AO 10
Rev. 1/2019

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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)	2. Court or Organization	3. Date of Report
THOMPSON, OJETTA R.	FIRST CIRCUIT COURT OF APPEALS	03/09/2021
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**
CIRCUIT JUDGE, ACTIVE	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2019 **to** 12/31/2019
7. Chambers or Office Address		
ONE EXCHANGE TERRACE, PROVIDENCE, RI, 02903		

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 pp. 9-13 of filing instructions)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	TRUSTEE	COLLEGE UNBOUND
2.		
3.		
4.		
5.		

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

☐ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.	2019	RHODE ISLAND STATE EMPLOYEES PENSION FUND: PENSION START DATE, APRIL 1, 2010
2.	2019	RHODE ISLAND STATE EMPLOYEES PENSION FUND: PENSION START DATE MARCH 27, 2018
3.		

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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.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.	2019	RHODE ISLAND EMPLOYEES PENSION FUND - PENSION INCOME (start date April 1, 2010)	$124,672.68
2.	2019	RHODE ISLAND STATE EMPLOYEES PENSION FUND: PENSION (start date March 27, 2018)	$80,503.56
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 AND TYPE
1.		
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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	George Mason Law & Economics Center	October 11-16, 2019	Santa Fe, NM	Attend educational program	Lodging, meals, transportation
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.)*

	SOURCE	DESCRIPTION	VALUE
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.)*

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

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THOMPSON, OJETTA R.	03/09/2021

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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 ACCOUNTS	A	Interest	M	T					
2.									
3. SANTANDER BANK ACCOUNT	B	Interest	M	T					
4. PAWTUCKET CREDIT UNION	B	Interest	L	T					
5.									
6. REAL ESTATE, Grenville, SC #1		None	L	W					
7. REAL ESTATE, Greenville, SC #2		None	L	W					
8. REAL ESTATE, Newberry, SC #3		None	O	W					
9. BROKERAGE ACCOUNT #1 (H)									
10. MFS NEW DISCOVERY MUTUAL FUND	A	Dividend	J	T					
11. MFS RESEARCH MUTUAL FUNDS	A	Dividend	J	T					
12. AQUILA Three Peaks Opportunity Growth Mutual Funds	A	Dividend	J	T					
13. Janney Advantage Insured Sweep	A	Dividend	J	T					
14. BROKERAGE ACCOUNT #2 IRA (H)									
15. MFS SER TRw-NEW DISCOVERY MUTUAL FUND	A	Dividend	K	T					
16.									
17. PROTECTIVE LIFE INSURANCE CO. - WHOLE LIFE (X)		None	K	T					

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		

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

III(B), Spouse deceased.
The VII(2) Citizens account has been combined with the VII(1) Citizens account.
VII(3) is updated to reflect the bank's name change -- Sovereign to Santander.
VII(14) interest terminated.

Changes were made to Part VII in part to address the specific issue identified in the 02/19/2021 Letter of Inquiry as well as to correct some errors I identified as I rereviewed my 2019 end-of-year statements in preparation to respond to the letter of inquiry. Part VII line 12 was accidentally left off the 2018 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: S/ OJETTA R. THOMPSON

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. § 104)

Committee on Financial Disclosure
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