

# 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)<br><br>Lisi, Mary M                                                                                                                      | <b>2. Court or Organization</b><br><br>U.S. District Court - R. I.                                                                                                                                                                                                                        | <b>3. Date of Report</b><br><br>04/29/2008                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U.S. District Judge - Active                                               | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination, <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2007<br>to<br>12/31/2007 |
| <b>7. Chambers or Office Address</b><br><br>U.S. District Court<br>One Exchange Terrace<br>Providence, RI 02903                                                                                        | <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><br><br>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. Selection Committee Chair | Hassenfeld Family Foundation Rhode Island Public Service Fellowships     |
| 2. Member                    | Temple University School of Law Board of Visitors                        |
| 3. Member                    | University of Rhode Island President's Council                           |
| 4. Member                    | ABA - National Conference Federal Trial Court Judges Executive Committee |
| 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.          |                          |

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Name of Person Reporting

Lisi, Mary M

Date of Report

04/29/2008

**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><br>(yours, not spouse's) |
|-------------|------------------------|----------------------------------------|
| 1.          |                        |                                        |
| 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. 2007     | self-employed attorney |
| 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. Temple Univ. Law<br>School Board of Visitors | April<br>26-27, 2007 | Philadelphia, PA | Board of Visitors<br>Meeting | Lodging, ground transportation, lunch |
| 2.                                              |                      |                  |                              |                                       |
| 3.                                              |                      |                  |                              |                                       |
| 4.                                              |                      |                  |                              |                                       |
| 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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end of<br>reporting period |                                           | D.<br>Transactions during reporting period      |                               |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                    |   |          |   |   |  |  |  |  |  |
|----------------------------------------------------|---|----------|---|---|--|--|--|--|--|
| 1. Lincoln National Life Ins. Co., deferred income | A | Interest | K | T |  |  |  |  |  |
| 2. Citizens Bank, Providence, RI NOW Account       | A | Interest | K | T |  |  |  |  |  |
| 3. Nuveen Insured Municipal Bond Fund              | B | Dividend | K | T |  |  |  |  |  |
| 4. Citizens Bank - IRA (cash equivalent)           | A | Interest | J | T |  |  |  |  |  |
| 5. Citizens Bank - IRA (cash equivalent)           | A | Interest | K | T |  |  |  |  |  |
| 6. Bank RI - CD                                    | A | Interest | J | T |  |  |  |  |  |
| 7. 401(K) Retirement Plan                          | E | Dividend | O | T |  |  |  |  |  |
| 8. - Dreyfus Bond Market Index Fund                |   |          |   |   |  |  |  |  |  |
| 9. -Federated Capital Appreciation Fund A          |   |          |   |   |  |  |  |  |  |
| 10. - Janus Advisor Flexible Income Fund           |   |          |   |   |  |  |  |  |  |
| 11. - MFS Total Return Fund A                      |   |          |   |   |  |  |  |  |  |
| 12. - MFS Global Equity Fund A                     |   |          |   |   |  |  |  |  |  |
| 13. IRA - American Funds                           | D | Dividend | M | T |  |  |  |  |  |
| 14. - EuroPacific Growth Fund A                    |   |          |   |   |  |  |  |  |  |
| 15. -The Growth Fund of America A                  |   |          |   |   |  |  |  |  |  |
| 16. - American Mutual Fund A                       |   |          |   |   |  |  |  |  |  |
| 17. - The Bond Fund of America A                   |   |          |   |   |  |  |  |  |  |

### 1. Income Gain Codes:

(See Columns B1 and D4)

### 2. Value Codes

(See Columns C1 and D3)

### 3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. - Capitol World Bond Fund A                                                                                             |                                         |                                               |                                                 |                                           |                                                 |                               |                                 |                                |                                                                   |
| 19. American Funds                                                                                                          | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 20. - EuroPacific Growth Fund A                                                                                             |                                         |                                               |                                                 |                                           |                                                 |                               |                                 |                                |                                                                   |
| 21. - The Growth Fund of America A                                                                                          |                                         |                                               |                                                 |                                           |                                                 |                               |                                 |                                |                                                                   |
| 22. - American Mutual Fund A                                                                                                |                                         |                                               |                                                 |                                           |                                                 |                               |                                 |                                |                                                                   |

### 1. Income Gain Codes:

(See Columns B1 and D4)

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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

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

P3 = \$25,000,001 - \$50,000,000

### 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.)*

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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