

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 05/14/2015
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 01/01/2014 to 12/31/2014
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.	

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2014

Citizens Bank (pension)

2. 2014

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

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) 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. MFS Investment Management (Educational Funds)	A	Dividend	J	T					
2. --MFS Growth Allocation Fund A (MAGWX)					Distributed	12/19/14	J	B	Grandson for education
3. --MFS Growth Allocation Fund B (MBGWX)									
4. US Treasury EE Bonds	A	Interest	J	T					
5. Northwest Mutual Life Policy "Adjustable CompLife"	C	Dividend	M	T					
6. Minnesota Variable Group Universal Life Insurance Policy	C	Int./Div.	K	T					
7. --Janus Aspen Forty									
8. --FID VIP Value									
9. --Ivy VIP Value									
10. --FID VIP Equity Income									
11. --Janus Aspen OVES SS									
12. Membership in [REDACTED] LLC	B	Distribution	M	U					
13. BNY Mellon HSA Account (Y)									
14. Sovereign Account	A	Interest	K	T					
15. Sovereign Money Market Account	A	Interest	L	T					
16. Schwab Account (IRA)	G	Int./Div.	P1	T					
17. --Schwab Govt Money Fund (SWGXX)	A	Interest	K	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	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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☐ 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				
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18. --Charles Schwab Bank account	A	Interest	J	T					
19. --Fidelity Floating Rate HI INCM (FFRHX)	D	Dividend	M	T					
20. --First Eagle High Yield FD A (FEHAX)	D	Dividend	M	T					
21. --Flexshares ETF IBoxx 3 Yr TRGT (TSTT)	A	Dividend	K	T					
22. --Invesco Conv Securities FD CL (CNSAX)	C	Dividend	M	T					
23. --Lord Abbett Short Duration (LALSZ)	A	Dividend	K	T					
24. --Pimco 0-5 High Yield Corp B (HYS)	B	Dividend	K	T					
25. --Putnam Absolute Return 300 FD (PYTRX)	D	Dividend	N	T					
26. --Fidelity ADV Emerging Mkts Inc (FMKAX)	C	Dividend	L	T					
27. --SPDR INTL Government TIPS ETF (WIPX)	A	Dividend	L	T					
28. --Templeton Global Bond Fund (TGBAX)	E	Dividend	N	T					
29. --First Eagle US Value Fund CL (FEVAX)	A	Dividend	N	T					
30. --Goldman Sachs Small Mid Cap (GSMYX)	B	Dividend	M	T					
31. --Heartland Value Plus (HNVIX)	D	Dividend	L	T					
32. --Powershares S&P ETF 500 Low VO (SPLV)	D	Dividend	M	T					
33. --Putnam Capital Spectrum FD CL (PVSAX)	B	Dividend	N	T					
34. --Royce Special Equity FD Invest (RYSEX)	E	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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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				
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35. --Schwab S&P 500 Selct Shs (SWPPX)					Sold	03/11/14	L	D	
36. --First Eagle Overseas (SGOVX)	D	Dividend	M	T					
37. --Ishares MSCI ETF Emerging MKTS (EEMV)	D	Dividend	M	T					
38. --Powershares ETF S&P INTL (IDLV)	B	Dividend	L	T					
39. --SCHW Intl SCAP ETF (SCHC)	C	Dividend	M	T					
40. --SPDR DJ Wilshire Intl Real Est (RWX)	D	Dividend	L	T					
41. --SPDR DJ Wilshire REIT (RWR)	D	Dividend	M	T					
42. --iPath DJ AIG Commodity Index (DJP)		None	J	T					
43. --DFA INTL Small Cap Value (DISVX)	A	Dividend	K	T					
44. --Lord Abbett Inflation Focused FD (LIFIX)	C	Dividend	M	T					
45. --Loomis Sayles Senior Fltng Rate & Fixed (LSFYX)	A	Dividend	J	T					
46. --Putnam Capital Spectrum FD CL Y (PVSIX)	D	Dividend	N	T					
47. -- Dodge & Cox Stock (DODGX)					Sold	06/06/14	J	C	
48. --Harbor Capital Appreciation Instl (HACAX)	E	Dividend	K	T					
49. --Hartford Global Bond (HWDYX)	A	Dividend	K	T	Buy	06/16/14	J		
50.					Buy (add'l)	09/12/14	K		
51. --ALPS GS ETF Risk Adjusted (GJRA)	A	Dividend			Buy	03/11/14	L		

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	
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52.					Sold	08/28/14	L	D	
53. Schwab Account	E	Int./Div.	O	T					
54. --Schwab Govt Money Fund	A	Int./Div.	K	T					
55. --First Eagle US Value (FEVAX)	C	Dividend	L	T					
56. --Fidelity ADV Emerging Mar (FMKAX)	A	Dividend	J	T					
57. --iShares MSCI (EEMV)	A	Dividend	K	T					
58. --DFA INTL Small Cap (DISVX)	A	Dividend	K	T					
59. --Royce Special Equity (RYSEX)	B	Dividend	K	T					
60. --First Eagle Overseas (SGOVX)	B	Dividend	K	T					
61. --SPDR Nuveen Barclays (SHM)	A	Dividend	K	T	Sold (part)	01/16/14	K	A	
62. --Schwab S&P 500 Select (SWPPX)	A	Dividend	J	T					
63. --Templeton Global Bond Fund (TGBAX)	C	Dividend	L	T					
64. --SPDR INTL Government (WIP)	B	Dividend	J	T					
65. --MKT Vectors ETF (HYD)	B	Dividend	K	T					
66. --Goldman Sachs Small Mid Cap (GSMYX)	B	Dividend	K	T					
67. --Lord Abbett Inflation (LIFIX)	A	Dividend	K	T					
68. --Loomis Sayles Senior (LSFYX)	B	Dividend	K	T					

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69. --SPDR DJ Wilshire INTL Real Estate (RWX)	A	Dividend	J	T					
70. --Putnam Capital Spectrum (PVSX)	B	Dividend	L	T					
71. --SPDR DJ Wilshire REIT (RWR)	A	Dividend	J	T					
72. --JP Morgan Tax Aware Income Opp (JTASX)	A	Dividend	K	T	Buy	01/16/14	K		

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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 regarding the position listed on Line 3.

Part VII:

Line 6: The income reported for this life insurance policy is based on the total "investment gain/loss" that appears in the year end statement.

Line 12: The asset listed on Line 12 is membership in an entity that has never made a distribution to its members. The entity's sole asset, a vacation cottage, is used by the members from time to time; I use an estimate of the value of this use as "income."

Line 16: This IRA is actually two accounts, one in my name and one in my husband's name, managed by the same person at Schwab.

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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