & Johnson Common Stock (JNJ)	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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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. Apple Computer Inc. Common Stock (AAPL)	A	Dividend	J	T					
19. Altria Group, Inc. Common Stock (MO)	A	Dividend	J	T					
20. Bristol Myers Squibb Common Stock (BMY)	A	Dividend	J	T					
21. DowDupont Common Stock (DWD) Please see Part VIII	A	Dividend	J	T					
22. Verizon Common Stock (VZ)	A	Dividend	J	T					
23. Assured Guaranty Muni Hldgs 6.875% (AGO.B)	A	Dividend	J	T					
24. Berkshire Hathaway CL-B (BRK'B)		None	J	T					
25. Nextera Energy, Inc. (NEE)		None	J	T					
26. Trust #1 Real Property Albany County NY SEE PART VIII		None	N	Q					
27. Ishares JP Morgan EM Bond Fd (EMB)	A	Dividend	J	T					
28. Tortoise Mlp Fund Inc (NTG)	A	Dividend	J	T					
29. Vanguard Reit Etf (VNQ)	A	Dividend	J	T					
30. US Bancorp 6%-g Flts 4/15/17 (USB.N)	A	Dividend			Redeemed	04/17/17	J	A	
31. Teton Westwood Mighty Mites I (WEIMX)	A	Dividend	J	T					
32. Tocqueville Gold (TGLTX)	A	Dividend			Sold	10/27/17	J	A	
33. Locorr Market Trend I (LOTIX)	A	Dividend	J	T					
34. Assured Guaranty Muni Hldgs 6.250% (AGO.E)	A	Dividend	J	T					

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35. General Motors Common Stock (GM)	A	Dividend	J	T	Sold (part)	10/25/17	J	A	
36. Keycorp New Common Stock (KEY)	A	Dividend			Sold	05/03/17	J	A	
37. Keycorp New Common Stock (KEY)	A	Dividend			Sold	05/03/17	J	A	
38. Royal Dutch Shell Common Stock (RDS'A)	A	Dividend	J	T					
39. Tortoise Energy Infra (TYG)	A	Dividend	J	T					
40. Allianzgi Structured Return A (AZIAX)	A	Dividend	J	T					
41. Principal GLB Multi Strategy A (PSMIX)	A	Dividend	J	T					
42. American Beacon AHL MNDG FUT STR Y (AHLYX)	A	Dividend	J	T					
43. Dreyfus Standish GLB FIX INC 1 (SDGIX)	A	Dividend	J	T					
44. Invesco Balanced-Risk Alloc Y (ABRYX)	A	Dividend	J	T					
45. AQR Long-Short Equity (QLEIX)	A	Dividend	J	T	Buy	04/28/17	J		
46. Ishares Global Financials ETF (IXG)	A	Dividend	J	T	Buy	04/28/17	J		
47. SPDR Gold TR Gold SHS (GLD)	A	Dividend	J	T	Buy	10/25/17	J		

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

- 1) Part I Line 1 and Part VII Line 26- Trust #1 created 6/25/10. Online appraisal dated 5/10/11. Value has been in "N" range since trust inception.
- 2) Part VI Line 5- (Citizens Bank) is a refinance of Line 4 (Capital Communications FCU).
- 3) Part VII Line 21- Name change.

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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/ **Robert E. Littlefield, Jr.**

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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