

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) Littlefield, Jr., Robert E.	2. Court or Organization Albany, 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) U.S. Bankruptcy 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 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	11/09/18-11/10/18	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	college tuition loan - responsibility	None
3.	First Service Please see Part VIII	law school tuition - responsibility	L
4.	Nelnet	tuition- responsibility	L
5.			

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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					
5. Invest Co. AM Mutual fund	A	Dividend	K	T					
6. Cisco Systems Common Stock (CSCO)	A	Dividend	J	T					
7. Intel. Corp. Common Stock (INTC)	A	Dividend	J	T					
8. Microsoft Corp. Common Stock (MSFT)	A	Dividend	J	T					
9. Amgen, Inc. Common Stock (AMGN)	A	Dividend	J	T					
10. Pfizer Common Stock (PFE)	A	Dividend	J	T					
11. Ishares Index Fund (IWR)	A	Dividend	J	T					
12. IsharesMidcap Index Fund (EFA)	A	Dividend	J	T					
13. Chevron Corp Common Stock (CVX)	A	Dividend	J	T					
14. Coca-Cola Common Stock (KO)	A	Dividend	J	T					
15. Merck Common Stock (MRK)	A	Dividend	J	T					
16. Johnson & Johnson Common Stock (JNJ)	A	Dividend	J	T					
17. Apple Computer Inc. Common Stock (AAPL)	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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18. Altria Group, Inc. Common Stock (MO)	A	Dividend	J	T					
19. Bristol Myers Squibb Common Stock (BMY)	A	Dividend	J	T					
20. DowDupont Common Stock (DWD)	A	Dividend	J	T					
21. Verizon Common Stock (VZ)	A	Dividend	J	T					
22. Assured Guaranty Muni Hlds 6.875% (AGO.B)	A	Dividend	J	T					
23. Berkshire Hathaway CL-B (BRK'B)		None	J	T					
24. Nextera Energy, Inc. (NEE)	A	Dividend	J	T					
25. Trust #1 Real Property Albany County NY SEE PART VIII		None	N	Q					
26. Ishares JP Morgan EM Bond Fd (EMB)	A	Dividend	J	T					
27. Tortoise Mlp Fund Inc (NTG)	A	Dividend	J	T					
28. Vanguard Reit Etf (VNQ)	A	Dividend	J	T					
29. Teton Westwood Mighty Mites I (WEIMX)	A	Dividend	J	T					
30. Locorr Market Trend I (LOTIX)	A	Dividend	J	T	Buy (add'l)	07/02/18	J		
31. Assured Guaranty Muni Hlds 6.250% (AGO.E)	A	Dividend	J	T					
32. General Motors Common Stock (GM)	A	Dividend	J	T	Buy (add'l)	11/09/18	J		
33. Royal Dutch Shell Common Stock (RDS'A)	A	Dividend	J	T					
34. Tortoise Energy Infra (TYG)	A	Dividend	J	T					

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35. Allianzgi Structured Return A (AZIAX)	A	Dividend	J	T					
36. Principal GLB Multi Strategy A (PSMIX)	A	Dividend	J	T					
37. American Beacon AHL MNDG FUT STR Y (AHLYX)	A	Dividend	J	T	Buy (add'l)	06/28/18	J		
38. Dreyfus Standish GLB FIX INC 1 (SDGIX)	A	Dividend	J	T					
39. Invesco Balanced-Risk Alloc Y (ABRYX)	A	Dividend	J	T					
40. AQR Long-Short Equity (QLEIX)	A	Dividend	J	T					
41. iShares Global Financials ETF (IXG)	A	Dividend	J	T					
42. SPDR Gold TR Gold SHS (GLD)	A	Dividend	J	T	Buy (add'l)	11/09/18	J		
43. Oracle Corp Common Stock (ORCL)	A	Dividend	J	T	Buy	03/22/18	J		
44. Abbey Cptl Futures Strategy 1 (ABYIX)	A	Dividend	J	T	Buy	06/28/18	J		
45. Ford Motor Co New (F)	A	Dividend			Buy	03/22/18	J		
46.					Sold	11/09/18	J		

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

- 1) Part I Line 1 and Part VII Line 25- 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 3- Servicer for Citizens Bank loan.
- 3) Part VI Key Bank credit card no longer meets the requirement for reporting.

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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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