

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2010

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) Sullivan, Emmet G.	2. Court or Organization U.S. District Court for the District of Columbia	3. Date of Report 08/09/2011
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active District Court Judge	5a. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2010 to 12/31/2010
7. Chambers or Office Address 333 Constitution Avenue, NW Washington, D.C. 20001	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☒ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
5. _____	_____

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. _____	_____
2. _____	_____
3. _____	_____

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Sullivan, Emmet G.

Date of Report

08/09/2011

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. 2010	Pension (D.C. Government)	\$61,099.00
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.)*

<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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Sullivan, Emmet G.

Date of Report

08/09/2011

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.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Sullivan, Emmet G.

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08/09/2011

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. Rental Property I Income (Washington, D.C.)	E	Rent	O	S					
2. Rental Property II Income (Washington, D.C.)	C	Rent	N	W					
3. Janney Montgomery IRA									
4. Columbia FDS Class A	A	Dividend			Sold	12/31/10	K	A	
5. Eaton Vance SMID	A	Dividend			Buy	11/12/10	J		
6. Eaton Vance SMID	A	Dividend			Sold	12/30/10	J	A	
7. Federated Equity FDS	A	Dividend			Sold	11/12/10	J	A	
8. First Eagle Fund	A	Dividend			Sold	01/08/10	J	C	
9. Growth Fund America, Inc. CLF (GFAFX)	A	Dividend			Sold	12/30/10	K	B	
10. Keeley Small Cap Funds	A	Dividend			Sold	12/30/10	J	A	
11. T. Rowe Price Growth Stock Fund	A	Dividend			Sold	12/30/10	K	C	
12. T. Rowe Price Equity	A	Dividend			Sold	12/30/10	J	A	
13. Thornburg Invt. Tr.	A	Dividend			Sold	12/30/10	K	A	
14. Thornburg Income Builder	A	Dividend			Buy	11/12/10	K		
15. Thornburg Income Builder	A	Dividend			Sold	12/30/10	K	A	
16. Harbor International FD	A	Dividend			Sold	12/30/10	K	D	
17. JP Morgan Trust I	A	Dividend			Sold	12/30/10	K	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 \$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 | |

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

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18. Artisan Funds	A	Dividend			Sold	12/30/10	K	A	
19. Royce Fed. Ret.	A	Dividend			Sold	12/30/10	K	B	
20. Sentinel Group FDS	A	Dividend			Sold	12/30/10	J	B	
21. Delaware Diversified Income	A	Dividend			Sold	12/30/10	J	A	
22. Ivy Asset Strategy A	A	Dividend			Sold	12/30/10	J	B	
23. Rydex Series Managed Futures Strategy	A	Dividend			Sold	12/30/10	J	A	
24. Janney Montgomery IRA									
25. Columbia FDS, Class A	A	Dividend	J	T					
26. Calamos Growth Fund A	A	Dividend	J	T					
27. First Eagle Fund	A	Dividend	J	T					
28. Thornburg Value Fund A	A	Dividend	J	T					
29. Allianz Orr. Ren. A	A	Dividend	J	T					
30. Janney Montgomery Fund									
31. Allianz Funds Multi Manager (X)	A	Dividend	J	T					
32. Capital Income BLDR Fund, Class A (X)	A	Dividend	K	T					
33. Columbia FDS, Class A (X)	A	Dividend			Sold	11/12/10	K	A	
34. Eaton Vance SMID	A	Dividend	J	T	Buy	11/12/10	J		

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(See Columns B1 and D4)

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G = \$100,001 - \$1,000,000

C = \$2,501 - \$5,000
H = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000
I = 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
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FINANCIAL DISCLOSURE REPORT

Page 6 of 9

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35. Henderson Global FDS (X)	A	Dividend	J	T					
36. Ivy Funds Inc. (X)	A	Dividend	J	T					
37. Keeley Funds Inc. (X)	A	Dividend	J	T					
38. Kinetics Mutual Funds (X)	A	Dividend	J	T					
39. NFJ Div Int and Strategy Fund (X)	A	Dividend	K	T					
40. Prudential Jennison 20/20	A	Dividend	J	T	Buy	11/12/10	J		
41. Thornburg Invt. Tr Class A (X)	A	Dividend	K	T					
42. D.C. Hsg Fin Agy Mun Bond (X)	A	Interest	J	T					
43. Janney Advantage Insured Sweep (X)	A	Dividend	J	T					
44. Rydex Series Funds Managed Futures Strategy	A	Dividend			Sold	12/30/10	J	A	
45.									
46.									
47.									
48.									
49.									
50.									
51.									

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

2. Value Codes
(See Columns C1 and D3)

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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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FINANCIAL DISCLOSURE REPORT

Page 7 of 9

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52.									
53.									
54.									
55.									
56.									
57.									
58.									
59.									
60.									

- | | | | | | |
|--|---|--|---|--|-------------------------|
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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Sullivan, Emmet G.

Date of Report

08/09/2011

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

Part VII. Investments and Trusts

Line Item 1. One-half interest Rental Property I (Washington, D.C.) - the assessed total value is \$1,000,000.

Line Item 2. One-third interest in Rental Property II (Washington, D.C.) - the estimated total value is \$500,000.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Sullivan, Emmet G.

Date of Report

08/09/2011

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/ Emmet G. Sullivan

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY 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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Washington, D.C. 20544