

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2017**

*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 04/18/2018
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	6. Reporting Period 01/01/2017 to 12/31/2017
	5b. ☐ Amended Report	
7. Chambers or Office Address 2100 E. Ross Adair Federal Buidling 1300 S. Harrison Street Fort Wayne, IN 46802		
IMPORTANT NOTES: <i>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>		

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. 2017	West Publishing Co. Book Royalties	\$52,869.00
2. 2017	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.		

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	P1	Q					
2. SEE ATTACHED DOCUMENT									
3.									
4.									
5.									
6.									
7.									
8.									
9.									
10.									
11.									
12.									
13.									
14.									
15.									
16.									
17.									

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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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

Judge William Lee - 2017

A. Description of Assets		B. Income		C. Gross Value		D. Transactions during reporting period				
		(1) Amt	(2) Type	(1) Value	(2) Value Method	(1) Type	(2) Date mm/dd/yy	(3) Value	(4) Gain	(5) Buyer /Seller
1	Agency #1 (H)									
2	Goldman Sachs FS Gov'T #465	A	Dividend	J	T	Buy	12/31/16	N		
3	DODGE & COX INCOME FUND	A	Dividend	J	T	Buy	01/04/17	J		
						Buy	03/20/17	J		
						Buy	03/21/17	J		
						Sell	03/30/17	J	A	
						Sell	06/05/17	J	A	
						Sell	12/21/17	J	A	
4	FRANKLIN HIGH YIELD TAX FREE INC	A	Dividend	J	T					
5	GS DYNAMIC MUNI INCOME FD-INSTL	A	Dividend	J	T	Buy	04/12/17	J		
6	NORTHERN FUNDS ULTRA-SHORT FIXED	A	Dividend	J	T	Buy	06/05/17	J		
						Sell	12/22/17	J	A	
7	VANGUARD FIXED INC	A	Dividend	J	T	Buy	01/04/17	J		
						Sell	12/14/17	J	A	
8	VANGUARD GNMA ADM #536	A	Dividend	J	T	Buy	01/04/17	J		
						Sell	06/05/17	J	A	
9	VANGUARD INTER-TERM TAX EXEMPT FUND	A	Dividend	K	T					
10	VANGUARD ST CORP BOND INDEX I	A	Dividend	K	T	Buy	01/04/17	J		
						Buy	01/24/17	J		
						Buy	06/05/17	J		
						Buy	06/21/17	J		
11	VANGUARD ST INV GRADE FUND I	A	Dividend	K	T	Buy	01/04/17	J		
						Buy	01/24/17	J		
						Buy	06/05/17	J		
						Buy	06/21/17	J		
12	EATON VANCE PARAMETRIC EMERGING MKT	A	Dividend	K	T	Buy	06/21/17	J		
						Sell	04/03/17	J	A	
13	FRANKLIN SMALL CAP GROWTH ADV	A	Dividend	K	T	Buy	05/05/17	J		
						Buy	06/05/17	J		
						Buy	01/04/17	J		
						Buy	01/10/17	J		

A. Description of Assets	B. Income		C. Gross Value		D. Transactions during reporting period				
	(1) Amt	(2) Type	(1) Value	(2) Value Method	(1) Type	(2) Date mm/dd/yy	(3) Value	(4) Gain	(5) Buyer /Seller
					Buy	01/24/17	J		
					Buy	02/23/17	J		
					Buy	03/20/17	J		
					Buy	04/07/17	J		
					Sell	12/19/17	J	A	
14 HARBOR CAPITAL APPRECIATION FUND	A	Dividend	K	T	Buy	01/09/17	J		
					Buy	01/10/17	J		
					Buy	02/13/17	J		
					Sell	12/20/17	J	C	
15 MFS INTERNATIONAL VALUE FUND I	A	Dividend	K	T	Buy	02/23/17	J		
					Sell	06/21/17	J	A	
					Sell	12/18/17	J	A	
16 MFS VALUE I	A	Dividend	K	T	Buy	01/09/17	J		
					Buy	01/10/17	J		
					Buy	02/23/17	J		
					Buy	04/28/17	J		
					Sell	06/05/17	J	A	
					Sell	12/26/17	J	A	
17 OPPENHEIMER INT'L SMALL COMPANY FD	A	Dividend	J	T	Sell	06/21/17	J	A	
					Sell	12/13/17	J	A	
18 OPPENHEIMER INTL GROWTH #1961	A	Dividend	J	T	Buy	02/23/17	J		
19 T ROWE PRICE MID C	A	Dividend	J	T	Buy	03/03/17	J		
					Buy	03/21/17	J		
					Sell	12/18/17	J	A	
20 VANGUARD DIVIDEND GROWTH #57	A	Dividend	J	T	Buy	01/09/17	J		
					Buy	01/31/17	J		
					Sell	03/29/17	J	A	
					Sell	12/21/17	J	A	
					Sell	06/21/17	J	A	
21 VANGUARD S&P 500 ETF	A	Dividend	K	T	Buy	01/06/17	J		
					Buy	01/24/17	J		

A. Description of Assets	B. Income		C. Gross Value		D. Transactions during reporting period				
	(1) Amt	(2) Type	(1) Value	(2) Value Method	(1) Type	(2) Date mm/dd/yy	(3) Value	(4) Gain	(5) Buyer /Seller
					Buy	2/2/2017	J		
					Buy	3/20/2017	J		
22 VANGUARD SMALL CAP VALUE	A	Dividend	J	T	Buy	01/04/17	J		
					Buy	01/10/17	J		
					Buy	01/24/17	J		
					Buy	04/07/17	J		
23 VICTORY SYCAMORE ESTABLISHED	A	Dividend	J	T	Buy	01/10/17	J		
					Buy	01/24/17	J		
					Sell	12/21/17	J	A	
24 LOOMIS SAYLES INTERMEDIATE DURATION BOND	A	Dividend			Buy	01/04/17	J		
					Sell	06/20/17	J	A	
					Sell	04/12/17	J	A	
25 PIMCO SHORT TERM I	A	Dividend			Buy	1/4/2017	J		
					Sell	6/5/2017	J	A	
					Buy	3/20/2017	J		
					Buy	3/21/2017	J		
26 VANGUARD HIGH YIELD CORP FUND					Buy	1/4/2017	J		
					Sell	6/5/2017	J	A	
27 HARBOR FUND INTERNATIONAL					Sell	3/1/2017	J	A	
28 VANGUARD LONG TERM TAX EXEMPT ADM					Sell	6/5/2017	J	A	