

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 08/24/2017
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 01/01/2016 to 12/31/2016
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.	

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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. 2016	Columbia Law School	\$27,499.00
2. 2016	Matthew Bender & Co, Inc. (Book Royalties)	\$1,948.45
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. 2016	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	03/03-04/2016	Tucson, AZ	Bar Association Panel	Transportation, Meals, Lodging
2. Stadium Generale Marcianum	03/9-11/2016	Venice, Italy	Moot Court Competition	Transportation, Meals, Lodging
3. University of Virginia Law School	04/06-07/2016	Charlottesville, VA	Law School Panel	Transportation, Meals, Lodging
4. Harvard Law School	10/26-27/2016	Cambridge, MA	Law School Panel and Class	Transportation, Meals, Lodging
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.)*

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.		

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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. JPMorganChase Bank Accounts	A	Interest	J	T					
2. New York Community Bancorp Common Stock	D	Dividend	M	T					
3. JP Morgan 529 College Savings Acct #1 (H)									
4. -- JP Morgan Moderate Age Based Portfolio C (Age 13-14 Years)	A	Interest	K	T					
5. JP Morgan 529 College Savings Acct #2 (H)									
6. -- JP Morgan Moderate Age Based Portfolio C (Age 13-14 Years)	A	Interest	K	T					
7. JP Morgan 529 College Savings Acct #3 (H)									
8. -- JP Morgan Moderate Age Based Portfolio C (Age 6-9)	A	Interest	J	T					
9. Merrill Lynch Cash Management Account	A	Interest	K	T	Distributed (part)	03/07/16	N		Transferred cash to Amex
10. American Express Cash Account	A	Interest	N	T	Open	03/07/16	N		Transferred cash from MLCM
11. Merrill Lynch IRA - Matthews Asian Funds Pacific Tigers	A	Dividend	J	T					
12. Merrill Lynch IRA - Cohen & Steers Realty Shares	A	Dividend			Sold	11/01/16	K	B	
13. Merrill Lynch IRA - Loomis Sayles Bond Fund	A	Int./Div.	K	T					
14. Merrill Lynch IRA - BlackRock Global Allocation Fund (A)	A	Dividend	J	T					
15. Merrill Lynch IRA - Western Asset Management Core Bond Fund	B	Int./Div.	L	T					
16. Merrill Lynch IRA - AllianzGI International Value Fund	A	Dividend	K	T					
17. Merrill Lynch IRA - Oakmark International Fund	A	Dividend	K	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 = \$250,001 - \$500,000	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	

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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				
	(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 (Cash)	A	Dividend	J	T					
19. Merrill Lynch IRA -- Cohen & Steers Real Estate Securities Fund	A	Dividend	K	T	Buy	11/01/16	K		
20. Merrill Lynch IRA -- I Shares Russell 1000 Growth Fund	A	Dividend	L	T	Buy	01/05/16	L		
21. Merrill Lynch IRA -- I Shares MSCI Emerging Markets Fund	A	Dividend	J	T	Buy	01/05/16	J		
22. Merrill Lynch IRA -- I shares Select Dividend Fund	D	Dividend	L	T	Buy	01/05/16	K		
23. Merrill Lynch IRA -- I Shares High Dividend Fund	B	Dividend	J	T	Buy	01/05/16	J		
24. Merrill Lynch IRA -- JP Morgan Undiscovered Mgrs BehavioralFund	B	Dividend	K	T	Buy	06/08/16	K		

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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.)*

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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/ **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