

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 03/26/2020
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 01/01/2018 to 12/31/2018
	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 (inactive)
6. Co-Executor	Estate of

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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Sullivan, Patricia A.

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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. 2018	Citizens Bank (pension)
2. 2018	Bank of America (pension)
3. 2018	Barrington High School (earned income)
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.				

Name of Person Reporting	Date of Report
Sullivan, Patricia A.	03/26/2020

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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Name of Person Reporting

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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) (H)									
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 (H)									
6. --Janus Henderson Vit Forty	A	Int./Div.	J	T					
7. --SFT Wellington CEQ1	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 Hend Vit Overseas	A	Int./Div.	J	T					
11. Membership in [REDACTED]	C	Distribution	M	U					
12. Santander Account Cash-equivalent	A	Interest	L	T					
13. Santander Account Cash-equivalent	A	Interest	K	T					
14. Santander Money Market Account	A	Interest	K	T					
15. Schwab Account (IRA) (H)									
16. --Schwab Govt Money Fund (SWGXX)	A	Interest	K	T					
17. --PIMCO Foreign Bond (PFORX)	A	Dividend	L	T					

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. --Teton Convertible Sec (WESIX)	B	Dividend	M	T					
19. --Western Asset Macro Opportunities (LAOIX)	C	Dividend	M	T	Sold (part)	03/12/18	J	A	
20. --Schwab Bank	A	Interest	K	T					
21. --Fidelity Floating Rate HI INCM (FFRHX)	D	Dividend	M	T					
22. --First Eagle High Yield FD I (FEHIX)	D	Dividend	M	T					
23. --Pimco 0-5 High Yield Corp B (HYS)	B	Dividend	K	T					
24. --Fidelity New Mkts Inc (FGZMX)	C	Dividend	L	T					
25. --Templeton Global Bond Fund (TGBAX)	D	Dividend	N	T					
26. --First Eagle US Value Fund CL (FEVIX)	D	Dividend	M	T					
27. --Goldman Sachs Small Mid Cap (GSMYX)	E	Dividend	M	T					
28. --Powershares S&P ETF 500 Low VO (SPLV)	C	Dividend	M	T					
29. --Western Core Plus Bond (WACPX)	D	Dividend	N	T					
30. --Schwab Fundamental US Large Cap (FNDX)	B	Dividend	L	T	Buy	09/12/18	L		
31. --JP Morgan Hedged Equity (JHEQX)	B	Dividend	L	T	Buy	08/02/18	L		
32. --Wells Fargo Low Volatility (WLVOX)	C	Dividend	L	T					
33. DFA US Large Cap Value (DFLVX)	D	Dividend	M	T					
34. --Fidelity Total Emerging MKTS (FTEJX)	A	Dividend	M	T					

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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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35. --Putnam Capital Spectrum FD CL (PVSAX)	A	Dividend	L	T					
36. --Royce Special Equity FD Invest (RYSEX)	A	Dividend	K	T					
37. --Schwab S&P 500 Selct Shs (SWPPX)	D	Dividend	M	T					
38. --First Eagle Overseas (SGOIX)	D	Dividend	M	T					
39. --Powershares ETF S&P INTL (IDLV)	B	Dividend	K	T					
40. --SCHW Intl SCAP ETF (SCHC)	C	Dividend	M	T					
41. --SPDR DJ Wilshire Intl Real Est (RWX)	C	Dividend			Sold	03/12/18	K	C	
42. --SPDR DJ Wilshire REIT (RWR)	A	Dividend			Sold	03/12/18	J	B	
43. --Loomis Sayles Senior Flting Rate & Fixed (LSFYX)	C	Dividend	K	T					
44. --Putnam Capital Spectrum FD CL Y (PVSYX)	A	Dividend			Sold	06/12/18	M	A	
45. --Goldman Sachs GQG Partners (GSIMX)	B	Dividend	M	T	Buy	03/12/18	L		
46.					Buy (add'l)	05/22/18	K		
47. --361 US Small Cap (ASFZX)	B	Dividend	M	T	Buy	06/12/18	K		
48. --Hartford Global Bond (HWDYX)	A	Dividend	K	T					
49. Schwab Account (H)									
50. --Schwab Bank (X)	A	Int./Div.	K	T					
51. --Brandes Intl Small Cap (BISMX)	B	Dividend	J	T					

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52. --Schwab Govt Money Fund	A	Int./Div.	L	T					
53. --First Eagle US Value (FEVIX)	C	Dividend	K	T					
54. --Fidelity New Mkts Inc (FGZMX)	A	Dividend	K	T					
55. --ISHares MSCI (EEMV)	B	Dividend	K	T					
56. --First Eagle Overseas (SGOIX)	A	Dividend	K	T					
57. --Schwab S&P 500 Select (SWPPX)	A	Dividend	K	T					
58. --Templeton Global Bond Fund (TGBAX)	A	Dividend							
59. --MKT Vectors ETF (HYD)	B	Dividend	K	T					
60. --Goldman Sachs Small Mid Cap (GSMYX)	C	Dividend	K	T	Sold (part)	03/12/18	J	B	
61. --Putnam Capital Spectrum (PVSYX)	A	Dividend			Sold	06/12/18	K	A	
62. --SPDR DJ Wilshire REIT (RWR)	A	Dividend			Sold	03/12/18	J	A	
63. --JP Morgan Tax Aware Income Opp (JTASX)	A	Dividend			Sold	04/19/18	K	A	
64. --PIMCO Foreign Bond (PFORX)	A	Dividend	K	T					
65. --Western Asset Macro Opportunities (LAOIX)	A	Dividend	J	T	Sold (part)	03/12/18	J	A	
66. --Eaton Vance Muni Oppty (EMOIX)	A	Dividend	M	T	Buy	03/12/18	J		
67.					Buy (add'l)	04/19/18	K		
68. --Fidelity Total Emerging Mkts (FTEJX)	A	Dividend	K	T					

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69. --DFA US Large Cap Value (DFLVX)	B	Dividend	K	T					
70. --JP Morgan Hedged Equity (JHEQX)	A	Dividend	J	T					
71. --Fidelity Floating Rate Hi Income (FFRHX)	A	Dividend	K	T					
72. --Goldman Sachs GQG Partners (GSIMX)	A	Dividend	K	T	Buy	03/12/18	K		
73. Estate (X) (H)									
74. --Wells Fargo Advisors (X) (H)									
75. ----AT&T Inc (X)	A	Dividend	K	T					
76. ----BCE Inc (X)	A	Dividend	K	T					
77. ----Brookfield Infrastrure Partners LP (X)	A	Dividend	K	T					
78. ----Century Link Inc (X)	A	Dividend	K	T					
79. ----Energy Transfer LP (X)	A	Dividend	K	T					
80. ----Williams Companies Inc (X)	A	Dividend	K	T					
81. ----American Financial PFD (X)	A	Dividend	K	T					
82. ---- Capital One Fin Corp PFD (X)	A	Dividend	K	T					
83. ----Goldman Sachs Var PFD (X)	A	Dividend	K	T					
84. ----JP Morgan Chase & Co PFD (X)	A	Dividend	K	T					
85. ----Morgan Stanley 6.25% PFD (X)	A	Dividend	K	T					

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86. ----Pitney Bowes Inc 6.7% PFD (X)	A	Dividend	K	T					
87. ----Qwest Corp PFD (X)	A	Dividend	K	T					
88. ----Telephone & Data 7% Perptl Sys Inc PFD (X)	A	Dividend	K	T					
89. ----US Cellular Corp PFD (X)	A	Dividend	K	T					
90. --People's United Bank (X)	A	Interest	K	T					
91. --TIAA (X)	A	Interest			Distributed	12/31/18	L	A	
92. --Bank of America (X)	A	Interest	K	T					
93. --Merrill Edge IRA A/C Cash-equivalent (X)	A	Int./Div.	K	T					
94. --Cigna Life Basic Policy Whole Life Insurance (X)		None			Distributed	12/27/18	J		
95.									

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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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:

Lines 5-10: 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 6-10. 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."

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 51: "Brandes Intl Small Cap (BISMX)" was previously reported on line 17 in the Schwab IRA accounts. I am informed that it is actually in the Schwab joint account and have moved it to line 53 to reflect this correction.

Lines 24/54: "Fidelity ADV Emerging Markets Income (FMKIX)" changed its name to "Fidelity New Markets Income (FGZMX)."

Line 93: This is a small IRA owned by [REDACTED] before [REDACTED] death. It held only cash.

Line 94: This is a small whole life insurance policy owned by [REDACTED] before [REDACTED] death (\$10,000).

Note: [REDACTED] and I have a "time share" in St. John, U.S.V.I., which affords the ability to stay for one week during the late fall, subject to availability. It was purchased for \$36,000 in 2006. It generates no income but requires payment of expenses. As far as I know, it has de minimis resale value because it can be used only subject to availability, which is limited. Because of hurricanes, I received no benefit in 2018. It does not appear to be required to be reported as it does not fall into any category on the form.

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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