

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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, Gerald B.	2. Court or Organization Eastern District of Virginia	3. Date of Report 08/14/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S.District Judge-Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/1/2012 to 12/31/2012
7. Chambers or Office Address 401 Courthouse Square Alexandria, Virginia 22314		
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.	Board of Trustees	The American University
2.	Baord of Advisors	Marshall Brennan Program The American University Washington College of Law
3.	Dean's Advisory Council	The American University Washington College of Law
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.	04/16/99	Delaware Charter Guarantee Trust Company, IRA FBO Gerald Bruce Lee
2.	5/92	Virginia Retirement System, government pension, Fairfax Circuit Court
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. 01/01/2012	Virginia Retirement System	\$22,000.00
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. 01/01/12	
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. Just the Beginning Foundation	September 26-28, 2012	Chicago, Illinois	Teach, Presentation	transportation, hotel, and meals
2. National Bar Association Corporate Counsel Conference	February 22-26, 2012	Miami, Florida	Teach	transportation, hotel, and meals
3. National Bar Association Mi-Year Judicial Council Conference	January 18-22, 2012	St. Maarten, VI	Teach	transportation, hotel, and meals
4. Virginia Continuing Legal Education Committee Virginia State Bar National Trial Ad	January 11-12, 2012	Charlottesville, Virginia	Teach	transportation, hotel, and meals

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5.	Practising Law Institute Patent Law Seminar	February 3, 2012	New York, New York	Teach	transportation, hotel, and meals
6.	Conclave on Education, Virginia State Bar	April 22-23, 2012	Charlottesville, Virginia	Teach	transportation, hotel, and meals
7.					

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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 I (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. Alliance Capital Reserves Money Market Fund (401)(K)*	A	Interest	J	T					
2. Wal Mart Stores, Inc. (IRA)	A	Dividend	J	T					
3. Vanguard Total Stock Index Fund, IRA*		None			Sold	12/01/12	K		
4. Vanguard Total Stock Mkt Index IRA*		None			Sold	12/01/12	K		
5. Vanguard US Growth IRA*		None			Sold	12/01/12	K		
6. Vanguard US Growth Fund IRA*		None			Sold	12/01/12	K		
7. Vanguard 500 Index Fund IRA*		None			Sold	12/01/12	K		
8. Vanguard Capital Opp IRA*		None			Sold	12/01/12	K		
9. DWS Funds Strategic Yield Tax Free		None	K	T	Buy	12/10/12	K		
10. Fidelity Fund IRA*		None			Sold	12/01/12	K		
11. Fidelity Growth Strategy fka FAG*		None			Sold	12/01/12	K		
12. Vanguard Health Care Fnd* IRA		None			Sold	12/01/12	K		
13. Black Rock Global Allocation Fund, Inc.		None	K	T	Buy	12/10/12	J		
14. First Eagle Sogen Global FD CL C		None	K	T	Buy	12/10/12	K		
15. Hartford Balanced Allocation FD CL C		None	K	T	Buy	12/10/12	K		
16. Lord Abbet Diversified Income Strategy Class C		None	K	T	Buy	12/10/12	K		
17. Russell 3000 Index*		None			Sold	12/01/12	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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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. [REDACTED] 401 (K) Retirement Plan and Trust		None	M	T	Buy (add'l)	01/01/12	K		
19. Johnson Controls	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

VII. Investments and Trusts

No. 18. [REDACTED] 401 (k) Retirement Plan and Trust

Itemss 4,5,6,7,8,11,12,13 and 18 were sold in December 1, 2012 and reinvested in new funds items 10, 14, 15,16 and 17 Funds on December 10, 2012

ADDITIONAL INFORMATION IN RESPONSE TO FDR COMMITTEE INQUIRY MAY 31, 2013

(1) I removed the information as directed.

(2) See above. Vanguard 500 Index Fund, Vanguard Health Care Fnd IRA were sold and reinvested in items 9, 13, 14, 15, and 16 on December 10, 2012.

(3) Your letter instructs me not to list the stock I purchase monthly because the amount does not exceed \$1,000. I will comply and remove the fact that I do purchase shares of Walmart Stores,Inc., General Mills Corporation, and General Electric Corporattion. I will continue to recuse myself from matters involving these entities because as I understand the law I may not preside over a case where I own stock in a corporations. Items No.19, 20, and 22 are removed from this Amended FDR.

(4) As per your staff's direction I removed listing Opp Quest for Oppty Fund, AIM Costellation, Johnson Controls, Vanguard Treasury M/Market Fund, and TIAA-Cref Tax Exempt Bond Fund because my investment in these entities did not equal \$1,000 per month. I do own some shares in Johnson Controls which remains listed on the Amended FDR.

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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/ Gerald B. 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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