

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 05/10/2019
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 01/01/2018 to 12/31/2018
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 10

Name of Person Reporting

Suddaby, Glenn T.

Date of Report

05/10/2019

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. 2018	NYS & Local Employees Retirement System- Monthly Retirement payment	\$22,572.00
2. 2018	NYS Teachers' Retirement System (Pension)	\$38,928.00
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.)*

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.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

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Suddaby, Glenn T.

Date of Report

05/10/2019

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 10

Name of Person Reporting

Suddaby, Glenn T.

Date of Report

05/10/2019

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 73shs ABBVIE,INC	A	Dividend	J	T	Buy (add'l)	10/14/18	J		
3. Wells Fargo IRA-36shs ALTRIA GROUP, INC	A	Dividend	J	T					
4. Wells Fargo-IRA- 47shs AMERICAN ELECTRIC POWER INC	A	Dividend	J	T	Sold (part)	02/08/18	J	A	
5. Wells Fargo-IRA-0shs APERGY CORP	A	Dividend			Spinoff (from line 11)	05/09/18	J		
6. Wells Fargo-IRA-0shs APERGY Corp	A	Dividend			Sold	05/15/18	J	A	
7. Wells Fargo-IRA- 116shs AT&T	A	Dividend	J	T					
8. Wells Fargo-IRA-102shs CISCO SYSTEMS INC	A	Dividend	J	T	Sold (part)	7/18/18	J	A	
9. Wells Fargo-IRA-16shs DIAGO PLC	A	Dividend	J	T					
10. Wells Fargo-IRA- 43Shs DOMINION RES INC	A	Dividend	J	T	Sold (part)	02/08/18	J	A	
11. Wells Fargo-IRA- 45shs DOVER CORP	A	Dividend	J	T					
12. Wells Fargo-IRA-80shs DU PONT E.I.	A	Dividend	J	T					
13. Wells Fargo-IRA-44shs EXXON	A	Dividend	J	T					
14. Wells Fargo-IRA- 27shs GENL DYNAMICS CORP	A	Dividend	J	T					
15. Wells Fargo-IRA 49shs GENUINE PARTS CO	A	Dividend	J	T					
16. Wells Fargo-IRA-34shs HASBRO, INC	A	Dividend	J	T					
17. Wells Fargo-IRA- 45shs HOME DEPOT INC	A	Dividend	J	T	Sold (part)	07/18/18	J	A	

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 = \$250,000.01 - \$500,000.00	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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

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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)

18. Wells Fargo-IRA- 35shs ILLINOIS TOOL WORKS INC	A	Dividend	J	T	Sold (part)	07/18/18	J	A	
19. Wells Fargo-IRA- 126shs INTEL CORP	A	Dividend	J	T	Sold (part)	07/18/18	J	A	
20. Wells Fargo-IRA-25shs IBM	A	Dividend	J	T					
21. Wells Fargo- IRA 0shs INTERNATIONAL PAPER CO	A	Dividend			Sold	11/08/18	J	A	
22. Wells Fargo-IRA- 50shs JOHNSON & JOHNSON	A	Dividend	J	T	Buy (add'l)	10/03/18	J		
23. Wells Fargo-IRA- 50shs JPMORGAN CHASE & CO	A	Dividend	J	T	Sold (part)	07/18/18	J	A	
24. Wells Fargo-IRA- 30shs KIMBERLY-CLARK CORP	A	Dividend	J	T					
25. Wells Fargo-IRA 24shs LOCKHEED MARTIN CORP	A	Dividend	J	T	Sold (part)	07/18/18	J	A	
26. Wells Fargo-IRA- 18shs M&T BANK CORP	A	Dividend	J	T	Sold (part)	07/18/18	J	A	
27. Wells Fargo-IRA- 64shs MAXIM INTEGRATED PRODS	A	Dividend	J	T	Sold (part)	07/18/18	J	A	
28. Wells Fargo-IRA- 38shs MCDONALDS CORP	A	Dividend	J	T	Sold (part)	07/18/18	J	A	
29. Wells Fargo-IRA-38shs MCDONALDS CORP	A	Dividend	J	T	Buy (add'l)	11/07/18	J		
30. Wells Fargo-IRA-97shs MERCK & CO	A	Dividend	J	T	Buy	02/09/18	J		
31. Wells Fargo-IRA-97shs MERCK & Co	A	Dividend	J	T	Buy (add'l)	10/03/18	J		
32. Wells Fargo-IRA- 0shs MICROCHIP TECHNOLOGY INC	A	Dividend			Sold	10/09/18	J	A	
33. Wells Fargo-IRA- 72shs MICROSOFT CORP	A	Dividend	J	T	Buy (add'l)	11/06/18	J		
34. Wells Frago-IRA-20shs NEXTERA ENERGY INC	A	Dividend	J	T	Sold (part)	02/08/18	J	A	

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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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FINANCIAL DISCLOSURE REPORT

Page 6 of 10

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05/10/2019

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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 Fargo-IRA-20shs NEXTERA ENERGY INC	A	Dividend	J	T	Sold (part)	07/08/18	J	A	
36. Wells Fargo-IRA-44 shs NUCOR CORP	A	Dividend	J	T	Sold (part)	07/08/18	J	A	
37. Wells Fargo-IRA- 201 shs PEOPLE'S UNITED FINANCL	A	Dividend	J	T	Sold (part)	07/08/18	J	A	
38. Wells Fargo-IRA- 28shs PEPSICO INCORPORATED	A	Dividend	J	T					
39. Wells Fargo-IRA- 159shs PFIZER INCORPORATED	A	Dividend	J	T					
40. Wells Fargo-IRA- 37shs PHILLIPS 66	A	Dividend	J	T	Sold (part)	07/08/18	J	A	
41. Wells Fargo-IRA- 49shs PROCTOR & GAMBLE CO	A	Dividend	J	T					
42. Wells Fargo-IRA 56shs THE SOUTHERN COMPANY	A	Dividend	J	T	Sold (part)	02/08/18	J	A	
43. Wells Fargo-IRA-72shs TARGET	A	Dividend	J	T	Buy	01/11/18	J		
44. Wells Fargo-IRA- 40shs UNITED PARCEL SERVICE-B	A	Dividend	J	T	Sold (part)	07/18/18	J		
45. Wells Fargo-IRA- 83shs US BANCORP NEW USB	A	Dividend	J	T	Sold (part)	07/18/18	J	A	
46. Wells Frago-IRA- 74shs VERIZON COMMUNICATIONS	A	Dividend	J	T	Sold (part)	07/18/18	J	A	
47. Wells Fargo-IRA-74shs WALGREEN BOOTS ALLIANCE INC	A	Dividend	J	T	Buy (add'l)	10/30/18	J		
48. Wells Fargo-IRA 42shs WASTE MGMT INC DEL	A	Dividend	J	T	Sold (part)	07/18/18	K	A	
49. Wells Fargo-IRA-74 shs WELLTOWER	A	Dividend	J	T					
50. Wells Fargo IRA- Cash account	A	Int./Div.	J	T					
51. Wells Fargo-IRA-305sh CAPITAL INCOME BLDR CL A	A	Dividend	K	T	Buy (add'l)	03/15/18	J		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 10

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52.	Wells Fargo-IRA-305sh CAPITAL INCOME BLDR CL A	A	Dividend	K	T	Buy (add'l)	06/14/18	J		
53.	Wells Fargo-IRA-305sh CAPITAL INCOME BLDR CL A	A	Dividend	K	T	Buy (add'l)	09/13/18	J		
54.	Wells Fargo-IRA-305sh CAPITAL INCOME BLDR CL A	A	Dividend	K	T	Buy (add'l)	12/24/18	J		
55.	Wells Fargo-IRA- 590shs CAPITAL WORLD GROWTH & INCOME FD	B	Dividend	K	T	Buy (add'l)	03/15/18	J		
56.	Wells Fargo-IRA- 590shs CAPITAL WORLD GROWTH & INCOME FD	B	Dividend	K	T	Buy (add'l)	06/14/18	J		
57.	Wells Fargo-IRA- 590shs CAPITAL WORLD GROWTH & INCOME FD	B	Dividend	K	T	Buy (add'l)	09/13/18	J		
58.	Wells Fargo-IRA- 590shs CAPITAL WORLD GROWTH & INCOME FD	B	Dividend	K	T	Buy (add'l)	12/19/18	J		
59.	Wells Fargo-IRA-735shs FUNDAMENTAL INVS INC CLASS A	B	Dividend	K	T	Buy (add'l)	03/19/18	J		
60.	Wells Fargo-IRA-735shs FUNDAMENTAL INVS INC CLASS A	B	Dividend	K	T	Buy (add'l)	06/18/18	J		
61.	Wells Fargo-IRA-735shs FUNDAMENTAL INVS INC CLASS A	B	Dividend	K	T	Buy (add'l)	09/17/18	J		
62.	Wells Fargo-IRA-735shs FUNDAMENTAL INVS INC CLASS A	B	Dividend	K	T	Buy (add'l)	12/24/18	J		
63.	Wells Fargo-IRA-1319shs NEW PESEPECTIVE FD A	B	Dividend	L	T	Buy (add'l)	12/24/18	J		
64.	Wells Fargo-IRA-267shs NEW WORLD FUND CLASS A	A	Dividend	K	T	Buy (add'l)	12/24/18	J		
65.	Wells Fargo-IRA- 378shs SMALLCAP WORLD FD A	A	Dividend	K	T	Buy (add'l)	12/24/18	J		
66.	Wells Fargo-IRA-429shs WASH MUTUAL INVS FD INC CLASS A	A	Dividend	K	T	Buy (add'l)	03/19/18	J		
67.	Wells Fargo-IRA-429shs WASH MUTUAL INVS FD INC CLASS A	A	Dividend	K	T	Buy (add'l)	06/14/18	J		
68.	Wells Fargo-IRA-429shs WASH MUTUAL INVS FD INC CLASS A	A	Dividend	K	T	Buy (add'l)	09/13/18	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 10

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69. Wells Fargo-IRA-429shs WASH MUTUAL INVS FD INC CLASS A	A	Dividend	K	T	Buy (add'l)	12/22/18	J		
70. NW Mutual Life (Whole Life Policy)	A	Dividend	M	T					
71. Key Privilege Select Checking (X)	A	Int./Div.	J	T	Sold (part)	12/31/18	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Suddaby, Glenn T.

Date of Report

05/10/2019

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Suddaby, Glenn T.

Date of Report

05/10/2019

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