

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 05/15/2018
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 01/01/2017 to 12/31/2017
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

Sullivan, Richard J.

Date of Report

05/15/2018

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. 2017	Columbia Law School	\$27,765.00
2. 2017	Matthew Bender & Co, Inc. (Book Royalties)	\$1,638.39
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. 2017	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. ABA Insurance Litigation Section	03/01-03/2017	Tucson, AZ	Bar Association Panel	Transportation, Meals, Lodging
2. ABA Antitrust Section	03/29-30/2017	Washington, DC	Bar Association Panel	Transportation, Meals, Lodging
3. University of Chicago Law School	04/23-25/2017	Chicago, IL	Law School Moot Court Competition	Transportation, Meals, Lodging
4. University of Padua	07/18-21/2017	Treviso, Italy	Law School Lecture and Class	Transportation, Meals, Lodging
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

Sullivan, Richard J.

Date of Report

05/15/2018

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 7

Name of Person Reporting

Sullivan, Richard J.

Date of Report

05/15/2018

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	L	T					
3. JP Morgan 529 College Savings Acct #1 (H)									
4. -- JP Morgan Moderate Age Based Portfolio C (Age 15-17 Years)	A	Interest	K	T					
5. JP Morgan 529 College Savings Acct #2 (H)									
6. -- JP Morgan Moderate Age Based Portfolio C (Age 15-17 Years)	A	Interest	K	T					
7. JP Morgan 529 College Savings Acct #3 (H)									
8. -- JP Morgan Moderate Age Based Portfolio C (Age 10-12)	A	Interest	J	T					
9. Merrill Lynch Cash Management Account	A	Interest	J	T					
10. American Express Cash Account	A	Interest	N	T					
11. Merrill Lynch IRA - Matthews Asian Funds Pacific Tigers	A	Dividend			Sold	03/24/17	J		
12. Merrill Lynch IRA - Loomis Sayles Bond Fund	B	Dividend	K	T	Sold (part)	03/24/17	K		
13. Merrill Lynch IRA - BlackRock Global Allocation Fund (A)	A	Dividend	J	T					
14. Merrill Lynch IRA - Western Asset Management Core Bond Fund	A	Int./Div.	L	T	Sold (part)	03/24/17	J		
15. Merrill Lynch IRA - AllianzGI International Value Fund	A	Dividend	K	T	Sold (part)	03/24/17	J		
16. Merrill Lynch IRA - Oakmark International Fund	A	Dividend	K	T	Sold (part)	03/24/17	J		
17. Merrill Lynch IRA (Cash)	A	Interest	J	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$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) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

Sullivan, Richard J.

Date of Report

05/15/2018

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 I (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. Merrill Lynch IRA -- Cohen & Steers Real Estate Securities Fund	A	Dividend	K	T	Buy (add'l)	03/24/17	J		
19. Merrill Lynch IRA -- I Shares Russell 1000 Growth Fund	A	Dividend	K	T	Sold (part)	03/24/17	L		
20. Merrill Lynch IRA -- I Shares MSCI Emerging Markets Fund	A	Dividend			Sold	03/24/17	J		
21. Merrill Lynch IRA -- I Shares Select Dividend Fund	B	Dividend	L	T	Buy (add'l)	03/24/17	J		
22. Merrill Lynch IRA -- I Shares High Dividend Fund	A	Dividend	K	T	Buy (add'l)	03/24/17	J		
23. Merrill Lynch IRA -- JP Morgan Undiscovered Mgrs BehavioralFund	B	Dividend	K	T	Sold (part)	03/24/17	J		
24. Merrill Lynch IRA -- Entrustpermal Alternative Core Fund CLI (LPTIX)	A	Dividend	K	T	Buy	03/24/17	K		
25. Merrill Lynch IRA -- Clearbridge Aggressive Growth Fund I (SAGYX)	B	Dividend	K	T	Buy	03/24/17	K		
26. Merrill Lynch IRA -- AQR Managed Futures Strategy Fund CLI (AQMIX)	A	Dividend	K	T	Buy	03/24/17	K		

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 7

Name of Person Reporting

Sullivan, Richard J.

Date of Report

05/15/2018

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

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Sullivan, Richard J.

Date of Report

05/15/2018

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544