

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 05/13/2021
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 01/01/2020 to 12/31/2020
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 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.	New York State Bar	1/30/20	New York, New York	speaker	Transportation
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 - [REDACTED] responsibility	K
2. First Service	law school tuition - [REDACTED] responsibility	L
3. Nelnet	tuition-[REDACTED] responsibility	L
4.		
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)	(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					
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.					Buy (add'l)	10/30/20	J		
15. Coca-Cola Common Stock (KO)	A	Dividend	J	T					
16. Merck Common Stock (MRK)	A	Dividend	J	T					
17. Johnson & Johnson Common Stock (JNJ)	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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☐ 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)
18. Apple Computer Inc. Common Stock (AAPL)	A	Dividend	J	T					
19. Bristol Myers Squibb Common Stock (BMY)	A	Dividend	J	T					
20. Dow Inc. (DOW)	A	Dividend	J	T					
21. Dupont De Nemours (DD)	A	Dividend	J	T					
22. Verizon Common Stock (VZ)	A	Dividend	J	T					
23. Assured Guaranty Muni Hldgs 6.875% (AGO.B)	A	Dividend	J	T					
24. Berkshire Hathaway CL-B (BRK'B)		None	J	T					
25. Nextera Energy, Inc. (NEE)	A	Dividend			Sold	10/14/20	J		
26. Trust #1 Real Property Albany County NY SEE PART VIII		None	N	Q					
27. Ishares JP Morgan EM Bond Fd (EMB)	A	Dividend	J	T					
28. Tortoise Mlp Fund Inc (NTG)	A	Dividend			Sold	03/18/20	J		
29. Vanguard Reit Etf (VNQ)	A	Dividend	J	T					
30. Teton Westwood Mighty Mites I (WEIMX)		None	J	T					
31. Locorr Market Trend 1 (LOTIX)	A	Dividend	J	T					
32. Assured Guaranty Muni Hldgs 6.250% (AGO.E)	A	Dividend	J	T					
33. General Motors Common Stock (GM)		None	J	T					
34.					Sold (part)	11/25/20	J		

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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	

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35. Royal Dutch Shell Common Stock (RDS'A)	A	Dividend			Sold	11/17/20	J		
36. Tortoise Energy Infra (TYG)	A	Dividend			Sold (part)	03/18/20	J		
37.					Buy (add'l)	03/11/20	J		
38.					Sold	03/18/20	J		
39. Allianzgi Structured Return P (AZIPX). Please see Part VIII.	A	Dividend			Sold	07/31/20	J		
40. American Beacon AHL MNDG FUT STR Y (AHLX)	A	Dividend	J	T					
41. Bny Mellon GLB FIXED INC I (SDGIX). Please see Part VIII.	A	Dividend			Sold	01/22/20	J		
42. Invesco Balanced-Risk Alloc Y (ABRYX)	A	Dividend			Sold (part)	04/07/20	J		
43.					Sold	10/16/20	J		
44. AQR Long-Short Equity (QLEIX)	A	Dividend			Sold	10/01/20	J		
45. Ishares Global Financials ETF (IXG)	A	Dividend	J	T					
46. Oracle Corp Common Stock (ORCL)	A	Dividend			Sold	10/20/20	J		
47. Abbey Cptl Futures Strategy 1 (ABYIX)	A	Dividend	J	T					
48. Schlumberger Ltd Common Stock (SLB)	A	Dividend	J	T					
49.					Buy (add'l)	11/17/20	J		
50. Gabelli Gold I (GLDIX)	A	Dividend	J	T					
51. Nuveen Equity Long/Short I (NELIX)		None			Sold	12/29/20	J		

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52. Nuveen Equity Market Neutral I (NIMEX)	A	Dividend			Sold	12/29/20	J		
53. Key Bank Checking Account (X)		None	K	T					
54. Neuberger Berman Lg Sh Inst (NLSIX)		None	J	T	Buy	07/31/20	J		
55.					Buy (add'l)	10/01/20	J		
56.					Buy (add'l)	12/29/20	J		
57. Principal Glb Multi Strategy I (PSMIX). Please see Part VIII.	A	Dividend	J	T	Buy	12/29/20	J		
58. AT&T Inc Common stock (T)	A	Dividend	J	T	Buy	10/20/20	J		
59. Walt Disney Co Hldg Co Common Stock (DIS)		None	J	T	Buy	11/25/20	J		
60. Salient Mlp&Energy InfrstrI (SMLPX)	A	Dividend	J	T	Buy	03/18/20	J		
61. Vanguard High Div Yield Eft (VYM)	A	Dividend	J	T	Buy	03/19/20	J		
62.					Sold	06/08/20	J		
63. Invesco Conservative Inc Inst (ICIFX)	A	Dividend	J	T	Buy	01/22/20	J		
64.					Sold (part)	03/16/20	J		
65. Vanguard Index Fds S&P 500 Eft (VOO)	A	Dividend	J	T	Buy	03/16/20	J		
66.					Sold	06/08/20	J		
67. Viatrix Inc VTRS)		None	J	T	Spinoff (from line 10)	11/19/20	J		
68.					Sold (part)	11/20/20	J		

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	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. Energy Sel Sect Spdr Fd (XLE)	A	Dividend	J	T	Buy	11/17/20	J		

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

- 1) Part I Line 1 and Part VII Line 26- Trust #1 created 6/25/10. Online appraisal dated 5/10/11. Value has been in "N" range since trust inception.
- 2) Part VII Line 39- Exchange for Allianzgi Structured Return A (AZIAX).
- 3) Part VII Line 41- F/K/A/Dreyfus/Standish Glb Fix Inc I (SDGIX).
- 3) Part VII Line 57- F/K/A/ Principal Glb Multi Strategy A (PSMIX).

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544