

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, Emmet G.	2. Court or Organization U.S. District Court for the District of Columbia	3. Date of Report 11/2/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active 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 333 Constitution Ave, NW Washington, DC 20001		
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Abramson Scholarship Foundation	Director
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.		

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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	Pension (D.C. Government)	\$66,450.00
2. 2015	Adjunct Professor, American University Washington College of Law	\$6,000.00
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. Delaware Cash Mgmt Fund (prev. Dreyfus Cash Mgmt 288)	A	Dividend	J	T					
2. Tesla Motors		None	K	T					
3. Delaware Value Fund	A	Dividend	J	T	Buy (add'l)	05/05/15	J		
4.					Sold (part)	07/10/15	J	A	
5. FT Dorsey Wright Focus	A	Dividend	J	T	Buy	05/05/15	J		
6.					Sold	07/10/15	J	A	
7. FT Morningstar Dividend	A	Dividend	J	T	Buy (add'l)	05/05/15	J		
8.					Sold (part)	05/05/15	J	A	
9.					Sold (part)	07/10/15	J	A	
10. FT Finals Alpha	A	Dividend			Sold	05/05/15	J	A	
11. JPM Midcap	A	Dividend	J	T	Sold (part)	05/05/15	J	A	
12.					Sold (part)	07/10/15	J	A	
13. Harbor Institutional	A	Dividend	J	T	Buy (add'l)	05/05/15	J		
14.					Sold (part)	07/10/15	J	A	
15. Global X Super Dividend	A	Dividend			Sold	05/05/15	J	A	
16. Henderson European	A	Dividend	J	T	Buy	07/10/15	J		
17. iShares Russell 1000 Value	A	Dividend	J	T	Buy (add'l)	05/05/15	J		

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 H ~\$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 ~\$250,001 - \$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 \$5,000,000,000	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.					Sold (part)	07/10/15	J	A	
19. IShares Russell 1000 Growth	A	Dividend	J	T	Buy (add'l)	05/05/15	J		
20.					Buy (add'l)	08/24/15	J		
21.					Sold (part)	07/10/15	J	A	
22.					Sold (part)	10/22/15	J	A	
23. IShares Intl Select Div ETF	A	Dividend	J	T	Buy	05/05/15	J		
24.					Sold (part)	07/10/15	J	A	
25. MFS Intl Value	A	Dividend	J	T	Buy (add'l)	05/05/15	J		
26.					Sold (part)	07/10/15	J	A	
27. Mainstay Unconstrained Bond	A	Dividend			Sold (part)	07/10/15	J	A	
28.					Sold	12/23/15	J	A	
29. Mainstay Hi Yld Corp	A	Dividend	J	T	Sold (part)	05/05/15	J	A	
30.					Sold (part)	07/10/15	J	A	
31. Mainstay Floating Rate	A	Dividend	J	T	Sold (part)	01/28/15	J	A	
32.					Sold (part)	05/05/15	J	A	
33.					Sold (part)	07/10/15	J	A	
34. Oppenheimer Intl Small Mid Co	A	Dividend	J	T	Buy (add'l)	05/05/15	J		

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 \$50,000,000	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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35.					Sold (part)	07/10/15	J	A	
36. T Rowe Price Growth Stock	A	Dividend	J	T	Buy (add'l)	05/05/15	J		
37.					Buy (add'l)	08/24/15	J		
38.					Sold (part)	07/10/15	J	A	
39. Thornburg Dev World Fd	A	Dividend	J	T	Buy (add'l)	05/05/15	J		
40.					Sold (part)	05/05/15	J	A	
41.					Sold (part)	07/10/15	J	A	
42. Vanguard Strategic Small Cap	A	Dividend	J	T	Buy (add'l)	05/05/15	J		
43.					Sold (part)	07/10/15	J	A	
44. Victory Munder Mid Cap Core Growth	A	Dividend	J	T	Sold (part)	07/10/15	J	A	
45. Voya Global Real Estate	A	Dividend	J	T	Sold (part)	05/05/15	J	A	
46.					Sold (part)	07/10/15	J	A	
47. Weitz Value Fund	A	Dividend			Sold (part)	05/05/15	J	A	
48.					Sold	07/10/15	J	A	
49. Prudential Total Return Bond	A	Dividend	J	T	Buy (add'l)	01/28/15	J		
50.					Buy (add'l)	05/05/15	J		
51.					Buy (add'l)	12/23/15	J		

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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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52.					Sold (part)	07/10/15	J	A	
53.					Sold (part)	08/24/15	J	A	
54. Prudential Short Term Corp Bond	A	Dividend			Sold	05/05/15	J	A	
55. Templeton Global Bond Adv	A	Dividend	J	T	Buy (add'l)	05/05/15	J		
56.					Sold (part)	05/05/15	J	A	
57.					Sold (part)	07/15/15	J	A	
58. Thornburg Investment Income Bldr		None			Buy (add'l)	03/26/15	J		
59.					Buy (add'l)	05/05/15	J		
60.					Sold	05/05/15	J	A	
61. Thornburg Dev World Fd	A	Dividend	J	T	Buy (add'l)	05/05/15	J		
62.					Sold (part)	05/05/15	J	A	
63.					Sold (part)	07/10/15	J	A	
64. UBS AG E Tracs Alern ETN	A	Dividend			Sold (part)	05/05/15	J	A	
65.					Sold (part)	07/10/15	J	A	
66.					Sold	12/23/15	J	A	
67. Wisdom Tree Euro Hedged	A	Dividend			Buy	01/28/15	J		
68.					Sold (part)	05/05/15	J	A	

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69.					Sold	07/15/15	J	A	
70. Vanguard FTSE Europe ETF		None			Sold	01/28/15	J	A	
71. Prudential Premier Retirement Variable Annuity (H)									
72. -AST Franklin Templeton		None			Buy	04/01/15	J		
73. AST Franklin Templeton		None			Buy (add'l)	10/01/15	J		
74. AST Franklin Templeton		None			Sold	10/16/15	L	D	
75. -AST Prudential Growth		None	M	T	Buy	10/16/15	L		
76. -AST FI Pyramis		None			Sold	10/16/15	L	D	
77. -AST T Rowe Price		None	L	T	Buy	10/16/15	L		
78. -AST Advanced Strategies Portfolio		None	L	T					
79. -AST Schroders Global Tactical Portfolio		None	L	T					
80. Prudential Invt 18 Jennison		None	J	T	Buy	12/23/15	J		
81. Cash - Janney Montgomery Scott, LLC		None	J	T					
82. Rental Property I Income (Washington, DC)	E	Rent	O	S					
83. Rental Property II Income (Washington, DC)	D	Rent	N	W					
84. Vanguard Energy ETF		None			Sold	05/15/15	J	A	

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

Part VII. Investments and Trusts.

Line Item 74: One-half interest Rental Property I (Washington, DC) - the assessed total value is \$840,000

Line Item 75: One-third interest in Rental Property II (Washington, DC) - the estimated total value is \$500,000.

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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/ **Emmet G. 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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544