

**FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2007**

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

<b>1. Person Reporting</b> (last name, first, middle initial) Sullivan, Richard J	<b>2. Court or Organization</b> Southern District of New York	<b>3. Date of Report</b> 05/09/2008
<b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US District Judge -- Active	<b>5a. Report Type</b> (check appropriate type) <input type="checkbox"/> Nomination.                      Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final	<b>6. Reporting Period</b> 01/01/2007 to 12/31/2007
	<b>5b.</b> <input type="checkbox"/> Amended Report	
<b>7. Chambers or Office Address</b> United States Courthouse 500 Pearl Street, Room 615 New York, NY 10007	<b>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.</b>  Reviewing Officer _____ Date _____	
<b>IMPORTANT NOTES:</b> 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 filing instructions.)

NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Managing Director and General Counsel (Resigned 8/3/07)	Marsh Inc.
2. Vice President and Deputy General Counsel (Resigned 8/3/07)	Marsh & McLennan Companies, Inc.
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. 2005	Federal Employees Pension Plan; pension upon age 65
2. 2007	Marsh & McLennan Companies Inc. Pension Plan; terminated 8/3/07
3.	

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Name of Person Reporting

Sullivan, Richard J

Date of Report

05/09/2008

**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> <i>(yours, not spouse's)</i>
1. 2007	Marsh & McLennan Companies Inc. (Salary and Bonus)	\$ 977,566.00
2. 2007	Marsh & McLennan Companies Stock Investment Supp. Plan	\$ 29,241.86
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. 2007	Self-employed; part-time bookkeeper
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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Name of Person Reporting

Sullivan, Richard J

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05/09/2008

**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**

Name of Person Reporting

Sullivan, Richard J

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05/09/2008

**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 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	A	Interest	L	T					
2. Roslyn Savings Bank -- CD	A	Interest	J	T	Closed				
3. JPMorganChase Bank Accounts	D	Interest	L	T					
4. New York Community Bancorp Common Stock	C	Dividend	L	T					
5. Merrill Lynch Cash Management Account	E	Interest	O	T					
6. 529 College Savings Accounts	C	Interest	L	T					
7. Merrill Lynch Nuveen Tradewinds International Fund	B	Dividend	K	T					
8. Merrill Lynch Matthews Asian Funds Pacific Tigers	B	Dividend	J	T					
9. Merrill Lynch Allianz NFJ Dividend Value Fund	A	Dividend	K	T					
10. Merrill Lynch American Funds Growth Fund of America	C	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	D	Dividend	L	T					
14.									
15. Marsh & McLennan Cos. Inc. Common Stock (X)	A	Dividend	J	T	Vested	9/07	J		
16. Merrill Lynch BlackRock Global Allocation Fund (X)	A	Dividend	J	T	Opened	7/07	J		
17.									

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 = \$250,000,001 - \$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)	● = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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Sullivan, Richard J	05/09/2008

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

Part VII, Line 2 -- Roslyn CD term expired; automatically converted to savings account

"BankofAmerica - Interest on Security Deposit," previously set forth in Part VII, Line 14, has been deleted, as it is non-reportable (less than \$5000).

Assets listed in Part VII, Lines 14-16 of my Nomination Report -- "Fidelity IRA Magellan Fund," "Salomon Smith Barney IRA Dow Street Unit Investment," and "Fidelity Institutional Short Term Government" -- were rolled over to Merrill Lynch Funds set forth in Part VII, Lines 7-13 and 16.

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Name of Person Reporting

Sullivan, Richard J

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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/7/08

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

**FILING INSTRUCTIONS**

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure  
Administrative Office of the United States Courts  
Suite 2-301  
One Columbus Circle, N.E.  
Washington, D.C. 20544

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Signature \_\_\_\_\_



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One Columbus Circle, N.E.  
Washington, D.C. 20544