

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Lisi, Mary M.	2. Court or Organization U.S. District Court - R. I.	3. Date of Report 05/02/2012
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 01/01/2011 to 12/31/2011
7. Chambers or Office Address U.S. District Court 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. 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. 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.	
5.	

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. 2011	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. Federal Judges' Association	4/12/2011 - 4/14/2011	Washington, DC	Board Meeting	Lodging, ground transportation, meals
2. Federal Bar Association	9/7/2011 - 9/11/2011	Chicao, IL	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 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, Providence, RI NOW Account	A	Interest	L	T					
2. Citizens Bank - IRA (cash equivalent)	A	Interest	J	T					
3. Citizens Bank - IRA (cash equivalent)	A	Interest	K	T					
4. Bank RI - Money Market Acct.	B	Int./Div.	L	T					
5. 401(K)RETIREMENT PLAN	F	Dividend	O	T					
6. - Dreyfus Bond Market Index Fund									
7. -Federated Capital Appreciation Fund A									
8. - Janus Advisor Flexible Income Fund									
9. - MFS Total Return Fund A									
10. - MFS Global Equity Fund A									
11.									
12. Fidelity Investments									
13. - Calamos Convertible Class A	A	Dividend	J	T					
14. - Columbia Acorn	A	Dividend	J	T	Buy	02/04/11	J		
15. - Eaton Vance Floating Rate	A	Dividend	J	T	Buy	02/22/11	J		
16.					Buy	05/25/11	J		
17. - Generations Multi-Strategy Fund	A	Dividend	J	T	Buy	02/04/11	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	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	

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18. - Janus Overseas		None			Buy	02/04/11	J		
19.					Sold	12/16/11	J		
20. - Janus Research	A	Dividend	J	T	Buy	02/04/11	J		
21. - Loomis Sayles Investment Grade Bond	A	Dividend	J	T	Sold (part)	02/18/11	J	A	
22.					Sold (part)	05/24/11	J	A	
23. - Mainstay High Yield Corp. Class A	A	Dividend	J	T					
24. - Narragansett Insured Tax Free Inc. CL Y	A	Dividend	J	T	Buy (add'l)	09/26/11	J		
25. - Oppenheimer International Growth		None	J	T	Buy	12/19/11	J		
26. - PIMCO Developing Local Markets	A	Dividend	J	T	Buy	01/13/11	J		
27. - Rydex Inverse Gov't Bond Fund		None			Sold	09/23/11	J		
28. - Templeton Global Bond	A	Dividend	J	T	Sold (part)	01/12/11	J	A	
29. - Thornburg intl. Value CL Instl.		None			Sold	01/12/11	J	A	
30. - T. Rowe Price Blue Chip Growth		None	J	T	Buy	02/04/11	J		
31. - Fidelity Municipal Money Market	A	Dividend	J	T					
32.									
33. Fidelity IRA 1									
34. - American Century GNMA	A	Dividend			Sold	06/24/11	K	A	

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
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35. - Calamos Convertible Class A	A	Dividend	J	T					
36. - Columbia Acorn	A	Dividend	J	T	Buy	02/04/11	J		
37. - Eaton Vance Floating Rate	A	Dividend	J	T	Buy	02/22/11	J		
38.					Buy	05/25/11	J		
39. - Generations Multi-Strategy Fund	A	Dividend	J	T	Buy	02/04/11	J		
40. - Janus Overseas	A	Dividend	J	T	Buy	02/04/11	J		
41. - Janus Research	A	Dividend	J	T	Buy	02/04/11	J		
42. - Loomis Sayles Investment Grade Bond	B	Dividend	K	T	Sold (part)	02/03/11	J	A	
43.					Sold (part)	02/18/11	J	B	
44.					Sold (part)	05/24/11	J	A	
45. - Mainstay High Yield Corp. Class A	A	Dividend	J	T	Sold (part)	02/03/11	J	A	
46. - PIMCO Developing Local Markets	A	Dividend	J	T	Buy	01/13/11	J		
47. - Rydex Inverse Gov't. Bond Fund		None			Sold	09/23/11	J		
48. - Sit US Government Securities	A	Dividend	K	T	Buy	06/27/11	K		
49.					Buy	09/26/11	J		
50. - Templeton Global Bond	A	Dividend	J	T	Sold (part)	01/12/11	J	B	
51. - Thornburg Intl. Value CL Instl.		None			Sold	02/03/11	J	A	

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. - T. Roew Price Blue Chip Growth		None	J	T	Buy	02/04/11	J		
53. - Fidelity Cash Reserves	A	Dividend	K	T					
54.									
55. Fidelity IRA 2									
56. - American Century GNMA	A	Dividend			Sold (part)	02/03/11	J	A	
57.					Sold	06/24/11	J	A	
58. - Eaton Vance Floating Rate	A	Dividend	J	T	Buy	05/25/11	J		
59. - Generations Multi-Strategy Fund	A	Dividend	J	T	Buy	02/04/11	J		
60. - Loomis Sayles Investment Grade Bond	A	Dividend			Sold	05/24/11	J	A	
61. - Mainstay High Yield Corp. Class A	A	Dividend	J	T					
62. - Sit US Government Securities	A	Dividend	J	T	Buy	06/27/11	J		
63. - Templeton Global Bond	A	Dividend	J	T	Buy	02/04/11	J		
64. - Thornburg International Value	A	Dividend	J	T	Buy	02/04/11	J		
65. - T. Rowe Price Blue Chip Growth		None	J	T	Buy	02/04/11	J		
66. - Fidelity Cash Reserves	A	Dividend	J	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000
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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: **s/ Mary M. Lisi**

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
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Washington, D.C. 20544