AO 10 Rev. 1/2019	**FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019**	*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)	**2. Court or Organization**	**3. Date of Report**
Sullivan, Patricia A.	District Court - RI	05/15/2020
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 **5b.** ☐ Amended Report	**6. Reporting Period** 01/01/2019 **to** 12/31/2019
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.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Member and Officer (Treasurer)	Board of Directors of Roger Williams University School of Law
2.	Manager and Member	[redacted]
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 [redacted]

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

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

Name of Person Reporting	Date of Report
Sullivan, Patricia A.	05/15/2020

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.)*

	DATE	SOURCE AND TYPE	INCOME (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.)*

	DATE	SOURCE AND TYPE
1.	2019	Citizens Bank (pension)
2.	2019	Bank of America (pension)
3.	2019	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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

Name of Person Reporting	Date of Report
Sullivan, Patricia A.	05/15/2020

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.			

Name of Person Reporting	Date of Report
Sullivan, Patricia A.	05/15/2020

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 (1) Amount Code 1 (A-H)	 (2) Type (e g , div , rent, or int)	C Gross value at end of reporting period (1) Value Code 2 (J-P)	 (2) Value Method Code 3 (Q-W)	D Transactions during reporting period (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) (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 #1 Cash-equivalent	A	Interest	M	T					
13. Santander Account #2 Cash-equivalent	A	Interest	L	T					
14. Santander Money Market Account Cash-equivalent	A	Interest	K	T					
15. Schwab Account #1(IRA) (H)									
16. --Schwab Value Advantage Fund (SWVXX)	A	Interest	J	T					
17. --PIMCO Foreign Bond (PFORX)	D	Dividend	M	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	

Name of Person Reporting	Date of Report
Sullivan, Patricia A.	05/15/2020

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 (1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	C Gross value at end of reporting period (1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	D Transactions during reporting period (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. --Teton Convertible Sec (WESIX)	B	Dividend	M	T	Sold (part)	05/15/19	J	A	
19.					Sold (part)	10/09/19	J	A	
20. --Western Asset Macro Opportunities (LAOIX)	E	Dividend	M	T					
21. --Schwab Bank	A	Interest	J	T					
22. --Fidelity Floating Rate HI INCM (FFRHX)	D	Dividend	M	T					
23. --First Eagle High Yield FD I (FEHIX)	D	Dividend	M	T					
24. --Pimco 0-5 High Yield Corp B (HYS)	D	Dividend			Sold	07/19/19	K	A	
25. --Fidelity New Mkts Inc (FGZMX)	C	Dividend	L	T					
26. --Templeton Global Bond Fund (TGBAX)	E	Dividend	N	T					
27. --First Eagle US Value Fund CL (FEVIX)	D	Dividend			Sold	05/15/19	L	A	
28. --Goldman Sachs Small Mid Cap (GSMYX)	E	Dividend	M	T					
29. --Powershares S&P ETF 500 Low VO (SPLV)	C	Dividend	M	T					
30. --Western Core Plus Bond (WACPX)	E	Dividend	N	T					
31. --Schwab Fundamental US Large Cap (FNDX)	B	Dividend	L	T					
32. --JP Morgan Hedged Equity (JHEQX)	B	Dividend	M	T					
33. --Wells Fargo Low Volatility (WLVOX)	D	Dividend	M	T					
34. --DFA US Large Cap Value (DFLVX)	B	Dividend			Sold	07/26/19	M	A	

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Sullivan, Patricia A.	05/15/2020

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)	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. --Fidelity Total Emerging MKTS (FTEJX)	C	Dividend	M	T	Sold (part)	05/15/19	K	A	
36.					Sold (part)	07/19/19	K	A	
37. --WisdomTree US Div Growth (DGRW)	A	Dividend	L	T	Buy	05/15/19	L		
38. --Schwab S&P 500 Selct Shs (SWPPX)	D	Dividend	N	T					
39. --First Eagle Overseas (SGOIX)	D	Dividend	M	T					
40. --Powershares ETF S&P INTL (IDLV)	C	Dividend	L	T	Sold (part)	11/19/19	J	A	
41. --SCHW Intl SCAP ETF (SCHC)	C	Dividend	M	T					
42. --Schwab Fund Intl Sm Cap (FNDC)	A	Dividend			Buy	10/28/19	K		
43.					Sold	11/19/19	J	A	
44. --SPDR Strategic Factors (QUS)	B	Dividend	M	T	Buy	07/29/19	M		
45.					Sold (part)	07/26/19	J	A	
46.					Sold (part)	10/08/19	J	A	
47. --Loomis Sayles Senior Flting Rate & Fixed (LSFYX)	B	Dividend	K	T	Sold (part)	11/19/19	K	A	
48. --Goldman Sachs GQG Partners (GSIMX)	B	Dividend	M	T					
49. --Brandes Intl Small Cap (BISMX)	A	Dividend			Sold	10/28/19	K	A	
50. --361 US Small Cap (ASFZX)	A	Dividend	M	T					
51. --Hartford Global Bond (HWDYX)	B	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	

Name of Person Reporting	Date of Report
Sullivan, Patricia A.	05/15/2020

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 (1) Amount Code 1 (A-H)	 (2) Type (e g , div , rent, or int)	C Gross value at end of reporting period (1) Value Code 2 (J-P)	 (2) Value Method Code 3 (Q-W)	D Transactions during reporting period (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. Schwab Account #2 (H)									
53. --Schwab Bank (X)	A	Int./Div.	J	T					
54. --Brandes Intl Small Cap (BISMX)	A	Dividend			Sold	10/28/19	J	A	
55. --Lord Abbett HY Muni (HYMIX)	A	Dividend	K	T	Buy	07/24/19	K		
56. --Schwab Tax-Ex Money VAl (SWTXX)	A	Int./Div.	K	T	Sold (part)	10/08/19	K	A	
57. --First Eagle US Value (FEVIX)	C	Dividend			Sold	05/15/19	K	A	
58. --Fidelity New Mkts Inc (FGZMX)	B	Dividend	K	T					
59. --IShares MSCI (EEMV)	B	Dividend	K	T					
60. --First Eagle Overseas (SGOIX)	B	Dividend	K	T					
61. --Schwab S&P 500 Select (SWPPX)	A	Dividend	L	T					
62. --Templeton Global Bond Fund (TGBAX)	A	Dividend							
63. --MKT Vectors ETF (HYD)	A	Dividend			Sold	07/24/19	K	A	
64. --Goldman Sachs Small Mid Cap (GSMYX)	C	Dividend	K	T					
65. --WisdomTree US Div Growth (DGRW)	A	Dividend	K	T	Buy	05/15/19	K		
66. --PIMCO Foreign Bond (PFORX)	C	Dividend	K	T					
67. --Western Asset Macro Opportunities (LAOIX)	B	Dividend	J	T					
68. --Eaton Vance Muni Oppty (EMOIX)	B	Dividend	M	T					

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Sullivan, Patricia A.	05/15/2020

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 (1) Amount Code 1 (A-H)	 (2) Type (e g , div , rent, or int)	C Gross value at end of reporting period (1) Value Code 2 (J-P)	 (2) Value Method Code 3 (Q-W)	D Transactions during reporting period (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. --Fidelity Total Emerging Mkts (FTEJX)	A	Dividend	K	T					
70. --Schwab Fund Intl Sm Cap (FNDC)	A	Dividend	J	T	Buy	10/28/19	J		
71. --SPDR MSCI Strat FAct (QUS)	A	Dividend	K	T	Buy	07/26/19	K		
72. --DFA US Large Cap Value (DFLVX)	A	Dividend			Sold	07/26/19	J	A	
73. --JP Morgan Hedged Equity (JHEQX)	A	Dividend	J	T					
74. --Fidelity FLoating Rate Hi Income (FFRHX)	B	Dividend	K	T					
75. --Goldman Sachs GQG Partners (GSIMX)	A	Dividend	K	T					
76. Estate (H)									
77. --Wells Fargo Advisors #1 (H)									
78. ---Cash	A	Interest	J	T	Distributed (part)	11/19/19	M	A	
79. ---AT&T Inc	B	Dividend			Distributed	11/19/19	K	C	
80. ---BCE Inc	A	Dividend			Distributed	11/19/19	K	B	
81. ---Brookfield Infrasture Partners LP	B	Dividend			Distributed	11/19/19	K	D	
82. ---Century Link Inc	B	Dividend			Sold	04/25/19	K	A	
83. ---Energy Transfer LP	A	Dividend			Sold	08/06/19	K	A	
84. ---Williams Companies Inc	B	Dividend			Sold	08/06/19	K	A	
85. ---American Financial PFD	B	Interest			Distributed	11/19/19	K	A	

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	

Name of Person Reporting	Date of Report
Sullivan, Patricia A.	05/15/2020

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 (1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	C Gross value at end of reporting period (1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	D Transactions during reporting period (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)
86. ---Capital One Fin Corp PFD	B	Dividend			Distributed	11/19/19	K	A	
87. ---Goldman Sachs Var PFD	B	Dividend			Distributed	11/19/19	K	C	
88. ---JP Morgan Chase & Co PFD	B	Dividend			Redeemed	09/03/19	K	A	
89. ---Morgan Stanley 6.25% PFD	B	Dividend			Distributed	11/19/19	K	A	
90. ---Pitney Bowes Inc 6.7% PFD	B	Interest			Sold	04/25/19	K	A	
91. ---Qwest Corp PFD	B	Interest			Distributed	11/19/19	K	B	
92. ---Telephone & Data 7% Perptl Sys Inc PFD	B	Interest			Distributed	11/19/19	K	A	
93. ---US Cellular Corp PFD	B	Interest			Distributed	11/19/19	K	C	
94. --People's United Bank	A	Interest			Distributed	12/02/19	J	A	
95. --Bank of America	A	Interest			Closed	05/30/19	J	A	
96. --Merrill Edge IRA A/C Cash-equivalent	A	Int./Div.			Closed	4/3/19	K	A	
97. Wells Fargo Advisors #2 (H) (X)									
98. --Cash	A	Interest	J	T	Distributed (part)	12/18/19	L		
99.					Distributed (part)	12/30/19	J		
100. --American Financial PDF	A	Interest			Redeemed	12/23/19	J	A	
101. --AT&T Inc.	A	Dividend			Distributed	12/18/19	J	A	
102. --BCE Inc.	A	Dividend			Distributed	12/18/19	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Sullivan, Patricia A.	05/15/2020

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)	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)
103. --Brookfield Infrasture Partners LP	A	Dividend			Distributed	12/18/19	J	A	
104. --Capital One Fin Corp PFD	A	Dividend			Redeemed	12/02/19	J	A	
105. --Morgan Stanley 6.25% PFD	A	Dividend			Distributed	12/18/19	J	A	
106. --Qwest Corp PFD	A	Interest			Distributed	12/18/19	J	A	
107. --Telephone & Data 7% Perptl Sys Inc PFD	A	Interest			Distributed	12/18/19	J	A	
108. --US Cellular Corp PFD	A	Interest			Distributed	12/18/19	J	A	
109. --Goldman Sachs Var PFD	A	Dividend			Distributed	12/18/19	J	A	
110. Schwab Account #3 (H) (X)									
111. --Cash	A	Interest	L	T					
112. --AT&T Inc	A	Dividend	J	T					
113. --BCE Inc	A	Dividend	J	T					
114. --Brookfield Infrasture Partners LP	A	Dividend	J	T					
115. --Morgan Stanley 6.25% PFD	A	Dividend	J	T					
116. --Qwest Corp PFD	A	Dividend	J	T					
117. --Telephone & Data 7% Perptl Sys Inc PFD	A	Dividend	J	T					
118. --US Cellular Corp PFD	A	Interest	J	T					
119. --Goldman Sachs Var PFD	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 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	

Name of Person Reporting	Date of Report
Sullivan, Patricia A.	05/15/2020

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

Part I:

Line 1: I became Treasurer of the Board of Directors of Roger Williams Law School on May 1, 2020.

Line 3: Please see the letter from the Committee on Codes of Conduct that I have filed previously 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] I use an estimate of the value of this use as"income."

Lines 15, 49 and 104: Because a third Schwab account was added this year, I have numbered all three of them to distinguish them from each other

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

Lines 16 and 53: This is a name change from Schwab Govt Money Fund (SWGXX) to Schwab Value Advantage Fund (SWVXX) (line 16) and to Schwab Bank (line 53).

Lines 77 and 97: Because a second Wells Fargo account was added this year, I have numbered them to distinguish them from each other.

Lines 85, 90-93: In the course of preparing the 2019 report, I discovered that the income associated with these assets was interest, as correctly reported here, not dividends, as I mistakenly reported last year.

Line 97: When [redacted] estate was prepared for distribution in November 2019, the assets were reallocated into five separate Well Fargo accounts owned by each of [redacted]. The assets that came to me were briefly held in the Wells Fargo Advisors #2 listed on line 97. From there they were immediately distributed into the Scwhab Account #3 listed on line 110. This Wells Fargo account was closed in early 2020.

Note: During preparing the 2019 report I discovered that the manager of the Schwab accounts mistakenly failed to advise me that three assets were sold in 2018, listed on the 2018 report on lines 36, 41 and 42. These are: Royce Special Equity FD Invest (RYSEX) (sold 09/20/18, value code K, no gain), Schwab DJ Wilshare Intl Real Est (RWX (sold 11/30/18, value code L, no gain) and SPDR DJ Wilshare REIT (RWR) (sold 3/12/18, value code J, gain code B).

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, possibly negative, resale value because it can be used only subject to availabilty, which is limited. It does not appear to be required to be reported as it does not fall into any category on the form.

Name of Person Reporting	Date of Report
Sullivan, Patricia A.	05/15/2020

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