AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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)	2. Court or Organization	3. Date of Report
Suddaby, Glenn T.	Northern District of New York	06/16/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
District Judge	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final	01/01/2021 **to** 12/31/2021
	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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☑ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

☐ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.	2021	NYS & Local Employees Retirement System-Monthly Retirement payment	$23,258.00
2.	2021	NYS Teachers Retirement System (Pension)	$39,282.00
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.)*

	DATE	SOURCE
1.	2021	Stae of New York
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

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

Name of Person Reporting	Date of Report
Suddaby, Glenn T.	06/16/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
1. Wella Fargo IRA #1 (H)									
2. -Cash Account-Weels Fargo-Standard Bank Deposit	A	Dividend	J	T					
3. -AMERICAN ELECTRIC POWER INC	A	Dividend	J	T	Sold (part)	07/13/21	J	A	
4. -AMGEN, INC	A	Dividend	J	T	Sold (part)	07/13/21	J	A	
5. -AT&T	A	Dividend			Sold	05/25/21	J	A	
6. -ADP	A	Dividend	J	T					
7. -BANK NEW YORK MELLON	A	Dividend	J	T					
8. -BLACKROCK INC	A	Dividend	J	T	Buy	08/20/21	J		
9. -CHEVRON CORPORATION	A	Dividend	J	T	Buy	12/08/21	J		
10. -CISCO SYSTEMS INC.	A	Dividend	J	T	Sold (part)	07/13/21	J	A	
11. -COMCAST	A	Dividend	J	T	Sold (part)	07/13/21	J	A	
12. -DIAGEO	A	Dividend			Sold (part)	07/13/21	J	A	
13.					Sold (part)	08/19/21	J	A	
14.					Sold	09/16/21	J	A	
15. -DOVER CORP	A	Dividend	J	T					
16. -GENL DYNAMICS CORP	A	Dividend	J	T	Sold (part)	07/13/21	J	A	
17. -GILEAD SCIENCES INC	A	Dividend	J	T	Sold (part)	07/13/21	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3 Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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18. -HOME DEPOT INC	A	Dividend	K	T					
19. -ILLINOIS TOOL WORKS	A	Dividend	J	T	Sold (part)	07/13/21	J	A	
20. -INTEL	A	Dividend			Sold (part)	07/13/21	J	A	
21.					Sold	10/26/21	J	A	
22. -INTERNATIONAL BUSINESS MACHINE CORP	A	Dividend	J	T	Sold (part)	07/13/21	J	A	
23. -INTUIT INC	A	Dividend	J	T					
24. -JOHNSON & JOHNSON	A	Dividend	J	T	Sold (part)	07/13/21	J	A	
25. -JPMORGAN CHASE & CO	A	Dividend	J	T					
26. -KIMBERLY-CLARK CORP	A	Dividend	J	T					
27. -KYNDRYL	A	Dividend			Spinoff (from line 22)	11/04/21	J		
28.					Sold	12/08/21	J	A	
29. -LOCKHEED MARTIN CORP	A	Dividend	J	T					
30. -M&T BANK CORP	A	Dividend	J	T	Buy (add'l)	07/13/21	J		
31. -MARCH AND MC LENNAN COMPANIES	A	Dividend	J	T	Buy	08/20/21	J		
32. -MCDONALDS CORP	A	Dividend	J	T	Sold (part)	07/13/21	J	A	
33. -MERCK & CO INC	A	Dividend	J	T	Sold (part)	07/13/21	J	A	
34. -MICROSOFT CORP	A	Dividend	K	T	Sold (part)	07/13/21	J	A	

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35. -NEXTERA ENERGY INC	A	Dividend	J	T	Buy (add'l)	07/13/21	J		
36. -ORGANON	A	Dividend			Spinoff (from line 33)	06/03/21	J		
37.					Sold	08/19/21	J	A	
38. -PEOPLE'S UNITED FINANCIAL	A	Dividend	J	T	Sold (part)	07/13/21	J	A	
39. -PEPSICO INCORPORATED	A	Dividend	J	T	Sold (part)	07/13/21	J	A	
40. -PHILLIPS 66	A	Dividend			Sold	07/13/21	J	A	
41. -PROCTOR & GAMBLE CO	A	Dividend	J	T	Sold (part)	07/13/21	J	A	
42. -STARBUCKS CORP	A	Dividend	J	T	Sold (part)	07/13/21	J	A	
43. -TARGET	A	Dividend	K	T	Sold (part)	07/13/21	J	A	
44. -UNITED PARCEL SERVICE-B	A	Dividend	J	T	Sold (part)	07/13/21	J	A	
45. -UNITEDHEALTH GROUP	A	Dividend	J	T	Buy	12/08/21	J		
46. -US BANCORP	A	Dividend	J	T	Buy (add'l)	07/13/21	J		
47. -VERIZON COMMUNICATIONS	A	Dividend	J	T	Sold (part)	07/13/21	J	A	
48. -WALLGRENS BOOTS ALLIANCE INC	A	Dividend	J	T					
49. -WASTE MGMT INC	A	Dividend	J	T					
50. -XCEL ENERGY INC	A	Dividend	J	T	Sold (part)	07/13/21	J	A	
51. Wells Frago IRS #2 (H)									

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52. -Cash account-Wels Fargo-Standard Bank Deposit	A	Dividend	J	T					
53. -AMERICAN BALANCED FD CL A	A	Dividend	J	T	Buy (add'l)	03/16/21	J		
54.					Sold (part)	04/20/21	J	A	
55.					Buy (add'l)	06/15/21	J		
56.					Buy (add'l)	07/01/21	J		
57.					Buy (add'l)	09/14/21	J		
58.					Buy (add'l)	12/15/21	J		
59. -CAPITAL INCOME BLDR CL A	A	Dividend	K	T	Buy (add'l)	03/16/21	J		
60.					Sold (part)	04/20/21	J	A	
61.					Buy (add'l)	06/15/21	J		
62.					Buy (add'l)	07/01/21	J		
63.					Buy (add'l)	09/14/21	J		
64.					Buy (add'l)	12/20/21	J		
65. -CAPITAL WORLD GROWTH & INCOME FD INC	B	Dividend	K	T	Buy (add'l)	03/16/21	J		
66.					Sold (part)	04/20/21	J	A	
67.					Buy (add'l)	06/15/21	J		
68.					Buy (add'l)	07/01/21	J		

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69.					Buy (add'l)	09/14/21	J		
70.					Buy (add'l)	12/15/21	J		
71. -FUNDANMENTAL INVS INC	C	Dividend	L	T	Buy (add'l)	03/15/21	J		
72.					Sold (part)	04/20/21	K	B	
73.					Buy (add'l)	06/17/21	J		
74.					Buy (add'l)	07/01/21	K		
75.					Buy (add'l)	09/16/21	J		
76.					Buy (add'l)	12/20/21	J		
77. -GROWTH FUND OF AMERICA CL A	B	Dividend	K	T	Sold (part)	04/20/21	J		
78.					Buy (add'l)	07/01/21	J		
79.					Buy (add'l)	12/20/21	J		
80. -NEW PERSPECTIVE FD A	D	Dividend	M	T	Sold (part)	04/20/21	K	B	
81.					Buy (add'l)	07/01/21	K		
82.					Buy (add'l)	12/17/21	J		
83. -NEW WORLD FUND CLASS A	A	Dividend	J	T	Sold (part)	04/20/21	J	A	
84.					Buy (add'l)	07/01/21	J		
85.					Buy (add'l)	12/17/21	J		

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86. -SMALLCAP WORLD FD A	A	Dividend	K	T	Buy (add'l)	12/17/21	J		
87. -WASH NUTL INVS FD INC	A	Dividend	K	T	Buy (add'l)	03/18/21	J		
88.					Sold (part)	04/20/21	J	A	
89.					Buy (add'l)	06/17/21	J		
90.					Buy (add'l)	07/01/21	J		
91.					Buy (add'l)	09/16/21	J		
92.					Buy (add'l)	12/20/21	J		
93. NW Mutual Life (Whole Life Policy)	B	Dividend	L	T					
94. APN Health LLC Partnership Interest		None	M	T					
95. APN Health LLC-Self Directed IRA (H)									
96. -APN HEALTH LLC PARTNERSHIP		None	N	T					
97. Rental Property-Naples Florida	A	Rent	N	W					
98. Voya-Retirement (H)									
99. VOYA GOV"T MONEY MARKET	A	Dividend	K	T	Buy (add'l)	12/31/21	J		
100. FIDELITY VIP INDEX 500	A	Dividend	J	T	Buy (add'l)	12/31/21	J		
101. TIAA- TRowe Price Rtmt-2025 Fund	A	Int./Div.			Closed	06/01/21	J		
102. TIAA-Retirement-Traditional-Annuity Contracts	A	Int./Div.			Closed	06/01/21	J		

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103. TIAA-Retirement-Stable Value-Annuity Contracts	A	Int./Div.			Closed	06/01/21	J		
104. TD Ameritrade-Insured Deposit Account	A	Int./Div.			Closed	06/01/21	J		
105. Royal Alliance-Pershing LLC- Rollover IRA (H)									
106. - FDIC INSURED BANK DEPOSIT	A	Int./Div.	J	T	Buy	06/01/21	J		
107. - HUNTINGTON BANCSHARES	A	Dividend	J	T	Buy	06/01/21	J		
108. - BLACKROCK SHORT OBLIGATIONS	A	Dividend	K	T	Buy	06/01/21	K		
109. - ISHARES TR CORE US AGGREGATE BD	A	Dividend	K	T	Buy	06/10/21	K		
110. - ISHARES TR RUSSELL MID-CAP VALUE	A	Dividend	J	T	Buy	06/16/21	J		
111.					Buy (add'l)	06/18/21	J		
112.					Buy (add'l)	07/19/21	J		
113. - ISAHRES TR RUSSELL MID-CAP VALUE ETF	A	Dividend	K	T	Buy	06/16/21	J		
114.					Buy (add'l)	06/18/21	J		
115.					Buy (add'l)	07/19/21	J		
116.					Buy (add'l)	11/30/21	J		
117. -ISHARES TR RUSSELL MID-CAP GROWTH ETF	A	Dividend	K	T	Buy	06/16/21	J		
118.					Buy (add'l)	06/18/21	J		
119.					Buy (add'l)	07/19/21	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3 Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Suddaby, Glenn T.	06/16/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H)	B (2) Type (e g , div , rent, or int)	C Gross value at end of reporting period (1) Value Code 2 (J-P)	C (2) Value Method Code 3 (Q-W)	D Transactions during reporting period (1) Type (e g , buy, sell, redemption)	D (2) Date mm/dd/yy	D (3) Value Code 2 (J-P)	D (4) Gain Code 1 (A-H)	
120.					Buy (add'l)	11/30/21	J		
121. -ISHARES TR RUSSELL 1000 ETF	B	Dividend	M	T	Buy	06/16/21	J		
122.					Buy (add'l)	06/18/21	J		
123.					Buy (add'l)	07/19/21	J		
124.					Buy (add'l)	11/30/21	L		
125. -ISHARES TR RUSSELL 3000 ETF	A	Dividend	K	T	Buy	06/18/21	J		
126.					Buy (add'l)	06/18/21	J		
127.					Buy (add'l)	07/19/21	J		
128. -ISHARES TR INTER GOVT CR BD ETF	A	Dividend	K	T	Buy	06/10/21	K		
129. -PIMCO ETF TR 0-5 HIGH YIELD	B	Dividend	K	T	Buy	06/10/21	K		
130. -SPDR SER TR BLOOMBERG BARCLAYS SHORT TERM CORP	A	Dividend	L	T	Buy	06/10/21	L		
131. Royal Alliance-Pershing LLC Roth IRA Rollover (H)									
132. - WASHINGTON MUTUAL INVESTORS FUND CLASS A	A	Dividend	J	T	Open	07/27/21	J		
133.									
134.									
135.									
136.									

1 Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
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Name of Person Reporting	Date of Report
Suddaby, Glenn T.	06/16/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
137.									
138.									
139.									
140.									

1 Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
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3 Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

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

Name of Person Reporting	Date of Report
Suddaby, Glenn T.	06/16/2022

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
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