

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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) Lisi, Mary M.	2. Court or Organization U.S. District Court - R. I.	3. Date of Report 05/20/2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Chief District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2009 to 12/31/2009
7. Chambers or Office Address U.S. District Court One Exchange Terrace Providence, RI 02903	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. 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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 FINANCIAL
 DISCLOSURE OFFICE

Lisi, Mary M.

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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.		
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. 2009	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. American Bar Association	February 12-14, 2009	Boston, MA	Mid-Year Meeting	Lodging, ground transportation, meals
2. American Bar Association	June 22-26, 2009	Denver, CO	Judicial Discipline Consultation Mtg.	Airfare, lodging, ground transportation, meals
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.)*

<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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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. Citizens Bank, Providence, RI NOW Account	A	Interest	L	T					
2. Citizens Bank - IRA (cash equivalent)	A	Interest	J	T					
3. Citizens Bank - IRA (cash equivalent)	A	Interest	K	T					
4. Bank RI - CD	B	Interest	L	T					
5. 401(K)RETIREMENT PLAN	F	Dividend	O	T					
6. - Dreyfus Bond Market Index Fund									
7. - Federated Capital Appreciation Fund A									
8. - Janus Advisor Flexible Income Fund									
9. - MFS Total Return Fund A									
10. - MFS Global Equity Fund A									
11.									
12. Continued on attached sheets									
13.									
14.									
15.									
16.									
17.									

1. Income Gain Codes: (See Columns B1 and D4)	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	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
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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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, merger, redemption)	If not exempt from disclosure			
						(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
Fidelity Investments									
American Century GNMA	A	Dividend			Buy	5/15	J		
					Sold	11/13	J	A	
American Century International Bond		NONE			Sold	3/3	J		
William Blair International EQ FD CL N		NONE			Sold	2/20	J		
Calamos Convertible Class A	A	Dividend	J	T	Sold (part)	11/13	J	A	
Columbia Technology Fund CL Z		NONE			Sold	2/20	J		
Goldman Sachs Ultra SH Duratn Govt	A	Dividend			Sold	2/24	J		
ING Global Real Estate CL A	A	Dividend			Sold	2/20	J		
Janus Research Fund		NONE			Sold	2/20	J		
Laudus Rosenberg Intl Disc Instl CL		NONE			Sold	2/20	J		
Loomis Sayles Investment Grade Bond	A	Dividend	J	T	Buy	4/28	J		
					Buy	5/15	J		
					Buy	11/13	J		
Mainstay High Yield Corp Class A	A	Dividend	J	T	Sold (part)	11/13	J	A	

Narragansett Insured Tax Free Inc CL Y	A	Dividend	J	T	Buy	5/15	J		
					Sold (part)	11/13	J	A	
Generations Multi Strategies		NONE			Sold	3/3	J		
Payden Limited Maturity	A	Dividend			Sold	4/27	J		
Pioneer Oak Ridge Small Cap Growth		NONE			Buy	2/6	J		
					Sold	2/20	J		
T Rowe Price Health Sciences		NONE			Sold	2/20	J		
Rainier Mid Cap EQ Port Instl CL		NONE			Sold	2/20	J		
Riversource Diversfd Equity Income CL A		NONE			Sold	2/20	J		
T Rowe Price Blue Chip Growth ADV CL		NONE			Sold	2/20	J		
Royce Value Plus Service Class		NONE			Sold	2/5	J		
Oppenheimer Real Asset		NONE			Buy	1/16	J		
					Sold	2/20	J		
Rydex Commodities Strategy CL H		NONE			Sold	1/15	J		
Templeton Global Bond	A	Dividend	J	T	Buy	3/23	J		
					Buy	5/15	J		
					Sold (part)	11/13	J	A	
Thornburg Intl Value CL Instl		NONE	J	T	Sold (part)	2/20	J		
					Buy	11/13	J		
Fidelity Municipal Money Market	A	Dividend	J	T					

Fidelity IRA 1									
American Century GNMA	B	Dividend	K	T	Buy	5/15	K		
					Sold (part)	11/13	J	A	
American Century International Bond		NONE			Sold	3/3	J		
William Blair International EQ FD CL N		NONE			Sold	2/20	J		
Calamos Convertible Class A	A	Dividend	J	T	Buy	2/25	J		
					Buy	5/15	J		
					Sold (part)	10/27	J	A	
Columbia Technology Fund CL Z		NONE			Sold	2/20	J		
Goldman Sachs Ultra SH Duratn Govt	A	Dividend			Sold	2/24	J		
ING Global Real Estate CL A	A	Dividend			Sold	10/27	J		
Janus Research Fund		NONE			Sold	2/20	J		
Laudus Rosenberg Intl Disc Instl CL		NONE			Sold	2/20	J		
Loomis Sayles Investment Grade Bond	A	Dividend	K	T	Buy	4/28	J		
					Buy	5/15	J		
					Buy	11/13	J		
Mainstay High Yield Corp Class A	A	Dividend	J	T	Buy	2/25	J		
					Buy	5/15	J		
					Sold (part)	11/13	J	A	

VII. INVESTMENTS and TRUSTS

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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