

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) Lee, William C.	2. Court or Organization U.S. DISTRICT COURT NORTHERN DISTRICT OF INDIANA	3. Date of Report 09/17/2020
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 01/01/2019 to 12/31/2019
	5b. ☒ Amended Report	
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. 2019	West Publishing Co. Book Royalties	\$52,893.51
2. 2019	Wilson Foundation - Committee Attendance Fees	\$1,000.00
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	P1	Q					
2. Agency #1 (H)									
3. Goldman Sachs FS Gov't #465	A	Dividend	J	T	Buy	01/02/19	K		
4.					Buy	03/12/19	J		
5.					Buy	09/17/19	J		
6.					Buy	10/28/19	J		
7.					Buy	12/18/19	J		
8.					Sold	01/03/19	K		
9.					Sold	01/15/19	J		
10.					Sold	09/16/19	J		
11.					Sold	10/10/19	J		
12. DODGE & COX INCOME FUND	A	Dividend	K	T	Buy	03/11/19	J		
13.					Buy	09/13/19	J		
14.					Buy	10/09/19	J		
15. GS DYNAMIC MUNI INCOME FD-INSTL	A	Dividend	K	T	Buy	10/09/19	J		
16.					Buy	11/21/19	J		
17. LORD ABBET INVT TR	A	Dividend	J	T	Buy	10/09/19	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.)

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	(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. VANGUARD INTERMEDIATE TERM	A	Dividend	K	T	Buy	10/09/19	J		
19. VANGUARD INTER-TERM TAX EXEMPT FUND	A	Dividend	K	T	Buy	10/09/19	J		
20.					Buy	11/21/19	J		
21. VANGUARD ST INV GRADE FUND I	A	Dividend	K	T	Buy	03/11/19	J		
22.					Buy	09/13/19	J		
23.					Buy	10/09/19	J		
24. HARBOR CAPITAL APPRECIATION FUND	B	Dividend	K	T	Sold	03/11/19	J	A	
25.					Sold	09/13/19	J		
26.					Sold	10/09/19	J		
27.					Sold	11/21/19	J	A	
28. ISHARES MSCI EAFE INDEX FUND	A	Dividend	K	T					
29. MFS SER TR XIII NEW DIS VAL I	A	Dividend	J	T	Sold	09/13/19	J	A	
30.					Sold	10/09/19	J		
31. T ROWE PRICE MID C	A	Dividend	J	T	Sold	03/11/19	J	A	
32.					Sold	09/13/19	J		
33.					Sold	10/09/19	J		
34.					Sold	11/21/19	J	A	

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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	
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35.					Buy	01/14/19	J		
36. T ROWE PRICE QUANT MGT FDS INC	A	Dividend	J	T	Sold	03/11/19	J	A	
37.					Sold	09/13/19	J		
38.					Sold	10/09/19	J		
39.					Sold	11/21/19	J	A	
40.					Buy	01/14/19	J		
41. VANGUARD S&P 500 ETF	B	Dividend	L	T	Sold	09/13/19	J	A	
42.					Sold	10/08/19	J	A	
43.					Sold	10/24/19	J	A	
44. VICTORY SYCAMORE ESTABLISHED	A	Dividend	J	T	Sold	03/11/19	J	A	
45.					Sold	09/13/19	J	A	
46.					Sold	10/09/19	J		
47.					Buy	01/14/19	J		
48.					Buy	03/11/19	J		
49.					Buy	03/11/19	J		
50. INVESCO OPPENHEIMER DEVELOPING	A	Dividend	J	T	Sold	09/13/19	J		
51.					Sold	10/09/19	J		

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52. INVESCO OPPENHEIMER INTERNATIONAL	A	Dividend	J	T	Sold	10/09/19	J		
53. OPPENHEIMER SENIOR FLOATING RATE FUND I	A	Dividend			Buy	03/11/19	J		
54. ISHARES MSCI EAFE INDEX FUND	A	Dividend	K	T					
55. EATON VANCE PARAMETRIC EMERGING MKT		None			Sold	03/11/19	J	A	
56.					Sold	03/11/19	J	A	
57.					Buy	01/14/19	J		
58. NORTHERN FUNDS ULTRA-SHORT FIXED INCOME	A	Dividend			Sold	11/21/19	J	A	
59.					Sold	11/21/19	J	A	
60.					Buy	09/13/19	J		
61.					Buy	10/09/19	J		
62. VANGUARD SMALL CAP VALUE INDEX FUND		None			Sold	03/11/19	J	A	
63.					Sold	03/11/19	J	A	
64.					Buy	01/14/19	J		
65. VANGUARD HIGH YIELD CORP FUND	A	Dividend			Sold	03/11/19	J		
66. VANGUARD ST CORP BOND INDEX I	A	Dividend			Sold	03/11/19	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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Washington, D.C. 20544