

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 05/09/2017
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 01/01/2016 to 12/31/2016
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. CRBBA

11/11/2016-11/12/2016

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 Sec Part VIII	college tuition loan - responsibility	J
3.	Capital Communications FCU	college tuition loan- responsibility	K
4.	Capital Communications FCU	law school tuition- responsibility	L
5.	Navient	tuition- responsibility	J
6.	Nelnet	tuition- responsibility	M
7.	University of Notre Dame	tuition- responsibility	K

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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 See Part VIII	A	Dividend	J	T					
2. Exxon Mobil Oil Common Stock	A	Dividend	J	T					
3. IBM Common Stock	A	Dividend	J	T					
4. GE Common Stock	A	Dividend	J	T					
5. Invest Co., AM Mutual fund	A	Dividend	K	T					
6. Cisco Systems Common Stock	A	Dividend	J	T					
7. Intel. Corp. Common Stock	A	Dividend	J	T					
8. Microsoft Corp. Common Stock	A	Dividend	J	T					
9. Amgen, Inc. Common Stock	A	Dividend	J	T					
10. EMC Corp. Common Stock	A	Dividend			Redeemed	09/07/16	J	B	
11. Pfizer Common Stock	A	Dividend	J	T					
12. Ishares Index Fund	A	Dividend	J	T					
13. IsharesMidcap Index Fund (EFA)	A	Dividend	J	T					
14. Chevron Corp Common Stock	A	Dividend	J	T					
15. Coca-Cola Common Stock	A	Dividend	J	T					
16. Merck Common Stock	A	Dividend	J	T					
17. Johnson & Johnson Common Stock	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 \$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	

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18. United Health Group Common Stock	A	Dividend			Sold	09/19/16	J	D	
19. Apple Computer Inc. Common Stock	A	Dividend	J	T					
20. Allianz NFJ Dividend Interest and Premium Strategy Fund-See Part VIII	A	Dividend			Sold	11/11/16	J	A	
21. Altria Group, Inc. Common Stock	A	Dividend	J	T					
22. Bristol Myers Squibb Common Stock	A	Dividend	J	T					
23. Dow Chemical Common Stock	A	Dividend	J	T					
24. Verizon Common Stock	A	Dividend	J	T					
25. Assured Guaranty Muni Hldgs 6.875%	A	Dividend	J	T					
26. Berkshire Hathaway, Inc. CL B		None	J	T					
27. Nextera Energy, Inc.		None	J	T					
28. Trust #1 Real Property Albany County NY SEE PART VIII		None	N	Q					
29. Ishares JP Morgan EM Bond Fd	A	Dividend	J	T					
30. Tortoise Mlp Fund Inc	A	Dividend	J	T					
31. Vanguard Reit Etf	A	Dividend	J	T					
32. Dreyfus Intl Bond 1 (DIBRX)	A	Dividend			Sold	11/23/16	J	A	
33. Neuberger Berman Lg Sh Inst (NLSIX)	A	Dividend			Sold	09/15/16	J	A	
34. Wells Fargo Adv Absolt Ret Adm (WARDX)	A	Dividend			Sold	03/04/16	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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35. US Bancorp 6%-g Flts 4/15/17 (USB.N)	A	Dividend	J	T					
36. Blackstone/GSO Strat Credit FD	A	Dividend			Sold	11/15/16	J	A	
37. Eaton Vance Tax Mgd Div Equ Fd	A	Dividend			Sold	11/15/16	J	A	
38. Teton Westwood Mighty Mites I	A	Dividend	J	T					
39. Tocqueville Gold	A	Dividend	J	T	Sold (part)	09/15/16	J	A	
40. Locorr Market Trend I	A	Dividend	J	T					
41. Assured Guaranty Muni Hldgs 6.250%	A	Dividend	J	T	Buy	02/12/16	J		
42. General Motors Common Stock	A	Dividend	J	T	Buy	09/19/16	J		
43. Keycorp New Common Stock	A	Dividend	J	T	Buy	09/19/16	J		
44. Keycorp New Common Stock	A	Dividend	J	T	Sold (part)	11/23/16	J	A	
45. Royal Dutch Shell Common Stock	A	Dividend	J	T	Buy	09/22/16	J		
46. Tortoise Energy Infra	A	Dividend	J	T	Buy	11/11/16	J		
47. Allianzgi Structured Return A	A	Dividend	J	T	Buy	11/11/16	J		
48. Principal GLB Multi Strategy A	A	Dividend	J	T	Buy	03/04/16	J		
49. American Beacon AHL MNDG FUT STR Y	A	Dividend	J	T	Buy	03/04/16	J		
50. Dreyfus Standish GLB FIX INC I	A	Dividend	J	T	Buy	11/23/16	J		
51. Invesco Balanced-Risk Alloc Y	A	Dividend	J	T	Buy	11/11/16	J		

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

- 1) Part VII Line 29- 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 2- Formerly serviced by Citibank.
- 3) Part VII Line 1- Formerly known as MS Liquid Asset Fund.

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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