AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
Sullivan, Richard J.	Second Circuit	05/14/2024
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
US Circuit Judge -- Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2023 **to** 12/31/2023
7. Chambers or Office Address		
United States Courthouse 500 Pearl Street, Room 2530 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☐ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.	2005	Federal Employees Pension Plan; pension upon age 65
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

☐ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.	2023	Columbia Law School	$31,815.04
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.)*

	DATE	SOURCE
1.	2023	
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☐ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	Harvard Law School /Harvard Law School Federalist Society	3/30-31/23	Cambridge, MA	Lecture at White Collar Crime class; Law School Talk on Judicial Security	Transportation, Hotel, Meals
2.	National Foundation for Judicial Excellence	7/28-30/23	Washington, DC	Speaker on Panel regarding Judicial Security	Transportation, Hotel, Meals
3.	International Consortium for Law and Religion Studies/ Brigham Young Law School	9/17-19/23	Milan, Italy	Moot Court Competition	Transportation, Hotel, Meals

4.	Catholic University of America Columbus School of Law	10/5-6/23	Washington, DC	Law School Talk on Natural Law	Transportation, Hotel, Meals
5.	Harvard Law School Federalist Society	10/19/23	Cambridge, MA	Law School Talk on Sentencing	Transportation, Meals

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Sullivan, Richard J.	05/14/2024

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
1.	JPMorganChase Bank Accounts	A	Interest	M	T					
2.	Roslyn Savings Bank Account	A	Interest	L	T					
3.	New York Community Bancorp Common Stock	D	Dividend	L	T					
4.	IBM Common Stock	D	Dividend	M	T					
5.	Kyndryl Common Stock		None	J	T					
6.	Residential Property [redacted]		None			Sold	01/11/23	M	G	
7.	JP Morgan 529 College Savings Acct #1 (H)									
8.	-- JP Morgan Moderate Age Based Portfolio C (Age 18+)	A	Interest	K	T	Sold (part)	12/15/23	J	D	
9.	JP Morgan 529 College Savings Acct #2 (H)									
10.	-- JP Morgan Moderate Age Based Portfolio C (Age 18+)	A	Interest	K	T					
11.	JP Morgan 529 College Savings Acct #3 (H)									
12.	-- JP Morgan Moderate Age Based Portfolio C (Age 16)	A	Interest	K	T					
13.	Merrill Lynch Cash Management Account	A	Interest	K	T					
14.	Merrill Lynch IRA (Cash)	A	Interest	J	T					
15.	Merrill Lynch IRA -- Blackrock Global Allocation Fund	A	Dividend	J	T					
16.	Merrill Lynch IRA -- Black Rock Liquidity Funds Tempcash	A	Dividend			Sold	04/04/23	K	E	
17.	Merrill Lynch IRA -- BLF Treasury Trust	B	Dividend	K	T	Buy	04/05/23	K		

1. Income Gain Codes: (See Columns B1 and D4) A =$1,000 or less; B =$1,001 - $2,500; C =$2,501 - $5,000; D =$5,001 - $15,000; E =$15,001 - $50,000; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000
2. Value Codes (See Columns C1 and D3) J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; N =$250,001 - $500,000; O =$500,001 - $1,000,000; P1 =$1,000,001 - $5,000,000; P2 =$5,000,001 - $25,000,000; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000
3. Value Method Codes (See Column C2) Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

Name of Person Reporting	Date of Report
Sullivan, Richard J.	05/14/2024

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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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
18.	Merrill Lynch IRA - Loomis Sayles Bond Fund	B	Dividend	K	T	Buy (add'l)	04/06/23	J		
19.	Merrill Lynch IRA - Western Asset Management Core Bond Fund	C	Int./Div.	L	T	Buy (add'l)	04/06/23	J		
20.	Merrill Lynch IRA - Oakmark International Fund	A	Dividend	K	T	Sold (part)	04/06/23	J	B	
21.	Merrill Lynch IRA -- Cohen & Steers Real Estate Securities Fund	A	Dividend	K	T	Buy (add'l)	04/06/23	J		
22.	Merrill Lynch IRA -- I Shares Russell 1000 Growth Fund	A	Dividend	K	T	Sold (part)	04/06/23	J	C	
23.	Merrill Lynch IRA -- I Shares Select Dividend Fund	C	Dividend	L	T	Buy (add'l)	04/06/23	J		
24.	Merrill Lynch IRA -- I Shares High Dividend Fund	B	Dividend	K	T	Sold (part)	04/06/23	J	D	
25.	Merrill Lynch IRA -- JP Morgan Undiscovered Mgrs BehavioralFund	B	Dividend	K	T	Buy (add'l)	04/06/23	J		
26.	Merrill Lyncy IRA -- Alger Small Cap Focus Fund	B	Dividend	K	T	Buy (add'l)	04/06/23	J		
27.	Merrill Lynch IRA -- Clearbridge Aggressive Growth Fund I (SAGYX)	D	Dividend	L	T					
28.	Merrill Lynch IRA -- AQR Managed Futures Strategy Fund CLI (AQMIX)	B	Dividend	K	T	Buy (add'l)	04/06/23	J		
29.	Merrill Lynch IRA -- American Euro Pacfic Fund	A	Dividend	K	T	Sold (part)	04/06/23	J	B	

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
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2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
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	U =Book Value	V =Other	W =Estimated		

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

For security reasons, I would like to redact [redacted] employer, at Part III-B, line 2, and the address of the residential property referenced at Part VII-A, line 6.

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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. § 13141 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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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