

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2008Report 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 05/05/2009
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 01/01/2008 to 12/31/2008
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

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.	

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II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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Name of Person Reporting

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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. 2008	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 6-9, 2008	Los Angeles, CA	Mid-Year Meeting	Airfare, lodging, ground transportation, meals
2. American Bar Association	August 7-10, 2008	New York, NY	Annual Meeting	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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Lincoln National Life Ins. Co., deferred income	A	Interest			Sold	3/3	K	E	
2. Citizens Bank, Providence, RI NOW Account	A	Interest	K	T					
3. Nuveen Insured Municipal Bond Fund	A	Interest			Sold	3/27	K	C	
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	A	Dividend	N	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	A	Dividend							
14. - EuroPacific Growth Fund A					Sold	2/16	K	E	
15. - The Growth Fund of America A					Sold	2/17	K	E	
16. - American Mutual Fund A					Sold	2/18	L	E	
17. - The Bond Fund of America A					Sold	2/19	K	D	

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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18. - Capitol World Bond Fund A					Sold	2/20	J	D	
19. AMERICAN FUNDS		None							
20. - EuroPacific Growth Fund A					Sold	3/28	J	C	
21. - The Growth Fund of America A					Sold	3/29	J	C	
22. - American Mutual Fund A					Sold	3/30	J	C	
23. FIDELITY INVESTMENTS	B	Dividend	K	T					
24. - American Century International Bond			J	T	Buy	3/28	J		
25. - American New Economy					Buy	3/28	J		
26.					Sold (part)	10/30	J	A	
27.					Sold	11/3	J	A	
28. - William Blair International EQ FD CL N			J	T	Buy	11/6	J		
29. - Calamos Convertible Class A			J	T	Buy	10/27	J		
30. - Columbia Technology Fund CL Z			J	T	Buy	7/25	J		
31. - Davis N.Y. Venture					Buy	3/28	J		
32.					Sold (part)	5/15	J	A	
33.					Sold	11/6	J	A	
34. - Goldman Sachs Ultra SH Duratn Govt Inst			J	T	Buy	3/28	J		

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2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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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				
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35.					Sold (part)	6/5	J	A	
36.					Sold (part)	10/27	J	A	
37. - ING Global Real Estate CL A			J	T	Buy	10/24	J		
38. - Janus Research Fund			J	T	Buy	5/16	J		
39. - Laudus Rosenberg Intl. Disc. Instl. CL			J	T	Buy	3/28	J		
40. - Mainstay High Yield Corp. Class A			J	T	Buy	10/27	J		
41. - Morgan Stanley International Real Estate					Buy	3/28	J		
42.					Sold	10/24	J	A	
43. - Morgan Stanley Real Estate					Buy	3/28	J		
44.					Sold	10/24	J	A	
45. - Narragansett Insured Tax Free Inc. CL Y			J	T	Buy	6/6	J		
46.					Sold (part)	11/6	J	A	
47. - Generations Multi Strategies			J	T	Buy	10/30	J		
48. - Payden Limited Maturity			J	T	Buy	3/28	J		
49. - Pimco Commodity Real Return					Buy	3/28	J		
50.					Sold	12/3	J	A	
51. - T. Rowe Price Health Sciences			J	T	Buy	7/25	J		

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	
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	(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)
52. - Rainier Mid Cap EQ Port. Instl. CL			J	T	Buy	3/28	J		
53. - Riversource Diversified Equity Income CL A			J	T	Buy	5/16	J		
54. - T. Rowe Price Blue Chip Growth ADV CL			J	T	Buy	3/28	J		
55.					Sold (part)	5/15	J	A	
56. - Royce Value Plus Service Class			J	T	Buy	3/28	J		
57. - Rydex Commodities Strategy CL H			J	T	Buy	12/4	J		
58. - Thornburg Intl. Value CL Instl.			J	T	Buy	3/28	J		
59.					Sold (part)	11/16	J	A	
60. - Washatch Global Schience & Technology					Buy	5/16	J		
61.					Sold	7/25	J	A	
62. - Fidelity Municipal Money Market			J	T	Buy	3/28	J		
63. FIDELITY IRA 1	C	Dividend	M	T					
64. - American Century Ginnie Mae			K	T	Buy	5/23	K		
65.					Sold (part)	11/6	J	A	
66. - American Century International Bond			J	T	Buy	2/29	J		
67. - American New Economy					Buy	2/22	J		
68.					Sold	11/3	J	A	

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
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69. - William Blaire Interantional EQ FD CL N			J	T	Buy	11/6	J		
70. - Calamos Convertible Class A			J	T	Buy	10/27	J		
71. - Columbia Technology Fund CL Z			J	T	Buy	7/24	J		
72. - Davis N.Y. Venture					Buy	2/22	J		
73.					Sold	11/6	J	A	
74. - Goldman Sachs Ultra SH Duratn Govt. Inst			J	T	Buy	3/14	J		
75.					Sold (part)	5/22	J	A	
76.					Sold (part)	10/27	J	A	
77. - ING global Real Estate CL A			J	T	Buy	10/27	J		
78.					Sold (part)	11/6	J	A	
79. - Janus Advisor Forty					Buy	2/22	J		
80.					Sold	9/11	J	A	
81. - Janus Research Fund			J	T	Buy	9/12	J		
82. - Laudus Rosenberg Intl. Disc. Instl. CL			J	T	Buy	2/22	J		
83. - Mainstay High Yield Corp. Class A			J	T	Buy	10/27	J		
84. - Morgan Stanley International Real Estate					Buy	2/22	J		
85.					Sold	10/24	J	A	

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
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86. - Morgan Stanley Real Estate					Buy	2/22	J		
87.					Sold	10/24	J	A	
88. - Generations Multi Strategies			J	T	Buy	10/30	J		
89. - Oppenheimer Commod. Stra. Tot. Return CL A			J	T	Buy	12/4	J		
90. - Payden Limited Maturity			J	T	Buy	2/29	J		
91.					Sold (part)	11/6	J	A	
92. - Pimco Commodity Real Return					Buy	2/22	J		
93.					Sold	12/3	J	A	
94. - T. Rowe Price Health Sciences			J	T	Buy	7/23	J		
95. - Rainier Mid Cap. EQ Port. Instl. CL			J	T	Buy	2/22	J		
96. - Riversource Diversified Equity Income CL A			J	T	Buy	2/22	J		
97. - T. Rowe Price blue Chip Growth Adv. CL			J	T	Buy	2/22	J		
98. - Royce Value Plus Service Class			J	T	Buy	2/22	J		
99. - Thornburg Intl. Value CL Instl.			J	T	Buy	2/22	J		
100.					Sold (part)	11/6	J	A	
101. - Wasatch Global Science & Technology					Buy	2/22	J		
102.					Sold	7/23	J	A	

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103. - Fidelity Cash Reserves			J	T	Buy	2/22	J		
104. FIDELITY IRA 2	A	Dividend	J	T					
105. - Goldman Sachs Ultra SH Duratin Govt Inst			J	T	Buy	2/29	J		
106. - Generations Mult Strategies			J	T	Buy	10/29	J		
107. - Rainier Mid Cap EQ Port. Instl. CL			J	T	Buy	2/22	J		
108. - T. Rowe Price Blue Chip Growth Adv. CL			J		Buy	2/22	J		
109. - Thornburg Intl. Value CL A			J	T	Buy	2/22	J		
110. - Fidelity Cash Reserves			J	T	Buy	2/22	J		
111.									
112.									
113.									
114.									

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(See Columns B1 and D4)

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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



5/5/09

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

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2008Report 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 07/01/2009
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 01/01/2008 to 12/31/2008
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

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.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

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. 2008	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 6-9, 2008	Los Angeles, CA	Mid-Year Meeting	Airfare, lodging, ground transportation, meals
2. American Bar Association	August 7-10, 2008	New York, NY	Annual Meeting	Lodging, ground transportation, meals
3.				
4.				
5.				

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Name of Person Reporting

Lisi, Mary M.

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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.		

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Lisl, Mary M.

Date of Report

07/01/2009

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. Lincoln National Life Ins. Co., deferred income	A	Interest			Sold	3/3	K	E	
2. Citizens Bank, Providence, RI NOW Account	A	Interest	K	T					
3. Nuveen Insured Municipal Bond Fund	A	Interest			Sold	3/27	K	C	
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	A	Dividend	N	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									
14. - EuroPacific Growth Fund A		None			Sold	2/16	K	E	
15. -The Growth Fund of America A		None			Sold	2/17	K	E	
16. - American Mutual Fund A		None			Sold	2/18	L	E	
17. - The Bond Fund of America A	A	Dividend			Sold	2/19	K	D	

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	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	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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Name of Person Reporting

Lisi, Mary M.

Date of Report

07/01/2009

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)
18. - Capitol World Bond Fund A		None			Sold	2/20	J	D	
19. AMERICAN FUNDS									
20. - EuroPacific Growth Fund A		None			Sold	3/28	J	C	
21. - The Growth Fund of America A		None			Sold	3/29	J	C	
22. - American Mutual Fund A		None			Sold	3/30	J	C	
23. FIDELITY INVESTMENTS									
24. - American Century International Bond	A	Dividend	J	T	Buy	3/28	J		
25. - American New Economy		None			Buy	3/28	J		
26.					Sold (part)	10/30	J	A	
27.					Sold	11/3	J	A	
28. - William Blair International EQ FD CL N	A	Dividend	J	T	Buy	11/6	J		
29. - Calamos Convertible Class A		Dividend	J	T	Buy	10/27	J		
30. - Columbia Technology Fund CL Z		None	J	T	Buy	7/25	J		
31. - Davis N.Y. Venture		None			Buy	3/28	J		
32.					Sold (part)	5/15	J	A	
33.					Sold	11/6	J	A	
34. - Goldman Sachs Ultra SH Duratn Govt Inst	A	Dividend	J	T	Buy	3/28	J		

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	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	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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Name of Person Reporting

Lisi, Mary M.

Date of Report

07/01/2009

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 I (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)
35.					Sold (part)	6/5	J	A	
36.					Sold (part)	10/27	J	A	
37. - ING Global Real Estate CL A	A	Dividend	J	T	Buy	10/24	J		
38. - Janus Research Fund	A	Dividend	J	T	Buy	5/16	J		
39. - Laudus Rosenberg Intl. Disc. Instl. CL	A	Dividend	J	T	Buy	3/28	J		
40. - Mainstay High Yield Corp. Class A	A	Dividend	J	T	Buy	10/27	J		
41. - Morgan Stanley International Real Estate	A	Dividend			Buy	3/28	J		
42.					Sold	10/24	J	A	
43. - Morgan Stanley Real Estate	A	Dividend			Buy	3/28	J		
44.					Sold	10/24	J	A	
45. - Narragansett Insured Tax Free Inc. CL Y	A	Dividend	J	T	Buy	6/6	J		
46.					Sold (part)	11/6	J	A	
47. - Generations Multi Strategies	A	Dividend	J	T	Buy	10/30	J		
48. - Payden Limited Maturity	A	Dividend	J	T	Buy	3/28	J		
49. - Pimco Commodity Real Return	A	Dividend			Buy	3/28	J		
50.					Sold	12/3	J	A	
51. - T. Rowe Price Health Sciences	A	Dividend	J	T	Buy	7/25	J		

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	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	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	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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Name of Person Reporting

Lisi, Mary M.

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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)
52. - Rainier Mid Cap EQ Port. Instl. CL	A	Dividend	J	T	Buy	3/28	J		
53. - Riversource Diversified Equity Income CL A	A	Dividend	J	T	Buy	5/16	J		
54. - T. Rowe Price Blue Chip Growth ADV CL	A	Dividend	J	T	Buy	3/28	J		
55.					Sold (part)	5/15	J	A	
56. - Royce Value Plus Service Class	A	Dividend	J	T	Buy	3/28	J		
57. - Rydex Commodities Strategy CL H		None	J	T	Buy	12/4	J		
58. - Thornburg Intl. Value CL Instl.		Dividend	J	T	Buy	3/28	J		
59.					Sold (part)	11/16	J	A	
60. - Washatch Global Schience & Technology		None			Buy	5/16	J		
61.					Sold	7/25	J	A	
62. - Fidelity Municipal Money Market	A	Dividend	J	T	Buy	3/28	J		
63. FIDELITY IRA 1									
64. - American Century Ginnie Mae	A	Dividend	K	T	Buy	5/23	K		
65.					Sold (part)	11/6	J	A	
66. - American Century International Bond	A	Dividend	J	T	Buy	2/29	J		
67. - American New Economy		None			Buy	2/22	J		
68.					Sold	11/3	J	A	

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	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	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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Name of Person Reporting

Lisi, Mary M.

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07/01/2009

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)
69. - William Blaire Interantional EQ FD CL N	A	Dividend	J	T	Buy	11/6	J		
70. - Calamos Convertible Class A	A	Dividend	J	T	Buy	10/27	J		
71. - Columbia Technology Fund CL Z		None	J	T	Buy	7/24	J		
72. - Davis N.Y. Venture		None			Buy	2/22	J		
73.					Sold	11/6	J	A	
74. - Goldman Sachs Ultra SH Duratn Govt. Inst	A	Dividend	J	T	Buy	3/14	J		
75.					Sold (part)	5/22	J	A	
76.					Sold (part)	10/27	J	A	
77. - ING global Real Estate CL A	A	Dividend	J	T	Buy	10/27	J		
78.					Sold (part)	11/6	J	A	
79. - Janus Advisor Forty		None			Buy	2/22	J		
80.					Sold	9/11	J	A	
81. - Janus Research Fund	A	Dividend	J	T	Buy	9/12	J		
82. - Laudus Rosenberg Intl. Disc. Instl. CL	A	Dividend	J	T	Buy	2/22	J		
83. - Mainstay High Yield Corp. Class A	A	Dividend	J	T	Buy	10/27	J		
84. - Morgan Stanley International Real Estate	A	Dividend			Buy	2/22	J		
85.					Sold	10/24	J	A	

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	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	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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Name of Person Reporting

Lisi, Mary M.

Date of Report

07/01/2009

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)
86. - Morgan Stanley Real Estate	A	Dividend			Buy	2/22	J		
87.					Sold	10/24	J	A	
88. - Generations Multi Strategies	A	Dividend	J	T	Buy	10/30	J		
89. - Oppenheimer Commod. Stra. Tot. Return CL A	A	Dividend	J	T	Buy	12/4	J		
90. - Payden Limited Maturity	A	Dividend	J	T	Buy	2/29	J		
91.					Sold (part)	11/6	J	A	
92. - Pimco Commodity Real Return	A	Dividend			Buy	2/22	J		
93.					Sold	12/3	J	A	
94. - T. Rowe Price Health Sciences	A	Dividend	J	T	Buy	7/23	J		
95. - Rainier Mid Cap. EQ Port. Instl. CL	A	Dividend	J	T	Buy	2/22	J		
96. - Riversource Diversified Equity Income CL A	A	Dividend	J	T	Buy	2/22	J		
97. - T. Rowe Price blue Chip Growth Adv. CL	A	Dividend	J	T	Buy	2/22	J		
98. - Royce Value Plus Service Class	A	Dividend	J	T	Buy	2/22	J		
99. - Thornburg Intl. Value CL Instl.	A	Dividend	J	T	Buy	2/22	J		
100.					Sold (part)	11/6	J	A	
101. - Wasatch Global Science & Technology		None			Buy	2/22	J		
102.					Sold	7/23	J	A	

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	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	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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Name of Person Reporting

List, Mary M.

Date of Report

07/01/2009

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)
103. - Fidelity Cash Reserves	A	Dividend	J	T	Buy	2/22	J		
104. FIDELITY IRA 2									
105. - Goldman Sachs Ultra SH Duratin Govt Inst	A	Dividend	J	T	Buy	2/29	J		
106. - Generations Mult Strategies	A	Dividend	J	T	Buy	10/29	J		
107. - Rainier Mid Cap EQ Port. Instl. CL	A	Dividend	J	T	Buy	2/22	J		
108. - T. Rowe Price Blue Chip Growth Adv. CL	A	Dividend	J		Buy	2/22	J		
109. - Thornburg Intl. Value CL A	A	Dividend	J	T	Buy	2/22	J		
110. - Fidelity Cash Reserves	A	Dividend	J	T	Buy	2/22	J		
111.									
112.									
113.									
114.									

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Lisi, Mary M.

Date of Report

07/01/2009

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Lisi, Mary.M.

Date of Report

07/01/2009

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