

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) Sullivan, Richard J.	2. Court or Organization Southern 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) US District Judge -- Active	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 United States Courthouse 40 Foley Square, Room 2104 New York, NY 10007		
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. Adjunct Professor of Law	Columbia Law School
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. 2005	Federal Employees Pension Plan; pension upon age 65
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	Columbia Law School	\$12,500.00
2. 2015	Matthew Bender & Co, Inc. (Book Royalties)	\$2,038.00
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. 2015	Weight Watchers North America, Inc. -- Wife's Salary
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. Federal Bar Council	02/16-21/2015	Punta Cana, Dominican Republic	Bar Association Lecture	Transportation, Meals, Lodging
2. Stadium Generale Marcianum	03/9-12/2015	Venice, Italy	Moot Court Competition	Transportation, Meals, Lodging
3. St. Thomas Law School	09/24-25/2015	Minneapolis, MN	Law School Panel	Transportation, Meals, Lodging
4. University of Notre Dame Law School	11/5-7/2015	South Bend, IN	Law School Symposium	Transportation, Meals, Lodging
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. JPMorganChase Bank Accounts	A	Interest	J	T					
2. New York Community Bancorp Common Stock	D	Dividend	M	T					
3. 529 College Savings Accounts (not self-directed)	A	Interest	L	T					
4. Merrill Lynch Cash Management Account	A	Interest	N	T					
5. Merrill Lynch IRA - Nuveen Tradewinds Intl Fund (closed 12/30/15)	A	Dividend			Closed	12/30/15	J	A	
6. Merrill Lynch IRA - Matthews Asian Funds Pacific Tigers	A	Dividend	J	T	Sold (part)	12/30/15	J	A	
7. Merrill Lynch IRA - Allianz NFJ Dividend Value Fund (closed 12/30/15)	B	Dividend			Closed	12/30/15	L	D	
8. Merrill Lynch IRA -Amer Funds Growth Fund of America (closed 12/30/15)	A	Dividend			Closed	12/30/15	L	D	
9. Merrill Lynch IRA - Third Avenue Value Fund (closed 12/30/15)	A	Dividend			Closed	12/30/15	K	A	
10. Merrill Lynch IRA - Cohen & Steers Realty Shares	A	Dividend	K	T	Sold (part)	12/30/15	J	A	
11. Merrill Lynch IRA - Loomis Sayles Bond Fund	B	Dividend	K	T	Sold (part)	12/30/15	K	A	
12. Merrill Lynch IRA - BlackRock Global Allocation Fund	A	Dividend	J	T	Buy (add'l)	12/30/15	J		
13. Merrill Lynch IRA - Western Asset Management Core Bond Fund	B	Dividend	L	T	Buy (add'l)	12/30/15	J		
14. Merrill Lynch IRA - AllianzGI International Value Fund	A	Dividend	K	T	Buy	12/30/15	K		
15. Merrill Lynch IRA - Oakmark International Fund	A	Dividend	K	T	Buy	12/30/15	K		
16. Merrill Lynch IRA (Cash)	A	Interest	M	T					
17.									

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

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

With respect to Section VII, Line 3, I have three separate non-self-directed 529 College Savings Accounts that were opened for my children some years ago, as follows:

JPMorgan Moderate Age-Based Portfolio-C (Beneficiary Age 13-14 Years) (NOT SELF-DIRECTED)

JPMorgan Moderate Age-Based Portfolio-C (Beneficiary Age 13-14 Years) (NOT SELF-DIRECTED)

JPMorgan Moderate Age-Based Portfolio-C (Beneficiary Age 6-9 Years) (NOT SELF-DIRECTED)

The accounts, individually and collectively, earned less than \$1,000 during 2015, and had individual values of (1) \$15,001-50,000, (2) \$15,001-50,000, and (3) less than \$15,000, respectively, with a collective value of \$50,001-100,000.

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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/ **Richard J. Sullivan**

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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