

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) Suddaby, Glenn T.	2. Court or Organization Northern District of New York	3. Date of Report 10/06/2021
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☒ Amended Report	
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.		

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Name of Person Reporting

Suddaby, Glenn T.

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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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2019	NYS & Local Employees Retirement System- Monthly Retirement payment	\$22,874.00
2. 2019	NYS Teachers' Retirement System (Pension)	\$39,090.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	Syracuse University
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.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Suddaby, Glenn T.	10/06/2021

V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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Name of Person Reporting

Suddaby, Glenn T.

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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)	(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. Wells Fargo IRA #1 (H)									
2. Cash account-Wells Fargo -Standard Bank Deposit	A	Dividend	J	T					
3. ABBVIE,INC	A	Dividend			Sold	06/27/19	J	A	
4. ALTRIA GROUP, INC	A	Dividend			Sold	02/07/19	J	A	
5. AMERICAN ELECTRIC POWER INC	A	Dividend	J	T	Sold (part)	07/17/19	J	A	
6.					Buy (add'l)	09/19/19	J		
7. AMGEN INC	A	Dividend	J	T	Buy	02/07/19	J		
8. AT&T	A	Dividend	J	T					
9. ADP	A	Dividend	J	T	Buy	11/15/19	J		
10. CISCO SYSTEMS INC	A	Dividend	J	T					
11. COMCAST	A	Dividend	J	T	Buy	12/18/19	J		
12. CORTEVA	A	Distribution	J	T	Spinoff (from line 16)	06/03/19	J		
13. DIAGO PLC	A	Dividend	J	T					
14. DOMINION RES INC	A	Dividend	J	T	Sold (part)	07/17/19	J	A	
15. DOVER CORP	A	Dividend	J	T	Sold (part)	07/17/19	J	A	
16. DU PONT E.I.	A	Dividend			Sold	09/19/19	J	A	
17. DOW	A	Dividend	J	T	Spinoff (from line 16)	04/02/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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)
18. EXXON	A	Dividend	J	T	Sold (part)	07/17/19	J	A	
19. GENL DYNAMICS CORP	A	Dividend	J	T	Sold (part)	07/17/19	J	A	
20. GENUINE PARTS CO	A	Dividend	J	T	Sold (part)	07/17/19	J	A	
21. HASBRO, INC	A	Dividend	J	T	Sold (part)	07/17/19	J	A	
22. HOME DEPOT INC	A	Dividend	J	T	Sold (part)	07/17/19	J	A	
23. ILLINOIS TOOL WORKS INC	A	Dividend	J	T					
24. INTEL CORP	A	Dividend	J	T	Sold (part)	07/17/19	J	A	
25. IBM	A	Dividend	J	T	Sold (part)	07/17/19	J	A	
26. JOHNSON & JOHNSON	A	Dividend	J	T	Sold (part)	07/17/19	J	A	
27. JPMORGAN CHASE & CO	A	Dividend	J	T	Buy (add'l)	07/17/19	J		
28. KIMBERLY-CLARK CORP	A	Dividend	J	T	Sold (part)	07/17/19	J	A	
29. LOCKHEED MARTIN CORP	A	Dividend	J	T					
30. M&T BANK CORP	A	Dividend	J	T					
31. MAXIM INTEGRATED PRODS	A	Dividend	J	T					
32. MCDONALDS CORP	A	Dividend	J	T	Sold (part)	07/17/19	J	A	
33. MERCK & CO	A	Dividend	J	T	Sold (part)	07/17/19	J	A	
34. MICROSOFT CORP	A	Dividend	J	T	Sold (part)	07/17/19	J	A	

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

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Name of Person Reporting

Suddaby, Glenn T.

Date of Report

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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. NEXTERA ENERGY INC	A	Dividend	J	T	Buy (add'l)	09/19/19	J		
36. NUCOR CORP	A	Dividend			Sold	01/28/19	J	A	
37. PEOPLE'S UNITED FINANCL	A	Dividend	J	T	Sold (part)	01/10/19	J	A	
38. PEPSICO INCORPORATED	A	Dividend	J	T	Buy (add'l)	06/28/19	J		
39. PFIZER INCORPORATED	A	Dividend			Sold (part)	07/17/19	J	A	
40.					Sold	08/14/19	J	A	
41. PHILLIPS 66	A	Dividend	J	T	Buy (add'l)	06/27/19	J		
42. PROCTOR & GAMBLE CO	A	Dividend	J	T	Sold (part)	07/17/19	J	A	
43. THE SOUTHERN COMPANY	A	Dividend	J	T	Sold (part)	07/17/19	J	A	
44. STARBUCKS CORP	A	Dividend	J	T	Buy	08/16/19	J		
45. TARGET	A	Dividend	J	T					
46. UNITED PARCEL SERVICE-B	A	Dividend	J	T	Sold (part)	07/17/19	J	A	
47. US BANCORP NEW USB	A	Dividend	J	T	Buy (add'l)	09/19/19	J		
48. VERIZON COMMUNICATIONS	A	Dividend	J	T	Buy (add'l)	06/28/19	J		
49.					Sold (part)	07/17/19	J	A	
50. WALGREEN BOOTS ALLIANCE INC	A	Dividend	J	T					
51. WASTE MGMT INC DEL	A	Dividend	J	T	Sold (part)	07/17/19	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 =\$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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52. WASTE MNT INC DEL	A	Dividend	J	T	Buy (add'l)	09/19/19	J		
53. WELLTOWER	A	Dividend	J	T	Sold (part)	07/17/19	J	A	
54. Wells Fargo IRA #2 (H)									
55. Cash account -Wells Fargo-Standard Bank Deposit	A	Int./Div.	J	T					
56. CAPITAL INCOME BLDR CL A	A	Dividend	K	T	Buy (add'l)	03/14/19	J		
57.					Buy (add'l)	06/13/19	J		
58.					Buy (add'l)	09/12/19	J		
59.					Buy (add'l)	12/18/19	J		
60. CAPITAL WORLD GROWTH & INCOME FD	A	Dividend	K	T	Buy (add'l)	03/14/19	J		
61.					Buy (add'l)	06/13/19	J		
62.					Buy (add'l)	09/12/19	J		
63.					Buy (add'l)	12/23/19	J		
64. FUNDAMENTAL INVS INC CLASS A	A	Dividend	K	T	Buy (add'l)	03/14/19	J		
65.					Buy (add'l)	06/17/19	J		
66.					Buy (add'l)	09/17/19	J		
67.					Buy (add'l)	12/23/19	J		
68. NEW PESEPECTIVE FD A	B	Dividend	L	T	Buy (add'l)	12/23/19	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	

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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)	(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)
69. NEW WORLD FUND CLASS A	A	Dividend	K	T	Buy (add'l)	12/23/19	J		
70. SMALLCAP WORLD FD A	A	Dividend	K	T	Buy (add'l)	12/24/19	J		
71. WASH MUTUAL INVS FC CALSS A	A	Dividend	K	T	Buy (add'l)	03/14/19	J		
72.					Buy (add'l)	06/17/19	J		
73.					Buy (add'l)	09/12/19	J		
74.					Buy (add'l)	12/23/19	J		
75. NW Mutual Life (Whole Life Policy)	A	Dividend	L	T					
76. Key Privilege Select Checking	A	Int./Div.	J	T	Buy (add'l)	12/31/19	J		
77. Key Savings (X)	A	Int./Div.	J	T	Buy (add'l)	12/31/19	J		
78. Summit FCU (X)	A	Int./Div.	J	T	Buy (add'l)	12/31/19	J		
79. APN Health LLC (X)		None	M	T					
80. Jill Suddaby Self Directed IRA (X)									
81. APN Health LLC (X)		None	N	T					
82. Rental Property-Naples, Florida (X)	D	Rent	N	W					
83. Discover Bank (X)	A	Int./Div.	K	T					
84. TIAA- TRowePrice Rtmt-2025 Fund(X)	B	Int./Div.	K	T					
85. TIAA-Retiremenmt-Traditional-Annuity Contracts (X)	A	Int./Div.	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	
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	

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)
86. TD Ameritrade-Insured Deposit Account (X)	A	Int./Div.	N	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

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

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

T =Cash Market

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

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Name of Person Reporting Suddaby, Glenn T.	Date of Report 10/06/2021
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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Date of Report

10/06/2021

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