

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Littlefield, Jr., Robert E.                                                                                                          | <b>2. Court or Organization</b><br><br>Albany, New York                                                                                                                                                                                                                                  | <b>3. Date of Report</b><br><br>05/12/2015                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U.S. Bankruptcy Judge                                                         | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2014<br>to<br>12/31/2014 |
| <b>7. Chambers or Office Address</b><br><br>James T. Foley U. S. Courthouse<br>445 Broadway<br>Albany, NY 12207                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

|                                  |                                                        |
|----------------------------------|--------------------------------------------------------|
| 1. Trustee (uncompensated 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<br>(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 | 10/24/14-10/25/14 | 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. | Citibank                        | college tuition loan - responsibility | J                 |
| 3. | Capital Communications FCU      | college tuition loan - responsibility | K                 |
| 4. | Capital Communications FCU      | law school tuition - responsibility   | K                 |
| 5. | US Dept of Education            | college tuition loan                  | J                 |
| 6. | Key Bank                        | Credit Card                           | K                 |
| 7. | Capital Communications FCU      | Credit Card                           | J                 |

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. MS Liquid Asset Fund SEE PART VIII                                                                                       | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. Exxon Mobil Oil Common Stock                                                                                             | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. IBM Common Stock                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. GE Common Stock                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 09/09/14                | J                               |                                |                                                                   |
| 5. Invest Co., AM Mutual fund                                                                                               | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. Cisco Systems Common Stock                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. Intel. Corp. Common Stock                                                                                                | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. Microsoft Corp. Common Stock                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 09/09/14                | J                               | A                              |                                                                   |
| 9. Investment Co AM Mutual Fund (Y)                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 10. Amgen, Inc. Common Stock                                                                                                | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. EMC Corp. Common Stock                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. Pfizer Common Stock                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. Ishares Index Fund                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. IsharesMidcap Index Fund (EFA)                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. Chevron Corp Common Stock                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 16. Coca-Cola Common Stock                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. Merck Common Stock                                                                                                      | 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                  |                                 |                         |

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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                                              |   |          |   |   |                    |          |   |   |  |
|------------------------------------------------------------------------------|---|----------|---|---|--------------------|----------|---|---|--|
| 18. Johnson & Johnson Common Stock                                           | A | Dividend | J | T | Sold<br>(part)     | 09/09/14 | J | B |  |
| 19. United Health Group Common Stock                                         | A | Dividend | J | T |                    |          |   |   |  |
| 20. Apple Computer Inc. Common Stock                                         | A | Dividend | J | T |                    |          |   |   |  |
| 21. Allianz NFJ Dividend Interest and Premium<br>Strategy Fund-See Part VIII | A | Dividend | J | T |                    |          |   |   |  |
| 22. Altria Group, Inc. Common Stock                                          | A | Dividend | J | T |                    |          |   |   |  |
| 23. Bristol Myers Squibb Common Stock                                        | A | Dividend | J | T |                    |          |   |   |  |
| 24. Dow Chemical Common Stock                                                | A | Dividend | J | T |                    |          |   |   |  |
| 25. Verizon Common Stock                                                     | A | Dividend | J | T | Sold<br>(part)     | 02/21/14 | J | A |  |
| 26. Assured Guaranty Muni Hldgs6.875%                                        | A | Dividend | J | T |                    |          |   |   |  |
| 27. Vodafone Group PLC Common Stock                                          | A | Dividend | J | T | Redeemed<br>(part) | 02/21/14 | J | A |  |
| 28. Goldman Sachs Group Inc. Preferred Stock                                 | A | Dividend |   |   | Sold               | 01/23/14 | J | A |  |
| 29. Berkshire Hathaway, Inc. CL B                                            |   | None     | J | T |                    |          |   |   |  |
| 30. Nextera Energy, Inc.                                                     |   | None     | J | T |                    |          |   |   |  |
| 31. Trust #1 Real Property Albany County NY<br>SEE PART VIII                 |   | None     | N | Q |                    |          |   |   |  |
| 32. Ishares JP Morgan EM Bond Fd                                             | A | Dividend | J | T |                    |          |   |   |  |
| 33. Powershares DB Agriculture Fd                                            |   | None     | J | T |                    |          |   |   |  |
| 34. Tortoise Mlp Fund Inc                                                    | A | Dividend | J | T |                    |          |   |   |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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|                                                          |   |          |   |   |             |          |   |  |  |
|----------------------------------------------------------|---|----------|---|---|-------------|----------|---|--|--|
| 35. Vanguard Reit Etf                                    | A | Dividend | J | T |             |          |   |  |  |
| 36. Assured Guaranty Muni Hldgs Inc Mty 11012102 (AGO.E) | A | Interest |   |   | Sold        | 01/23/14 | J |  |  |
| 37. Dreyfus Emrgmkt Debt Loc Cur 1 (DDBIX)               | A | Dividend | J | T |             |          |   |  |  |
| 38. Dreyfus Intl Bond 1 (DIBRX)                          | A | Dividend | J | T |             |          |   |  |  |
| 39. Neuberger Berman Lg Sh Inst (NLSIX)                  | A | Dividend | J | T |             |          |   |  |  |
| 40. Wells Fargo Adv Absolt Ret Adm (WARDX)               | A | Dividend | J | T |             |          |   |  |  |
| 41. US Bancorp 6%-g Flts 4/15/17 (USB.N)                 | A | Dividend | J | T |             |          |   |  |  |
| 42. Blackstone/GSO Strat Credit FD                       | A | Dividend | J | T | Buy         | 12/23/14 | J |  |  |
| 43. Eaton Vance Tax Mgd Div Equ Fd                       | A | Dividend | J | T | Buy         | 12/23/14 | J |  |  |
| 44. Teton Westwood Mighty Mites I                        | A | Dividend | J | T | Buy         | 01/02/14 | J |  |  |
| 45.                                                      |   |          |   |   | Buy (add'l) | 01/23/14 | J |  |  |
| 46. Tocqueville Gold                                     | A | Dividend | J | T | Buy         | 01/02/14 | J |  |  |
| 47.                                                      |   |          |   |   | Buy (add'l) | 01/23/14 | J |  |  |
| 48. Dupont Capital Emerging Mkts I                       | A | Dividend | J | T | Buy         | 01/30/14 | J |  |  |
| 49.                                                      |   |          |   |   | Sold        | 12/23/14 | J |  |  |
| 50.                                                      |   |          |   |   |             |          |   |  |  |
| 51.                                                      |   |          |   |   |             |          |   |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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|     |  |  |  |  |  |  |  |  |  |
|-----|--|--|--|--|--|--|--|--|--|
| 52. |  |  |  |  |  |  |  |  |  |
| 53. |  |  |  |  |  |  |  |  |  |

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

- 1) Part VII Line 37 Trust #1 created 6/25/10. Online appraisal dated 5/10/11. Value has been in "N" range since trust commenced.
- 2) Part VII Line 1 Formerly known as Dreyfus Money Fund
- 3) Inadvertent duplicate entry from previous reports.

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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  
Suite 2-301  
One Columbus Circle, N.E.  
Washington, D.C. 20544