

FINANCIAL DISCLOSURE REPORT
NOMINATION FILING

1. Person Reporting (last name, first, middle initial) Sullivan , Richard J	2. Court or Organization Southern District of New York	3. Date of Report 02/16/2007
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US District Judge -- Nominee	5a. Report Type (check appropriate type) ☒ Nomination, Date 02/15/2007 ☐ Initial ☐ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2006 to 1/30/2007
7. Chambers or Office Address Marsh Inc 1166 Avenue of the Americas New York, NY 10036	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 instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Managing Director and General Counsel	Marsh Inc.
2. Vice President and Deputy General Counsel-Litigation	Marsh & McLennan Companies Inc.
3.	
4.	
5.	

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

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 2005	Federal Employees Pension Plan; pension upon age 65
2. 2005-2007	Marsh & McLennan Companies Inc Pension Plan; pension upon retirement age 65
3.	

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of instructions.)

A. Filer's Non-Investment Income

☐ NONE (No reportable non-investment income.)

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2005	Marsh & McLennan Companies, Inc	\$ 207,475.33
2. 2006	Marsh & McLennan Companies, Inc.	\$ 606,520.02
3. 2007	Marsh & McLennan Companies, Inc.	\$ 39,583.00
4.		
5.		

B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, complete this section.
(Dollar amounts not required except for honoraria.)

☐ NONE (No reportable non-investment income.)

DATE	SOURCE AND TYPE
1. 2006	Self-employed; part-time bookkeeper
2.	
3.	
4.	
5.	

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.
(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☐ NONE (No reportable reimbursements.)

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

V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of instructions.)*

☐ NONE *(No reportable gifts.)*

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

VI. LIABILITIES. *(Includes those of spouse and dependent children. See pp. 32-34 of instructions.)*

☒ NONE *(No reportable liabilities.)*

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

VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset except 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, merger, redemption)	If not exempt from disclosure			
						(2) Date Month Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Roslyn Savings Bank Accounts	B	Interest	J	T	EXEMPT				
2. Roslyn Savings Bank - CD	B	Interest	L	T					
3. JPMorgan Chase Bank Accounts	A	Interest	L	T					
4. New York Community Bancorp Common Stock	D	Dividend	K	T					
5. Merrill Lynch Institutional Tax Exempt Fund (Money Market)	A	Interest	M	T					
6. Merrill Lynch 529 College Savings Accounts	A	Interest	L	T					
7. Merrill Lynch Nuveen Tradewinds International Fund	A	Dividend	K	T					
8. Merrill Lynch Matthews Pacific Fund	A	Dividend	J	T					
9. Merrill Lynch NFJ Dividend Value Fund	A	Dividend	K	T					
10. Merrill Lynch American Funds Growth Fund of America	A	Dividend	K	T					
11. Merrill Lynch Third Avenue Value Fund	A	Dividend	K	T					
12. Merrill Lynch Cohen & Steers Realty Shares	A	Dividend	J	T					
13. Merrill Lynch Loomis Sayles Bond Fund	A	Dividend	L	T					
14. Fidelity IRA Magellan Fund	B	Dividend	J	T					
15. Salomon Smith Barney IRA Dow Street Unit Investment	B	Dividend	J	T					
16. Fidelity Institutional Short Term Government	A	Dividend	J	T					
17.									

1. Income Code	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
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = \$5,000,001 - \$25,000,000	I2 = \$25,000,001 - \$50,000,000
2. Value Codes	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
(See Columns C1 and D3)	W = \$250,001 - \$500,000	X = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	T = Cash Market
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessed	U = Book Value	
(See Column E2)	V = Other	W = Estimated			

FINANCIAL STATEMENT

NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS				LIABILITIES			
Cash on hand and in banks		276	339	Notes payable to banks-secured			
U.S. Government securities-add schedule				Notes payable to banks-unsecured			
Listed securities-add schedule		42	611	Notes payable to relatives			
Unlisted securities--add schedule				Notes payable to others			
Accounts and notes receivable:				Accounts and bills due			
Due from relatives and friends				Unpaid income tax			
Due from others				Other unpaid income and interest			
Doubtful				Real estate mortgages payable-add schedule			
Real estate owned-add schedule				Chattel mortgages and other liens payable			
Real estate mortgages receivable				Other debts-itemize:			
Autos and other personal property		38	000				
Cash value-life insurance							
Other assets itemize:							
See attached schedule		370	250				
				Total liabilities			
				Net Worth		727	200
Total Assets		727	200	Total liabilities and net worth		727	200
CONTINGENT LIABILITIES				GENERAL INFORMATION			
As endorser, comaker or guarantor				Are any assets pledged? (Add schedule)	NO		
On leases or contracts				Are you defendant in any suits or legal actions?	NO		
Legal Claims				Have you ever taken bankruptcy?	NO		
Provision for Federal Income Tax							
Other special debt							