

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) Lee, William C.	2. Court or Organization U.S. DISTRICT COURT NORTHERN DISTRICT OF INDIANA	3. Date of Report 07/10/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. DISTRICT JUDGE - Senior stat eff. 2/3/03	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address 2100 E. Ross Adair Federal Building 1300 S. Harrison Street Fort Wayne, IN 46802		
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	Fort Wayne Community School Scholarship Committee
2.	Board Member	Allen County Fort Wayne Historical Society
3.	Board Member	Volunteer Lawyer Program
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. 2018	West Publishing Co. Book Royalties	\$51,302.67
2. 2018	Wilson Foundation - Committee Attendance Fees	\$1,500.00
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.	
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.				
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.)*

<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. Steuben Co., IN, farm (Appraisal date 12/14/16)	E	Rent	O	Q					
2. Agency #1 (H)									
3. Goldman Sachs FS Gov't #465	A	Dividend	J	T	Sold	01/17/18	J		
4.					Buy	02/20/18	J		
5.					Sold	02/21/18	J		
6.					Buy	06/18/18	J		
7.					Buy	08/23/18	J		
8.					Sold	10/03/18	J		
9.					Buy	12/19/18	J		
10.					Buy	12/27/18	K		
11.					Sold	12/28/18	K		
12. DODGE & COX INCOME FUND	A	Dividend	J	T					
13. GS DYNAMIC MUNI INCOME FD-INSTL	A	Dividend	J	T					
14. LORD ABBET INVT TR	A	Dividend	J	T	Buy	10/29/18	J		
15. NORTHERN FUNDS ULTRA-SHORT FIXED	A	Dividend	J	T					
16. OPPENHEIMER SENIOR FLOATING RATE	A	Dividend	J	T	Buy	01/16/18	J		
17.					Buy	02/20/18	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	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.					Buy	10/03/18	J		
19.					Sold	12/31/18			
20. VANGUARD FIXED INC	A	Dividend	J						
21. VANGUARD HIGH YIELD CORP FUND	A	Dividend	J	T	Buy	02/20/18	J		
22. VANGUARD INTER-TERM TAX EXEMPT FUND	A	Dividend	K	T	Sold	10/29/18	J		
23. VANGUARD ST CORP BOND INDEX I	A	Dividend	K	T	Sold	10/29/18	J		
24. VANGUARD ST INV GRADE FUND I	A	Dividend	K	T	Buy	10/03/18	J		
25. EATON VANCE PARAMETRIC EMERGING MKT	A	Dividend	J	T	Sold	06/18/18	J	A	
26. HARBOR CAPITAL APPRECIATION FUND	C	Dividend	K	T	Buy	10/29/18	J		
27. ISHARES MSCI EAFE INDEX FUND			K	T	Buy	12/28/18	K		
28. MFS VALUE I	A	Dividend	K	T	Buy	02/20/18	J		
29.					Sold	12/31/18		E	
30. OPPENHEIMER INT'L SMALL COMPANY FD	A	Dividend	J	T					
31. T ROWE PRICE MID C	A	Dividend	J	T	Sold	08/22/18		A	
32. T ROWE PRICE QUANT MGT FDS INC	A	Dividend	J	T	Buy	01/05/18	J		
33.					Sold	08/22/18		A	
34. VANGUARD S&P 500 ETF	A	Dividend	K	T	Buy	01/17/18	J		

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		
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35.					Buy	02/21/18	J		
36. VANGUARD SMALL CAP VALUE	A	Dividend	J	T	Sold	02/20/18	J	A	
37.					Sold	08/22/18		A	
38. VICTORY SYCAMORE ESTABLISHED	A	Dividend	J	T	Sold	02/20/18	J	A	

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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/ William C. Lee

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
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