

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK
UNITED STATES COURTHOUSE
500 PEARL STREET
NEW YORK, NEW YORK 10007-1312
(212) 805-0264

CHAMBERS OF
RICHARD J. SULLIVAN
UNITED STATES DISTRICT JUDGE

July 6, 2009

Judicial Conference of the United States
Committee on Financial Disclosure
One Columbus Circle, N.E.
Washington, DC 20544

Re: Calendar Year 2008 Filing

Dear Judge Baldock and Committee:

I am in receipt of your letter dated June 18, 2008 (attached), concerning my 2008 financial disclosure report under the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 101-111). With respect to the "529 College Savings Accounts" described at Part VII, page 4, line 5 of my report, please be advised that the 529 accounts at issue are *not* self-directed, as it is not possible for me to select the assets within the plan. Rather, I am free only to select the level of risk to be incurred.

Please let me know if you require additional information from me regarding my report. As always, I am grateful for your assistance in these matters.

Sincerely,

A large black rectangular redaction box covering the signature and name of the sender.

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Rev. 1/2008

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2008

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 05/11/2009
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) <input type="checkbox"/> Nomination, Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final	6. Reporting Period 01/01/2008 to 12/31/2008
7. Chambers or Office Address United States Courthouse 500 Pearl Street, Room 615 New York, NY 10007	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. Reviewing Officer _____ Date _____	
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. 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. Adjunct Professor of Law	Fordham University School of Law
2.	
3.	
4.	
5.	
6.	

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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.	
3.	

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Name of Person Reporting

Sullivan, Richard J.

Date of Report

05/11/2009

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. 9-12/08	Fordham University School of Law	\$7,500.00
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. 2008	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. Federal Bar Council	10/24-26/08	Lenox, MA	Panelist at legal conf.	Hotel, meals
2. Georgetown e-Discovery Institute	11/20-21	Washington, DC	Panelist at legal conf.	Transportation, hotel, meals
3.				
4.				
5.				

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Name of Person Reporting

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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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Name of Person Reporting Sullivan, Richard J.	Date of Report 05/11/2009
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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 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			Closed	4/12	L		
2. JPMorganChase Bank Accounts	B	Interest	K	T					
3. New York Community Bancorp Common Stock	C	Dividend	L	T					
4. Marsh & McLennan Cos. Inc. Common Stock (X)	A	Dividend	J	T					
5. 529 College Savings Accounts	B	Interest	K	T					
6. Merrill Lynch Cash Management Account	D	Interest	O	T					
7. Merrill Lynch Nuveen Tradewinds International Fund	A	Dividend	K	T					
8. Merrill Lynch Matthews Asian Funds Pacific Tigers	A	Dividend	J	T					
9. Merrill Lynch Allianz NFJ Dividend Value Fund	B	Dividend	K	T					
10. Merrill Lynch American Funds Growth Fund of America	A	Dividend	K	T					
11. Merrill Lynch Third Avenue Value Fund	A	Dividend	J	T					
12. Merrill Lynch Cohen & Steers Realty Shares	A	Dividend	J	T					
13. Merrill Lynch Loomis Sayles Bond Fund	C	Dividend	K	T					
14. Merrill Lynch BlackRock Global Allocation Fund (X)	A	Dividend	J	T					
15.									
16.									
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 = \$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	

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

Part VII, Line 1 -- Roslyn Savings Bank Account was closed before the end of the reporting period.

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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 _____



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