

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 05/13/2013
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 01/01/2012 to 12/31/2012
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)	Irrevocable Trust. 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	11/02/12-11/03/12	Cooperstown, NY	speaker	hotel, meals
2. Western New York Bankruptcy Conf.	05/11/12	Batavia, NY	speaker	mileage, meals
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 - child's responsibility	K
2.	Citibank	college tuition loan - child's responsibility	J
3.	Capital Communications FCU	college tuition loan-child's responsibility	K
4.	Capital Communications FCU	law school tuition-child's responsibility	K
5.	US Dept of Education	Daughter's college tuition loan	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. 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. Dreyfus Money Fund	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 (part)	09/13/12	J		
5. Invest Co., AM Mutual fund	A	Dividend	J	T					
6. Cisco Systems Common Stock	A	Dividend	J	T	Sold (part)	09/10/12	J		
7. Intel. Corp. Common Stock	A	Dividend	J	T	Sold (part)	09/10/12	J		
8. Microsoft Corp. Common Stock	A	Dividend	J	T	Sold (part)	09/10/12	J		
9. Walmart Stores Common Stock	A	Dividend	J	T					
10. Investment Co AM Mutual Fund	A	Dividend	J	T					
11. Amgen, Inc. Common Stock	A	Dividend	J	T	Sold (part)	09/10/12	J		
12. EMC Corp. Common Stock		None	J	T	Sold (part)	09/10/12	J		
13. Pfizer Common Stock	A	Dividend	J	T					
14. Waste Mgmt Common Stock	A	Dividend	J	T					
15. Ishares Index Fund	A	Dividend	J	T	Sold (part)	09/10/12	J		
16. IsharesMidcap Index Fund (EFA)	A	Dividend	J	T	Sold (part)	09/10/12	J		
17. Chevron Corp 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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18. Coca-Cola Common Stock	A	Dividend	J	T					
19. Merck Common Stock	A	Dividend	J	T					
20. Johnson & Johnson Common Stock	A	Dividend	J	T					
21. United Health Group Common Stock	A	Dividend	J	T	Sold (part)	09/10/12	J		
22. Medtronic Inc. Common Stock	A	Dividend			Sold	09/10/12	J		
23. ALCOA Inc. Common Stock	A	Dividend			Sold	12/11/12	J		
24. Apple Computer Inc. Common Stock	A	Dividend	J	T	Sold (part)	09/10/12	J		
25. NFJ Dividend Interest and Premium Strategy Fund	A	Dividend	J	T	Sold (part)	09/10/12	J		
26. Altria Group, Inc. Common Stock	A	Dividend	J	T					
27. Bristol Myers Squibb Common Stock	A	Dividend	J	T					
28. Dow Chemical Common Stock	A	Dividend	J	T	Sold (part)	09/10/12	J		
29. Verizon Common Stock	A	Dividend	J	T					
30. Assured Guaranty Muni Hldgs6.875%	A	Dividend	J	T					
31. Glaxosmith Kline Common Stock	A	Dividend	J	T	Sold (part)	09/10/12	J		
32. Vodafone Group PLC Common Stock	A	Dividend	J	T					
33. LMP Real Estate Income FD Div Equity	A	Dividend			Sold	01/06/12	J		
34. Allianz SE 8.375 Preferred Stock	A	Dividend	J	T					

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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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35. Goldman Sachs Group Inc. Preferred Stock	A	Dividend	J	T	Sold (part)	09/10/12	J		
36. Public Storage MD 6,625 Preferred Stock	A	Dividend			Redeemed	04/11/12	J		
37. Berkshire Hathaway, Inc. CL B		None	J	T	Sold (part)	09/10/12	J		
38. Conagra Foods, Inc.	A	Dividend	J	T					
39. Nextera Energy, Inc.		None	J	T					
40. Deutsche Bank Contingent 8.05% Capital CR TR V	A	Dividend	J	T	Sold (part)	09/10/12	J		
41. Trust #1 Real Property Albany County NY SEE PART VIII		None	N	Q					
42. Trust #1 Real Property Albany County NY SEE PART VIII	F	Rent	O	S					
43. Ishares JP Morgan EM Bond Fd	A	Dividend	J	T	Buy	02/29/12	J		
44. Petroleo Bras Sa Ads SEE PART VIII	A	Dividend	J	T	Buy	01/12/11	J		
45. Powershares Db Agriculture Fd SEE PART VIII		None	J	T	Buy	5/26/11	J		
46. Tortoise Mlp Fund Inc	A	Dividend	J	T	Buy	12/12/12	J		
47. Total S A Spon Adr SEE PART VIII	A	Dividend	J	T	Buy	01/12/11	J		
48. Vanguard Reit Etf	A	Dividend	J	T	Buy	01/06/12	J		

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

- 1) Position inadvertently omitted from prior report. Involves assets disclosed on Part VII Lines 41 and 42.
- 2) Part VII Line 41 Trust created 6/25/10. Online appraisal dated 5/10/11. Value has been in "N" range since trust creation.
- 3) Part VII Line 42 Trust created 6/25/10. Full market value estimate of town \$940,299.00. Value has been in "O" range since trust creation. Property located in Albany County NY.
- 4) Part VII Line 44 Inadvertently omitted from prior report.
- 5) Part VII Line 45 Inadvertently omitted from prior report.
- 6) Part VII Line 47 Inadvertently omitted from prior 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/ **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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Washington, D.C. 20544