

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 05/13/2016
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
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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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. 2015	NYS & Local Employees Retirement System- Monthly Retirement payment started during 2011	\$22,382.00
2. 2015	NYS Teachers' Retirement System	\$38,844.00
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.	
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.				

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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.		
2.		
3.		
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) 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. American Funds-Fundamental Investors (Y)									
2. Wells Fargo IRA -Cash account	A	Dividend	J	T					
3. Wells Fargo-IRA 58shs ABBVIE,INC	A	Dividend	J	T					
4. Wells Fargo IRA-76shs ALTRIA GROUP, INC	A	Dividend	J	T					
5. Wells Fargo-IRA- 44shs AMERICAN ELECTRIC POWER INC	A	Dividend	J	T					
6. Wells Fargo-IRA- 82shs AT&T	A	Dividend	J	T					
7. Wells Fargo-IRA-63shs BRISTOL MYERS SQUIBB	A	Dividend	J	T					
8. Wells Fargo-IRA-113shs CISCO SYSTEMS INC	A	Dividend	J	T					
9. Wells Fargo-IRA- 79shs CONAGRA FOODS INC	A	Dividend	J	T	Buy (add'l)	03/27/15	J		
10. Wells Fargo- IRA- 48shs CONOCOPHILLOPS	A	Dividend	J	T					
11. Wells Fargo-IRA-17shs DIAGO PLC	A	Dividend	J	T					
12. Wells Fargo-IRA- 37shs DOMINION RES INC	A	Dividend	J	T					
13. Wells Fargo-IRA- 34shs DOVER CORP	A	Dividend	J	T					
14. Wells Fargo-IRA-64shs DU PONT E.I.	A	Dividend	J	T					
15. Wells Fargo-IRA- 29shs GENL DYNAMICS CORP	A	Dividend	J	T					
16. Wells Fargo-IRA 24shs GENUINE PARTS CO	A	Dividend	J	T					
17. Wells Fargo-IRA- 66shs GLAXOSMITHKLINE PLC	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 = \$250,000,001 - \$500,000,000	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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☐ 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. Wells fargo-IRA-36shs HASBRO, INC	A	Dividend	J	T	Buy	03/30/15	J		
19. Wells Fargo-IRA- 62shs HCP INC	A	Dividend	J	T					
20. Wells Fargo-IRA- 33shs HEALTH CARE REIT INC now WELLTOWER, INC	A	Dividend	J	T					
21. Wells Fargo-IRA- 48shs HOME DEPOT INC	A	Dividend	J	T	Sold (part)	03/30/15	J		
22. Wells Fargo-IRA- 38/shs ILLINOIS TOOL WORKS INC	A	Dividend	J	T					
23. Wells Fargo-IRA- 138shs INTEL CORP	A	Dividend	J	T					
24. Wells Fargo- IRA 63shs INTERNATIONAL PAPER CO	A	Dividend	J	T					
25. Wells Fargo-IRA- 39shs JOHNSON & JOHNSON	A	Dividend	J	T					
26. Wells Fargo-IRA- 55shs JPMORGAN CHASE & CO	A	Dividend	J	T					
27. Wells Fargo-IRA- 32shs KIMBERLY-CLARK CORP	A	Dividend	J	T					
28. Wells Fargo-IRA-42shs KRAFT FOODS GROUP	A	Dividend			Sold	03/26/15	J		
29. Wells Fargo-IRA 26shs LOCKHEED MARTIN CORP	A	Dividend	J	T					
30. Wells Fargo-IRA- 20shs M&T BANK CORP	A	Dividend	J	T					
31. Wells Fargo-IRA- 48shs MATTEL INCORPORATED	A	Dividend			Sold	02/03/15	J		
32. Wells Fargo-IRA- 69shs MAXIM INTEGRATED PRODS	A	Dividend	J	T					
33. Wells Fargo-IRA- 25shs MCDONALDS CORP	A	Dividend	J	T					
34. Wells Fargo-IRA- 61shs MICROCHIP TECHNOLOGY INC	A	Dividend	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	
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35. Wells Fargo-IRA- 68shs MICROSOFT CORP	A	Dividend	J	T					
36. Wells Frago-IRA-28shs NEXTERA ENERGY INC	A	Dividend	J	T					
37. Wells Fargo-IRA-48 shs NUCOR CORP	A	Dividend	J	T					
38. Wells Fargo-IRA- 185shs PEOPLE'S UNITED FINANCL	A	Dividend	J	T					
39. Wells Fargo-IRA- 30shs PEPSICO INCORPORATED	A	Dividend	J	T					
40. Wells Fargo-IRA- 103shs PFIZER INCORPORATED	A	Dividend	J	T					
41. Wells Fargo-IRA- 39shs PHILLIPS 66	A	Dividend	J	T					
42. Wells Fargo-IRA- 44shs PROCTOR & GAMBLE CO	A	Dividend	J	T					
43. Wells Fargo-IRA- 15shs ROYAL DUTCH SHELL PLC	A	Dividend	J	T					
44. Wells Fargo-IRS- 55shs SONOCO PRODUCTS CO	A	Dividend	J	T					
45. Wells Fargo-IRA- 77shs SPECTRA ENERGY CORP	A	Dividend	J	T					
46. Wells Fargo-IRA 42shs THE SOUTHERN COMPANY	A	Dividend	J	T					
47. Wells Fargo-IRA- 30shs UNITED PARCEL SERVICE-B	A	Dividend	J	T					
48. Wells Fargo-IRA- 68shs US BANCORP NEW USB	A	Dividend	J	T	Buy	03/30/15	J		
49. Wells Frago-IRA- 47shs VERIZON COMMUNICATIONS	A	Dividend	J	T					
50. Wells Fargo-IRA-41shs WALGREEN BOOTS ALLIANCE INC	A	Dividend	J	T					
51. Wells Fargo-IRA 45shs WASTE MGMT INC DEL	A	Dividend	J	T					

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52. Americab Funds-New Perspective Fund-A (Y)									
53. American Funds-New World Fund-A (Y)									
54. American Funds-Small Cap World Fund-A (Y)									
55. American Funds-Capital World Growth & Income Fund-A (Y)									
56. American Funds-Washington Mutual Investots Fund (Y)									
57. American Funds-Capital Income Builder-A (Y)									
58. Oppenheimer Funds-Capital Appreciation Fund-A (glenn)	C	Dividend	K	T	Buy (add'l)	12/07/15	J		
59. Oppenheimer Funds-Capital Appreciation Fund-A (jane) (Y)									
60. Nationwide (Y)									
61. Wells Fargo IRA- Cash account	A	Int./Div.	J	T					
62. Wells Fargo-IRA-CAPITAL INCOME BLDR CL A	A	Dividend	K	T					
63. Wells Fargo-IRA- CAPITAL WORLD GROWTH & INCOME FD	A	Dividend	K	T					
64. Wells Fargo-IRA- FUNDAMENTAL INVS INC CLASS A	B	Dividend	K	T	Buy (add'l)	12/01/15	J		
65. Wells Fargo-IRA-NEW PESEPECTIVE FD A	B	Dividend	K	T	Buy (add'l)	12/01/15	J		
66. Wells Fargo-IRA-NEW WORLD FUND CLASS A	A	Dividend	J	T					
67. Wells Fargo-IRA-SMALLCAP WORLD FD A	A	Dividend	J	T					
68. Wells Fargo-IRA-WASH MUTUAL INVS FD INC CLASS A	A	Dividend	J	T					

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69. NYS Teachers Retirement (Y)									
70. NYS 529 Plan-Vanguard Moderate Age Based Option-no control	A	Dividend			Closed	01/02/15	J		
71. NYS 529 Plan-Vanguard Moderate Age Based Option-no control	A	Dividend	J	T	Buy (add'l)	06/30/15	J		
72. NW Mutual Life (Whole Life Policy)	A	Dividend	L	T					
73. Black Rock College Advtg.-Agres. Growth Option A- no control	A	Int./Div.			Closed	01/16/15	J		
74. Black Rock College Advtge- Agres Growth Option A- no control	A	Int./Div.	K	T					
75. Key Investment Services-FDIC Variable rate deposit	A	Int./Div.	K	T					
76. Key Privilege Select Checking (X)	A	Int./Div.	J	T					

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

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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/ **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