

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 06/11/2014
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 01/01/2013 to 12/31/2013
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 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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Sullivan, Emmet G.

Date of Report

06/11/2014

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. 2013	Pension (D.C. Government)	\$65,000.00
2. 2013	Adjunct Professor, American University Washington College of Law	\$12,000.00
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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Sullivan, Emmet G.

Date of Report

06/11/2014

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 9

Name of Person Reporting

Sullivan, Emmet G.

Date of Report

06/11/2014

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					See Part VIII
2. Rental Property II Income (Washington, D.C.)	D	Rent	N	W					See Part VIII
3. Janney Montgomery IRA									
4. Prudential Variable Annuity		None	N	T					
5. Janney Montgomery IRA									
6. Thornburg Income Builder Fund A	A	Dividend	J	T	Sold (part)	10/22/13	J	A	
7. Thornburg Int'l Value Fund	A	Dividend	J	T					
8. First Trust Div. Leaders Index Fund	A	Dividend	J	T	Sold (part)	10/22/13	J	A	
9. Harbor Int'l Fund	A	Dividend	J	T					
10. ING Global Real Estate Fund	A	Dividend	J	T					
11. I Shares Russell 1000 Value Index Fund	A	Dividend	J	T					
12. I Shares Russell 1000 Growth Index Fund	A	Dividend	J	T					
13. Munder Mid Cap Growth Fund	A	Dividend	J	T					
14. T Rowe Price Equity Income Fund	A	Dividend	J	T	Sold (part)	10/22/13	J	A	
15. T Rowe Price Growth Stock Fund	A	Dividend	J	T	Sold (part)	10/22/13	J	A	
16. T Rowe Price Emerging Mkts Stock Fund	A	Dividend	J	T	Buy (add'l)	10/22/13	J		
17. Royce Total Return Fund	A	Dividend	J	T					

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 \$5,000,000	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 5 of 9

Name of Person Reporting

Sullivan, Emmet G.

Date of Report

06/11/2014

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)

18. SPDR Index S&P Emerging Mkts ETF	A	Dividend	J	T					
19. Mainstay High Yield Corp Bond Fund	A	Dividend	J	T	Sold (part)	01/10/13	J	A	
20. Mainstay Floating Rate Fund	A	Dividend	J	T	Buy (add'l)	01/10/13	J		
21. Mainstay Floating Rate Fund	A	Dividend	J	T	Buy (add'l)	10/22/13	J		
22. PIMCO Total Return Fund	A	Dividend	J	T	Sold (part)	01/10/13	J	A	
23. PIMCO Unconstrained Bond Fund	A	Dividend	J	T					
24. Prudential Short Term Corp. Bd. Fund	A	Dividend	J	T	Sold (part)	01/10/13	J	A	
25. Templeton Global Bond Fund	A	Dividend	J	T					
26. Alps Alerian MLP ETF	A	Dividend	J	T					
27. JP Morgan Mid Cap Value	A	Dividend	J	T					
28. PIMCO Commodity Real Return	A	Dividend	J	T					
29. Global X SuperDividend	A	Dividend	J	T	Buy	10/22/13	J		
30. Vanguard Europe	A	Dividend	J	T	Buy	01/10/13	J		
31. Weitz Value		None	J	T	Buy	10/22/13	J		
32. Dreyfus Cash Management 288	A	Interest	J	T	Buy	04/17/13	J		
33. Janney Advantage Insured Sweep	A	Interest			Sold	04/17/13	J	A	See Part VIII
34. Janney Montgomery Fund									

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 9

Name of Person Reporting

Sullivan, Emmet G.

Date of Report

06/11/2014

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)

35. Thornburg Int'l Value Fund	A	Dividend	J	T	Sold (part)	10/22/13	J	A	
36. Thornburg Income Builder Fund	A	Dividend	J	T	Sold (part)	10/22/13	J	A	
37. Janney Advantage Insured Sweep	A	Interest			Sold	04/17/13	J	A	
38. Dreyfus Cash Management 288	A	Interest	J	T	Buy	04/17/13	J		
39. Harbor Int'l Fund	A	Dividend	J	T					
40. First Trust Div. Leaders Index Fund	A	Dividend	J	T	Sold (part)	10/22/13	J	B	
41. ING Global Real Estate Fund	A	Dividend	J	T					
42. 1 Shares Russell 1000 Value Fund Index	A	Dividend	J	T					
43. 1 Shares Russell 1000 Growth Index Fund	A	Dividend	J	T					
44. Munder Mid Cap Growth Fund	A	Dividend	J	T					
45. T Rowe Price Equity Income Fund	A	Dividend	J	T	Sold (part)	10/22/13	J	B	
46. T Rowe Price Growth Stock Fund	A	Dividend	J	T	Sold (part)	10/22/13	J	B	
47. T Rowe Price Emerging Markets Stock Fund	A	Dividend	J	T	Buy (add'l)	10/22/13	J		
48. Royce Total Return Fund	A	Dividend	J	T					
49. SPDR Index S&P Emerging Mkts ETF	A	Dividend	J	T					
50. Mainstay High Yield Corp. Bonds Fund	A	Dividend	J	T	Sold (part)	01/10/13	J	A	
51. Mainstay Floating Rate Fund	A	Dividend	J	T	Buy (add'l)	01/10/13	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Sullivan, Emmet G.

Date of Report

06/11/2014

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)

52. Mainstay Floating Rate Fund	A	Dividend	J	T	Buy (add'l)	10/22/13	J		
53. PIMCO Total Return Fund	A	Dividend	J	T	Sold (part)	01/10/13	J	A	
54. PIMCO Total Return Fund	A	Dividend	J	T	Sold (part)	10/22/13	J	A	
55. PIMCO Unconstrained Bond Fund	A	Dividend	J	T					
56. Prudential Short Term Corp. Bond Fund	A	Dividend	J	T	Sold (part)	01/10/13	J	A	
57. Templeton Global Bond Fund	A	Dividend	J	T					
58. Alps Alerian MLP ETF	A	Dividend	J	T	Buy (add'l)	01/10/13	J		
59. Alps Alerian MLP ETF	A	Dividend	J	T	Buy (add'l)	10/22/13	J		
60. JP Morgan Fleming Capital Mid Cap Value	A	Dividend	J	T					
61. PIMCO Commodity Real Return	A	Dividend	J	T					
62. Global X Superdividend	A	Dividend	J	T	Buy	10/22/13	J		
63. Vanguard Europe ETF	A	Dividend	J	T	Buy	01/10/13	J		
64. Vanguard Europe ETF	A	Dividend	J	T	Buy (add'l)	10/22/13	J		
65. Weitz Value		None	J	T	Buy	10/22/13	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 \$5,000,000	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 8 of 9

Name of Person Reporting

Sullivan, Emmet G.

Date of Report

06/11/2014

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 \$500,000.

Lines 33. Last year's report inadvertently omitted Janney Advantage Insured Sweep.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Sullivan, Emmet G.

Date of Report

06/11/2014

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