

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 05/13/2020
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 01/01/2019 to 12/31/2019
7. Chambers or Office Address James T. Foley U. S. Courthous 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 [REDACTED] 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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Littlefield, Jr., Robert E.

Date of Report

05/13/2020

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	CRBBA	10/25/19-10/26/19	Cooperstown, NY	speaker	hotel, meals
2.					
3.					
4.					
5.					

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Littlefield, Jr., Robert E.

Date of Report

05/13/2020

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 - [REDACTED] responsibility	K
2. First Service	college tuition loan - [REDACTED] responsibility	None
3. First Service	law school tuition - [REDACTED] responsibility	L
4. Nelnet	tuition-[REDACTED] responsibility	L
5.		

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Morgan Stanley Private Bank NA.	A	Dividend	K	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	Sold (part)	06/27/19	J		
7. Intel. Corp. Common Stock (INTC)	A	Dividend	J	T					
8. Microsoft Corp. Common Stock (MSFT)	A	Dividend	J	T	Sold (part)	06/27/19	J		
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	Sold (part)	06/27/19	J		
17. Apple Computer Inc. Common Stock (AAPL)	A	Dividend	J	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Littlefield, Jr., Robert E.

Date of Report

05/13/2020

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. Altria Group, Inc. Common Stock (MO)	A	Dividend			Sold	03/22/19	J		
19. Bristol Myers Squibb Common Stock (BMY)	A	Dividend	J	T					
20. DowDupont Common Stock (DWDP) Please see Part VIII	A	Dividend	J	T					
21. Dow Inc. (DOW)	A	Dividend	J	T	Spinoff (from line 20)	04/04/19	J		
22. Dupont De Nemours (DD) Please see Part VIII	A	Dividend	J	T					
23. Verizon Common Stock (VZ)	A	Dividend	J	T					
24. Assured Guaranty Muni Hldgs 6.875% (AGO.B)	A	Dividend	J	T					
25. Berkshire Hathaway CL-B (BRK'B)		None	J	T					
26. Nextera Energy, Inc. (NEE)	A	Dividend	J	T					
27. Trust #1 Real Property Albany County NY SEE PART VIII		None	N	Q					
28. Ishares JP Morgan EM Bond Fd (EMB)	A	Dividend	J	T					
29. Tortoise Mlp Fund Inc (NTG)	A	Dividend	J	T					
30. Vanguard Reit Etf (VNQ)	A	Dividend	J	T					
31. Teton Westwood Mighty Mites I (WEIMX)	A	Dividend	J	T					
32. Locorr Market Trend 1 (LOTIX)	A	Dividend	J	T					
33. Assured Guaranty Muni Hldgs 6.250% (AGO.E)	A	Dividend	J	T					
34. General Motors Common Stock (GM)	A	Dividend	J	T	Sold (part)	09/11/19	J		

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Littlefield, Jr., Robert E.

Date of Report

05/13/2020

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	(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.					Buy (add'l)	11/20/19	J		
36. Royal Dutch Shell Common Stock (RDS'A)	A	Dividend	J	T					
37. Tortoise Energy Infra (TYG)	A	Dividend	J	T					
38. Allianzgi Structured Return A (AZIAX)	A	Dividend	J	T					
39. Allianzgi Structured Return P (AZIPX)	A	Dividend	J	T	Spinoff (from line 38)	02/15/19	J		
40. Principal GLB Multi Strategy A (PSMIX)	A	Dividend	J	T					
41. American Beacon AHL MNDG FUT STR Y (AHLX)	A	Dividend	J	T					
42. Dreyfus Standish GLB FIX INC I (SDGIX) Please see Part VIII	A	Dividend	J	T					
43. Bny Mellon GLB FIXED INC I (SDGIX) Please see Part VIII	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	Sold (part)	12/31/19	J		
46. Ishares Global Financials ETF (IXG)	A	Dividend	J	T					
47. SPDR Gold TR Gold SHS (GLD)	A	Dividend			Sold (part)	06/27/19	J		
48.					Sold	09/11/19	J		
49. Oracle Corp Common Stock (ORCL)	A	Dividend	J	T	Buy	03/22/19	J		
50. Abbey Cptl Futures Strategy 1 (ABYIX)	A	Dividend	J	T	Buy	06/28/19	J		
51. Schlumberger Ltd Common Stock (SLB)	A	Dividend	J	T	Buy	03/22/19	J		

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52. Gabelli Gold I (GLDIX)	A	Dividend	J	T	Buy	11/04/19	J		
53. Nuveen Equity Long/Short I (NELIX)		None	J	T	Buy	12/31/19	J		
54. Nuveen Equity Market Neutral I (NIMEX)	A	Dividend	J	T	Buy	12/31/19	J		
55. Key Bank Checking Account (X)		None	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Littlefield, Jr., Robert E.

Date of Report

05/13/2020

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 VII Lines 20, and 22- DD created by an exchange with DWDP on 6/3/19. Stock symbol DWDP is no longer utilized.
- 3) Part VII line 43 is a name change with line 42..

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Littlefield, Jr., Robert E.

Date of Report

05/13/2020

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