

**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) Walker, Lance E.	2. Court or Organization U.S. District Court, Maine	3. Date of Report 05/15/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III - Active Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address U.S. District Court, District of Maine Margaret Chase Smith Federal Building and Courthouse 202 Harlow Street Bangor, Maine 04401		
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.)*

POSITION

NAME OF ORGANIZATION/ENTITY

1.	
2.	
3.	
4.	
5.	

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

☒ **NONE** *(No reportable agreements.)*

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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Name of Person Reporting

Walker, Lance E.

Date of Report

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	GreatBanc Trust Company
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. Civil Jury Project	September 27, 2019	NYU Law School	Federal Judge Jury Innovations Workshop	Transportation, meals, hotel
2. George Mason University Law & Economics Center	April 26, 2019	George Mason University Law & Economic Center	Implications of Public Choice Economics Judicial Decision Making	Transportation, meals, hotel
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Walker, Lance E.	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.		

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. IRA #1 (H)									
2. (GOFXX) Federated Government Oblig Fd #117	A	Dividend	J	T					
3. Invesco QQQ Trust Unit Ser 1	A	Dividend	K	T					
4. Vanguard 500 Index Fund-Adm	C	Dividend	M	T					
5. IShares Core S&P Midcap ETF	A	Dividend	K	T					
6. Ishares Core S&P Small-Cap ETF	A	Dividend	K	T					
7. Doubleline Low Duration Bond Fund	A	Dividend	K	T					
8. Vanguard Fixed Income Secs Fd Admiral	B	Dividend	K	T					
9. IRA #2 (H)									
10. (GOFXX) Federated Government Oblig Fd #117	A	Dividend	J	T					
11. Invesco QQQ Trust Unit Ser 1	A	Dividend	K	T					
12. Vanguard S&P 500 ETF	A	Dividend	K	T					
13. Vanguard 500 Index Fund-Adm	C	Dividend	M	T					
14. Ishares Core S&P Small-Cap ETF	A	Dividend	K	T					
15. Doubleline Low Duration Bond Fund	B	Dividend	L	T					
16. Vanguard Fixed Income Secs Fd Admiral	C	Dividend	L	T					
17. 401(k) (H)									

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. Principal LifeTime 2040 Inst Fund	A	Dividend	J	T					
19. Key Bank Health Savings Account	A	Interest	J	T					
20. Key Bank Cash Accounts	A	Interest	K	T					
21. 529 Plan #1 (H)									
22. MATCHING GRANT 0-15 YEAR PORTFOLIO	A	Dividend	J	T					
23. BLKRR 8-11 YEARS DIRECT	A	Dividend	J	T					
24. ALFOND GRANT 8-11 YRS	A	Dividend	J	T					
25. 529 Plan #2 (H)									
26. MATCHING GRANT 0-15 YEAR PORTFOLIO	A	Dividend	J	T					
27. BLKRR 12-13 YEARS DIRECT	A	Dividend	J	T					
28. ISHARES 12-13 YEARS DIRECT	A	Dividend	J	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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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/ Lance E. Walker**

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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