

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) O'Sullivan, John J.	2. Court or Organization U.S. District Court- SDFL	3. Date of Report 04/15/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (full-time)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address U.S. District Court 301 North Miami Ave, 5th Floor Miami, FL 33128		
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. Instructor	University of Miami School of Law
2. Executive Board	Eugene P. Spellman Inn of Court
3. Board Member	Federal Bar Association, South Florida Chapter
4. Advisory Committee	Legal Up
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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Name of Person Reporting

O'Sullivan, John J.

Date of Report

04/15/2020

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. 2019	University of Miami School of Law, Adjunct Professor	\$6,000.00
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. 2019	State of Florida Retirement System
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.				

Name of Person Reporting	Date of Report
O'Sullivan, John J.	04/15/2020

V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
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.)

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

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. U.S. Savings Bonds	D	Interest	M	T					
2. Miami Federal Credit Union Accounts	A	Interest	J	T					
3. CIT Bank	C	Interest	M	T					
4. Robertson Stephens Value and Growth Fund	B	Dividend	K	T					
5. Value Line Mutual Fund (VLIFX)		None	K	T					
6. Value Line Larger Companies Mutual Fund (VALLX)	B	Dividend	K	T					
7. Internet Mutual Fund (WWWFX)	A	Dividend	K	T					
8. Munder Mutual Fund (MNNAX)	A	Dividend	K	T					
9. Vanguard Midcap Fund (VIMSX)	A	Dividend	J	T					
10. State of Florida Prepaid College Fund		None	J	W					
11.									
12.									
13.									
14. Fidelity Small Cap Stock Fund	A	Dividend	K	T					
15. Wells Fargo Ent Fund (SENAX)	A	Dividend	J	T					
16. Hennessy Mutual Fund (GASFX)	A	Dividend	J	T					
17. Vantage Trust Morel Portfolio Long Term Growth Funds		None	M	T	Sold (part)	01/29/19	J		

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

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

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.)

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18.					Sold (part)	03/05/19	J		
19.					Sold (part)	07/09/19	J		
20.					Sold (part)	08/16/19	J		
21.					Sold (part)	09/05/19	J		
22.					Sold (part)	12/04/19	J		
23.									
24. Bank of America	A	Interest	J	T					
25. Corning Inc stock (GLW)	A	Dividend	J	T					
26. Facebook stock (FB)		None	K	T					
27. Alibaba Group stock (BABA)		None	K	T					
28. Apple stock (AAPL)	A	Dividend	K	T					
29. Freddie Mac stock (FMCC)		None	J	T					
30. FS Energy and Power Fund (FSEP)	B	Dividend	J	T					
31. American Finance Tr (AFIN)	A	Dividend	J	T					
32.									
33.									
34. Bank of the West	A	Int./Div.	J	T					

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(See Column C2)

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35. FZDXX	A	Int./Div.	J	T	Buy	02/07/19	J		
36. Global Net Lease (GNL)	C	Dividend	K	T					
37. AEPFX	A	Dividend	J	T					
38. ASPZX	B	Dividend	K	T					
39. ODVYX	A	Dividend	K	T					
40. PCBIX	A	Dividend	K	T					
41. GOGIX	A	Dividend	K	T					
42. DWGHX	A	Dividend	K	T					
43. IBB	A	Dividend	K	T					
44. Oppenheimer Small Cap ETF (RWJ)	A	Dividend			Sold	08/01/19	J	B	
45. AGOZX	A	Int./Div.	J	T	Buy	08/01/19	J		
46.									
47. CWICX	A	Dividend	J	T	Sold (part)	11/14/19	J		
48. CDWCX	A	Dividend	J	T	Sold (part)	06/18/19	J		
49.					Sold (part)	11/14/19	J		
50. CEUCX	A	Distribution	J	T	Sold (part)	06/18/19	J		
51.					Sold (part)	11/14/19	J		

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(See Columns B1 and D4)

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52. CNGCX	A	Distribution	J	T	Sold (part)	06/18/19	J		
53. CNWCX	A	Distribution	J	T	Sold (part)	06/18/19	J		
54.					Sold (part)	11/14/19	J		
55. CSPCX	A	Dividend	J	T	Sold (part)	11/14/19	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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Name of Person Reporting

O'Sullivan, John J.

Date of Report

04/15/2020

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

On July 26, 2017 my shares in DWGAX were converted to shares in DWGHX. I inadvertently omitted that information from my 2017 report. My investment is now properly reported on line 40 of this report.

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Name of Person Reporting

O'Sullivan, John J.

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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/ **John J. O'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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