

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Sullivan, Patricia A.	2. Court or Organization District Court - RI	3. Date of Report 11/15/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (FT)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2016 to 12/31/2016
	5b. ☒ Amended Report	
7. Chambers or Office Address Two 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Member	Board of Directors of Roger Williams University School of Law
2. Manager and Member	
3. Director	Rhode Island Bar Foundation
4. Director	Rhode Island Chapter of Federal Bar Association
5. Adjunct Professor	Roger Williams University School of Law

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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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. 2016	Citizens Bank (pension)
2. 2016	Bank of America (pension)
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.				
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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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. MFS Investment Management (Educational Funds)									
2. --MFS Growth Allocation Fund B (MBGWX)	A	Dividend	J	T					
3. US Treasury EE Bonds	A	Interest	J	T					
4. Northwest Mutual Life Policy "Adjustable CompLife"	C	Dividend	M	T					
5. Minnesota Variable Group Universal Life Insurance Policy									
6. --Janus Aspen Forty	A	Int./Div.	J	T					
7. --SFT "Pyramis" CEQ1 (X)	A	Int./Div.	J	T					
8. --Ivy VIP Value	A	Int./Div.	J	T					
9. --FID VIP Equity Income	A	Int./Div.	J	T					
10. --Janus Aspen OVES SS	A	Int./Div.	J	T					
11. Membership in [REDACTED]	C	Distribution	M	U					
12. Santander Account	A	Interest	L	T					
13. Santander Account	A	Interest	J	T					
14. Santander Money Market Account	A	Interest	L	T					
15. Schwab Account (IRA)									
16. --Schwab Govt Money Fund (SWGXX)	A	Interest	K	T					
17. Brardes Intl Small Cap (BISMX)	B	Dividend	K	T	Buy	10/12/16	K		

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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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)
18. --Western Asset Macro Opportunities (LAOIX)	C	Dividend	M	T					
19. --Invesco Global Market Neutral (MKNYX)	A	Dividend	M	T					
20. --Charles Schwab Bank account	A	Interest	J	T					
21. --Fidelity Floating Rate HI INCM (FFRHX)	D	Dividend	M	T					
22. --First Eagle High Yield FD A (FEHAX)	D	Dividend	M	T					
23. --Flexshares ETF IBoxx 3 Yr TRGT (TSTT)	A	Dividend			Sold (part)	08/24/16	K	A	
24.					Sold	10/13/16	K	A	
25. --Invesco Conv Securities FD CL (CNSAX)	D	Dividend	M	T					
26. --Pimco 0-5 High Yield Corp B (HYS)	B	Dividend	K	T					
27. --Putnam Absolute Return 300 FD (PYTRX)	A	Dividend			Sold	02/04/16	M	A	
28. --Fidelity ADV Emerging Mkts Inc (FMKAX)	C	Dividend	L	T					
29. --SPDR INTL Government TIPS ETF (WIP)	A	Dividend	L	T					
30. --Templeton Global Bond Fund (TGBAX)	D	Dividend	N	T					
31. --First Eagle US Value Fund CL (FEVAX)	D	Dividend	N	T	Buy (add'l)	12/14/16	K		
32. --Goldman Sachs Small Mid Cap (GSMYX)	C	Dividend	M	T					
33. --Powershares S&P ETF 500 Low VO (SPLV)	B	Dividend	M	T					
34. Western Core Plus Bond (WACPX)	D	Dividend	N	T	Buy	02/04/16	M		

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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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35.					Buy (add'l)	10/13/16	M		
36. --Putnam Capital Spectrum FD CL (PVSAX)	B	Dividend	L	T	Sold (part)	08/24/16	K	C	
37. --Royce Special Equity FD Invest (RYSEX)	B	Dividend	K	T					
38. --Invesco All Cap Market Neutral (CPNYX)	A	Dividend	M	T					
39. --Schwab S&P 500 Sclct Shs (SWPPX)	D	Dividend	N	T					
40. --First Eagle Overseas (SGOVX)	D	Dividend	M	T					
41. --Ishares MSCI ETF Emerging MKTS (EEMV)	C	Dividend	M	T					
42. --Powershares ETF S&P INTL (IDLV)	B	Dividend	L	T					
43. --SCHW Intl SCAP ETF (SCHC)	B	Dividend	M	T					
44. --SPDR DJ Wilshire Intl Real Est (RWX)	D	Dividend	L	T					
45. --SPDR DJ Wilshire REIT (RWR)	A	Dividend	J	T					
46. --DFA INTL Small Cap Value (DISVX)	A	Dividend			Sold	10/12/16	K	D	
47. --Lord Abbett Inflation Focused FD (LIFIX)	C	Dividend			Sold	10/13/16	M	C	
48. --Loomis Sayles Senior Flting Rate & Fixed (LSFYX)	C	Dividend	K	T					
49. --Putnam Capital Spectrum FD CL Y (PVSYX)	D	Dividend	M	T					
50. --Hartford Global Bond (HWDYX)	A	Dividend	K	T					
51. Schwab Account									

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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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52. --Schwab Govt Money Fund	A	Int./Div.	K	T					
53. --First Eagle US Value (FEVAX)	D	Dividend	L	T	Buy (add'l)	12/14/16	J		
54. --Fidelity ADV Emerging Mar (FMKAX)	A	Dividend	J	T					
55. --ISHares MSCI (EEMV)	B	Dividend	K	T					
56. --DFA INTL Small Cap (DISVX)	A	Dividend			Sold	10/12/16	K	B	
57. --First Eagle Overseas (SGOVX)	A	Dividend	K	T					
58. --SPDR Nuveen Barclays (SHM)	A	Dividend	K	T					
59. --Schwab S&P 500 Select (SWPPX)	A	Dividend	K	T					
60. --Templeton Global Bond Fund (TGBAX)	B	Dividend	L	T					
61. --SPDR INTL Government (WIP)	A	Dividend	J	T					
62. --MKT Vectors ETF (HYD)	B	Dividend	K	T					
63. --Goldman Sachs Small Mid Cap (GSMYX)	A	Dividend	K	T					
64. --Lord Abbett Inflation (LIFIX)	A	Dividend	K	T	Sold (part)	10/13/16	K	A	
65. --Loomis Sayles Senior (LSFYX)	B	Dividend	K	T					
66. --Putnam Capital Spectrum (PVSYX)	A	Dividend	K	T					
67. --SPDR DJ Wilshire REIT (RWR)	A	Dividend	J	T					
68. --JP Morgan Tax Aware Income Opp (JTASX)	A	Dividend	K	T					

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	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69. --Vanguard Interm Term Tax Exempt (VWIUX)	A	Dividend	K	T	Sold (part)	10/17/16	J	A	
70. --Western Asset Macro Opportunities (LAOIX)	A	Dividend	K	T					
71. --Invesco All Cap Market Neutral (CPNYX)	A	Dividend	K	T					
72. EAton Vance Muni Oppty (EMOIX)	A	Dividend	K	T	Buy	10/13/16	K		
73.					Buy (add'l)	10/17/16	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part I:

Line 3: Please see the letter from the Committee on Codes of Conduct that I have filed in connection with prior annual financial disclosure reports.

Part VII:

Line 5-11: This life insurance policy provides me with quarterly reports that show the cash value for the policy, the investment gain/loss for the policy and the "unit value" and "units held" in each "account" listed on Lines 6-11. Each of the five accounts is 20% of the total. The statements provide no information about the income earned in each account. I have reported the income for the policy based on the total "investment gain/loss" as it appears in the year-end statement. The income for the underlying accounts is an estimate based on 20% of the total.

Line 11: The asset listed on Line 11 is membership in an entity that has never made a distribution to its members. [REDACTED]

[REDACTED] I use an estimate of the value of this use as "income."

Lines 12, 13, 13: I have reported these three bank accounts as the "Sovereign" accounts, as that was the name of the bank with which I was most familiar. In fact, that bank changed its name to "Santander" several years ago. To be more accurate, I have changed the names used to refer to the three accounts on this report. In substance, nothing has changed from the prior reports.

Line 15: This IRA is actually two accounts, one in my name and one in [REDACTED] name, managed by the same person at Schwab.

Line 43: This entry was inadvertently omitted by apparent typographical error from the current (2016) report. It is inserted in the amended 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/ **Patricia A. 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. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544