

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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 02/20/2013
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 01/31/2013
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 <i>NONE</i> box for each part where you have no reportable information. Insert signature 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. Partner	Edwards Wildman Palmer LLP
2. Partner	Edwards Angell Palmer & Dodge LLP
3. Adjunct Faculty (PT)	Roger Williams School of Law
4. Member	Advisory Board of Roger Williams School of Law
5. Manager and Member	Associates LLC
6. Director	Rhode Island Bar Foundation
7. Director	Rhode Island Chapter of Federal Bar Association
8. Member	Rhode Island Unauthorized Practice of Law Committee
9. Director and Officer	Barrington Land Conservation Trust, Inc.
10. Member	Advisory Board of Hasbro Children's Hospital
11. Member	Board of Governors of Emma Pendleton Bradley Hospital
12. Corporator	Women's and Infants' Hospital

FINANCIAL DISCLOSURE REPORT

Page 2 of 12

Name of Person Reporting

Sullivan, Patricia A.

Date of Report

02/20/2013

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

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. 2011	Edward Wildman Palmer LLP Partnership Agreement
2. 2005	Edwards Angell Palmer & Dodge Partnership Agreement
3. 2005	Edwards Angell Palmer & Dodge LLP Defined Benefit Plan

FINANCIAL DISCLOSURE REPORT

Page 3 of 12

Name of Person Reporting

Sullivan, Patricia A.

Date of Report

02/20/2013

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. 2012	Self employed attorney	\$292,433.00
2. 2012	Self employed attorney (terminal share under Partnership Agreement)	\$54,013.00
3. 2012	Self employed attorney (deferred income under Defined Benefit Agreement)	\$585,476.73
4. 2012	Roger Williams School of Law - Teaching	\$1,500.00
5. 2011	Self employed attorney	\$305,301.00
6. 2011	Roger Williams School of Law - Teaching	\$1,500.00
7. 2010	Self employed attorney	\$478,301.00
8. 2010	Delta Dental of Rhode Island, Inc. (board fees)	\$5,000.00

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. 2013	Citizens Bank (pension)
2. 2013	Bank of America (pension)
3. 2012	Citizens Bank (pension)
4. 2012	Bank of America (pension)
5. 2011	Citizens Bank (pension)

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. Exempt				

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

Sullivan, Patricia A.

Date of Report

02/20/2013

- 2. _____
- 3. _____
- 4. _____
- 5. _____

FINANCIAL DISCLOSURE REPORT

Page 5 of 12

Name of Person Reporting

Sullivan, Patricia A.

Date of Report

02/20/2013

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.	Exempt		
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

Page 6 of 12

Name of Person Reporting

Sullivan, Patricia A.

Date of Report

02/20/2013

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. Mass Mutual Account (401-K)	G	Int./Div.							
2. --Stable Value Fund (Invesco)									
3. --Income & Growth Portfolio									
4. --MM S&P 500 Index Fd (Nthrn Tr)									
5. --Sel MCG II Fd (TRP/Frontier)									
6. --AmerFunds EuroPacific Gr Fund									
7. --Sel Blue Chip Growth Fnd (TRP)									
8. --MFS Value Fund									
9. National Financial Services (IRA)	A	Int./Div.							
10. --Nektar Therapeutics (NKTR)									
11. --Fidelity Cash Reserves									
12. Law Firm Capital Account	D	Interest							
13. TD Bank North Account/CD	C	Interest							
14. Bank of America Account (401-K)	B	Int./Div.							
15. --Growth FD America R6									
16. --Dodge & Cox Stk Fd									
17. --Columbia LgCap Value									

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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 12

Name of Person Reporting

Sullivan, Patricia A.

Date of Report

02/20/2013

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. --Fid Diversifd Intl									
19. --BAC Com Stk Fund									
20. --WA Core Bond I									
21. --Stable Value Fund									
22. --TRP Inst LgCap Grth									
23. --Black Rock Eq Divd									
24. --MFS Intl Grth									
25. --Lifepath Retirement Q									
26. Merrill Lynch Account (IRA)	D	Int./Div.							
27. --Columbia International (CISAX)									
28. --Columbia Mid Cap Growth (CBSTX)									
29. --Fidelity Adviser Interm (FTBRX)									
30. --Fidelity Adviser Equity (FAEGX)									
31. --Fidelity Adviser Equity (FEIRX)									
32. --Fidelity ADV High income (FAHYX)									
33. --Fidelity Advoser Growth (FAGOX)									
34. Bank of America Common Stock (BAC)	A	Dividend							

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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 12

Name of Person Reporting

Sullivan, Patricia A.

Date of Report

02/20/2013

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)
35. Banco Santander American Depository Receipts	B	Dividend							
36. LPL Financial Account									
37. --Banco Santander American Depository Receipts	A	Dividend							
38. MFS Investment Management (Education Funds)									
39. --MFS Growth Allocation Fund A (MAGWX)	A	Dividend	J	T					
40. --MFS Growth Allocation Fund B (MBGWX)	A	Dividend	J	T					
41. US Treasury EE Bonds	A	Interest	J	T					
42. Northwest Mutual Life Policy "Adjustable CompLife"	D	Dividend	M	T					
43. Minnesota Variable Group Universal Life Insurance Policy	D	Int./Div.	K	T					
44. --Janus Aspen Forty									
45. --FID VIP Value									
46. --Ivy VIP Value									
47. --FID VIP Equity Income									
48. --Janus Aspen OVES SS									
49. Membership in [REDACTED] Associates LLC		None	M	U					
50. BNY Mellon HSA Account	A	Interest	J	T					
51. Sovereign Account	A	Interest	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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 12

Name of Person Reporting

Sullivan, Patricia A.

Date of Report

02/20/2013

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)

52. Sovereign Money Market Account	C	Interest	N	T					
53. Schwab Account (IRA)	F	Int./Div.	P1	T					
54. --Schwab Govt Money Fund									
55. --Schwab Money Market									
56. --Federated US Govt Sec 2-5 Yrs									
57. --Fidelity Floating Rate HI INCM									
58. --First Eagle High Yield FD A									
59. --Flexshares ETF IBoxx 3Yr TRGT									
60. --Invesco Conv Securities FD CL									
61. --Lord Abbett Short Duration									
62. --Pimco 0-5 High Yield Corp B									
63. --Putnam Absolute Return 300 FD									
64. --SCH US TIPS ETF									
65. --Fidelity ADV Emerging Mkts Inc									
66. --SPDR INTL Government TIPS ETF									
67. --Templeton Global Bond Fund									
68. --First Eagle US Value Fund CL									

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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 12

Name of Person Reporting

Sullivan, Patricia A.

Date of Report

02/20/2013

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)
69. --Goldman Sachs Small Mid Cap									
70. --Heartland Value Plus									
71. --Powershares S&P ETF 500 Low VO									
72. --Putnam Capital Spectrum FD CL									
73. --Royce Special Equity FD Invest									
74. --Schwab S&P 500 Select Shs									
75. --First Eagle Overseas									
76. --Ishares MSCI ETF Emerging Mkts									
77. --Powershares ETF S&P									
78. --SCHW Intl SCAP ETF									
79. --SPDR DJ Wilshire Intl Real Est									
80. --SPDR DJ Wilshire REIT									
81. Schwab Account									
82. --Schwab Govt Money Fund	A	Dividend	N	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	

FINANCIAL DISCLOSURE REPORT

Page 11 of 12

Name of Person Reporting

Sullivan, Patricia A.

Date of Report

02/20/2013

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

Part I: I resigned from the positions on Lines 1-2, 8-12 prior to entering service. I have not been active in the position listed on Line 3 since entering service. Please see letter regarding position listed on Line 6.

Part II: I terminated my participation in all of the agreements listed in Part II prior to entering service.

Part III-A: Line 1 is a good faith estimate because the final tax report for 2012 has not yet been received.

Part III-A: Line 8 reflects income that was not paid to me, but was paid directly to the law firm under the terms of the Partnership Agreement. I resigned from this position in April 2010.

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Sullivan, Patricia A.

Date of Report

02/20/2013

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