

FINANCIAL DISCLOSURE REPORT FINAL FILING

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 R.	2. Court or Organization U.S. Bankruptcy Court	3. Date of Report 8/1/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge - retired	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 07/15/2018
7. Chambers or Office Address Robert E. Coyle U.S.Courthouse 2500 Tulare Street, Rm. 2501 Fresno, CA. 93721		
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.	Alternate Trustee	Trust #1
2.	Co-trustee	Trust #2
3.	Income beneficiary	Trust #3
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Lee, William R.

Date of Report

8/1/2018

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. _____

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Lee, William R.

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8/1/2018

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.	Central Mortgage Company	mortgage on single family residence - Jefferson County, CO., Part VII, line 36	N
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Lee, William R.

Date of Report

8/1/2018

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. Bank of America - account	A	Interest	J	T					
2. Bank of the West - account	A	Interest	K	T					
3.									
4. Principal Financial Group - common stock - note 1	A	Dividend	K	T					
5. Principal Universal Life Protector policy #1		None	K	T					
6. Principal Universal Life Protector policy #2		None	K	T					
7.									
8. State Life Insurance Co. - Asset Care 1 - whole life/long term care		None	M	T					
9.									
10. Properties Co. #1 common stock - note 2	D	Rent	N	Q					
11.									
12. IRA #1 - Franklin Funds									
13. - Franklin Small-Mid Cap Growth Fund - Class A			K	T					
14. - Franklin Small-Mid Cap Growth Fund - Class C					Merged (with line 13)	04/17/18	K		
15. - Franklin Growth Fund - Class A			K	T					
16.									
17. IRA #2 - Franklin Funds									

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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Lee, William R.

Date of Report

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	(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)
18. - Franklin Small-Mid Cap Growth Fund - Class A - see note 4			K	T					
19.									
20. IRA #3 - Principal Securities, Inc.									
21. - Fidelity Government Cash Reserves - Money Market	A	Int./Div.	K	T					
22. - Principal Global Diversified Income Fund Class A	A	Int./Div.	K	T					
23. - Principal SAM Flexible Income Fund Class A	A	Int./Div.	K	T					
24.									
25. Trust #1									
26. - American Funds U.S. Government Money Market Fund - A - see note 5	A	Dividend	J	T	Sold (part)	03/08/18	K	A	
27. - Washington Mutual Investors Fund A	A	Dividend	K	T	Buy	03/08/18	K		
28. - Principal Survivorship Universal Life policy		None	K	T					
29.									
30. Trust #2		None	J	W					
31. - Oil & Gas Royalty - Kern County, CA.									
32.									
33. Trust #3									
34. - promissory note from Valley Power Systems, Inc.	D	Interest	O	U					

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FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Lee, William R.

Date of Report

8/1/2018

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35.									
36. Residential property - Jefferson County, CO - note 3		None	L	R					
37.									

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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Lee, William R.

Date of Report

8/1/2018

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

Note 1: Equity interest in Principal Financial Group, Inc. 638 shares of common stock issued in conjunction with life insurance policies. Quarterly dividends are reinvested. Shares held by issuer. Marketability unknown.

Note 2: Properties Co. #1 is a real property holding company, single asset - commercial property in Kern County, CA. - leased by family member's business. I hold 27.5% of the common stock, stock not marketable - appraisal date, March 13, 2009.

Note 3: Single family residence in Jefferson Co., Colorado co-owned with family members. Original cost \$329,000. I hold an undivided 20% interest as an investment only. No income.

Note 4: The Franklin Mid-Cap Growth Fund Class C in IRA #2 was converted by Franklin Funds to the Franklin Small Mid-Cap Growth Fund Class A on July 19, 2017

Note 5: It appears that the American Funds Money Market Fund - A (Trust #1) changed its name to American Funds U.S. Government Money Fund - A sometime between March 31, 2016 and June 9, 2016. The account number did not change.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Lee, William R.

Date of Report

8/1/2018

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 R. 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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