

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 08/10/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active District Court Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 333 Constitution Avenue, NW Washington, D.C. 20001		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the <i>NONE</i> box for each part where you have no reportable information. Insert signature on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

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.)

DATE

PARTIES AND TERMS

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. 2011	Pension (D.C. Government)	\$61,100.00
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.	
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. Rental Property I Income (Washington, D.C.)	E	Rent	O	S					
2. Rental Property II Income (Washington, D.C.)	C	Rent	N	W					
3. Janney Montgomery IRA									
4. Prudential Variable Annuity		None	N	T	Buy	01/14/11	N		
5. Janney Montgomery IRA									
6. Columbia Marisco 21st Fund		None			Sold	10/3/11	J	A	See Part VIII
7. Calamos Growth Fund A		None			Sold	10/3/11	J	A	
8. First Eagle Fund		None			Sold	10/3/11	J	A	
9. Thornburg Income Builder Fund A	A	Dividend	J	T	Sold (part)	10/3/11	J	A	See Part VIII
10. Thornburg Int'l Value Fund	A	Dividend	J	T	Sold (part)	10/3/11	J	A	See Part VIII
11. Allianz NFJ Dividend Value Fund		None			Sold	10/3/11	J	A	See Part VIII
12. Allianz Small Cap Value Fund		None			Sold	10/3/11	J	B	See Part VIII
13. First Trust Div. Leaders Index Fund	A	Dividend	J	T	Buy	10/3/11	J		
14. Harbor Int'l Fund	A	Dividend	J	T	Buy	10/3/11	J		
15. ING Global Real Estate Fund		None	J	T	Buy	10/3/11	J		
16. I Shares Russell 1000 Value Index Fund	A	Dividend	J	T	Buy	10/3/11	J		
17. I Shares Russell 1000 Growth Index Fund	A	Dividend	J	T	Buy	10/3/11	J		

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	F = \$50,001 - \$100,000 (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 \$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	

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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				
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18. Munder Mid Cap Growth Fund		None	J	T	Buy	10/3/11	J		
19. T Rowe Price Equity Income Fund	A	Dividend	J	T	Buy	10/3/11	J		
20. T Rowe Price Growth Stock Fund	A	Dividend	J	T	Buy	10/3/11	J		
21. T Rowe Price Emerging Mkts Stock Fund	A	Dividend	J	T	Buy	10/3/11	J		
22. Royce Total Return Fund	A	Dividend	J	T	Buy	10/3/11	J		
23. Security Equity Mid Cap Value Fund	A	Dividend	J	T	Buy	10/3/11	J		
24. SPDR Index S&P Emerging Mkts ETF	A	Dividend	J	T	Buy	10/3/11	J		
25. Wisdomtree Managed Futures	A	Dividend	J	T	Buy	10/3/11	J		
26. Mainstay High Yield Corp Bond Fund	A	Dividend	J	T	Buy	10/3/11	J		
27. Mainstay Floating Rate Fund	A	Dividend	J	T	Buy	10/3/11	J		
28. PIMCO Total Return Fund	A	Dividend	J	T	Buy	10/3/11	J		
29. PIMCO Unconstrained Bond Fund	A	Dividend	J	T	Buy	10/3/11	J		
30. Prudential Short Term Corp. Bd. Fund	A	Dividend	J	T	Buy	10/3/11	J		
31. Templeton Global Bond Fund	A	Dividend	J	T	Buy	10/3/11	J		
32. Janney Montgomery Fund									
33. Allianz NFJ Dividend Value Fund		None			Sold	2/3/11	J	A	See Part VIII
34. Capital Income Bldr Fund, Class A		None			Sold	10/14/11	K	A	

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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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35. Eaton Vance SMID Cap Fund		None			Sold	10/14/11	J	A	
36. Henderson Int'l Opportunities Fund		None			Sold	2/3/11	J	A	See Part VIII
37. Ivy Funds Inc.		None			Sold	10/14/11	J	A	
38. Keeley Funds Inc.		None			Sold	10/14/11	J	A	
39. Kinetics Mutual Funds	A	Dividend			Sold	10/14/11	J	A	
40. NFJ Div Int and Strategy Fund		None			Sold	10/14/11	K	A	
41. Prudential Jennison 20/20	A	Dividend			Sold	10/14/11	J	A	
42. Thornburg Int'l Value Fund	A	Dividend	J	T	Sold (part)	10/14/11	J	A	See Part VIII
43. Thornburg Income Builder Fund	A	Dividend	J	T	Sold (part)	10/14/11	J	A	See Part VIII
44. D.C. Hsg Fin Agy Mun Bond	A	Distribution			Redeemed	1/3/11	J	A	
45. Janney Advantage Insured Sweep	A	Interest	J	T					
46. Prudential Equity Income Fund	A	Dividend			Buy	2/3/11	J		
47. Prudential Equity Income Fund	A	Dividend			Sold	10/14/11	J	A	
48. Harbor Int'l Fund	A	Dividend			Buy	2/3/11	J		
49. Harbor Int'l Fund	A	Dividend			Sold	10/14/11	J	A	
50. First Trust Div. Leaders Index Fund	A	Dividend	J	T	Buy	10/14/11	J		
51. ING Global Real Estate Fund		None	J	T	Buy	10/14/11	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. I Shares Russell 1000 Value Fund Index	A	Dividend	J	T	Buy	10/14/11	J		
53. I Shares Russell 1000 Growth Index Fund	A	Dividend	J	T	Buy	10/14/11	J		
54. Munder Mid Cap Growth Fund		None	J	T	Buy	10/14/11	J		
55. T Rowe Price Equity Income Fund	A	Dividend	J	T	Buy	10/14/11	J		
56. T Rowe Price Growth Stock Fund	A	Dividend	J	T	Buy	2/3/11	J		
57. T Rowe Price Emerging Markets Stock Fund	A	Dividend	J	T	Buy	10/14/11	J		
58. Royce Total Return Fund	A	Dividend	J	T	Buy	2/3/11	J		
59. Security Equity Mid Cap Fund	A	Dividend	J	T	Buy	10/14/11	J		
60. SPDR Index S&P Emerging Mkts ETF	A	Dividend	J	T	Buy	10/14/11	J		
61. Wisdomtree Managed Futures Fund	A	Dividend	J	T	Buy	10/14/11	J		
62. Mainstay High Yield Corp. Bonds Fund	A	Dividend	J	T	Buy	10/14/11	J		
63. Mainstay Floating Rate Fund	A	Dividend	J	T	Buy	10/14/11	J		
64. PIMCO Total Return Fund	A	Dividend	J	T	Buy	10/14/11	J		
65. PIMCO Unconstrained Bond Fund	A	Dividend	J	T	Buy	10/14/11	J		
66. Presidential Short Term Corp. Bond Fund	A	Dividend	J	T	Buy	10/14/11	J		
67. Templeton Global Bond Fund	A	Dividend	J	T	Buy	10/14/11	J		
68.									

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69.									
70.									
71.									

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

Part VII. Investments and Trusts

Line Item 1. One-half interest Rental Property I (Washington, D.C.) - the assessed total value is \$ 840,000.

Line Item 2. One-third interest in Rental Property II (Washington, D.C.) - the estimated total value is \$340,000.

Line 6. Was labeled Columbia FDS Class A last year, is actually Columbia Marisco 21st

Line 9. Was labeled Thornburg Value Fund A last year, is actually Thornburg Income Builder

Lines 10 & 12 & 43. Were inadvertently omitted in last year's report

Line 11. Was labeled Allianz Orr. Ren. A last year, is actually Allianz NFJ Dividend Value

Line 33. Was labeled Allianz Funds Multi Manager last year, is actually Allianz NFJ Dividend Value Fund

Line 36. Was labeled Henderson Global last year, is actually Henderson Int'l Oppotunities

Line 42. Was labeled Thornburg Investment Trust last year, is actually Thornburg Int'l Value

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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