

AG-10 (a)
Rev. 1/90

FINANCIAL DISCLOSURE REPORT
Nomination Report

 Report Required by the Ethics
 Reform Act of 1989, Pub. L. No.
 101-194, November 30, 1989
 (5 U.S.C. App. 4, Sec. 101-112)

1. Person Reporting <i>(Last name, first, middle initial)</i> Lee, Gerald B.		2. Court or Organization U.S. District Court E.D. Va.	3. Date of Report 04/30/1990
4. Title <i>(Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</i> Nominee: U.S. District Court		5. Report Type (check type) X <u> </u> Nomination, Date <u>05/22/1990</u> <u> </u> Initial <u> </u> Annual <u> </u> Final	6. Reporting Period 01/01/1990 to 05/01/1990
7. Chambers or Office Address 19th Judicial Circuit Court 4110 Chain Bridge Road, 5th Fl Fairfax, VA 22030		8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	

IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each section where you have no reportable information. Sign on the last page.

I. POSITIONS *(Reporting individual only; see pp. 9-11 of Instructions.)*

POSITION	NAME OF ORGANIZATION / ENTITY
☒ NONE (No reportable positions.)	
1	
2	
3	

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

DATE	PARTIES AND TERMS
☐ NONE (No reportable agreements.)	
1 11/01/86	Cohen & Associates Pension and Profit Sharing Plan 401(k), with former law firm, no control
2 12-01-84	Lee & Finch Retirement Plan 401(K) Del. Charter Guarantee Trustee for
3 05/01/92	Virginia Retirement System, government pension, vested, 20 years as of 5/1/90

III. NON-INVESTMENT INCOME *(Reporting individual and spouse; see pp. 17-24 of Instructions.)*

DATE	SOURCE AND TYPE	GROSS INCOME (Gross, net spouse's)
☐ NONE (No reportable non-investment income.)		
1 01-01-97	Salary, Circuit Court Judge, Virginia	\$ 104,000.00
2 01-01-97	Surovell Jackson Colten & Dugan, P.C. (S)	
3 01/01/96	Salary, Fairfax Circuit Court	\$ 101,000.00
4 01/01/96	Salary, Fairfax Circuit Court Judge	\$ 108,000.00

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Name of Person Reporting

Lee, Gerald S.

Date of Report

04/30/1998

SECTION HEADING. (Indicate part of report.)

Information continued from Parts I through VI, inclusive.

PART 3. NON-INVESTMENT INCOME (cont'd.)

Line	Date	Source and Type	Gross Income
5	01/01/96	Survell Jackson Colten & Dugan, P.C., (S) \$	0.00
6	01/01/98	Survell Jackson Colten & Dugan, P.C., (S) \$	0.00

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IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate reportable reimbursements received by spouse and dependent children, respectively. See pp. 25-28 of Instructions.)

☐ NONE (No such reportable reimbursements.)	SOURCE	DESCRIPTION
1	None. Exempt.	
2		
3		
4		
5		
6		
7		

V. GIFTS

(Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate gifts received by spouse and dependent children, respectively. See pp. 29-32 of Instructions.)

☐ NONE (No such reportable gifts.)	SOURCE	DESCRIPTION	VALUE
1	None. Exempt.		
2			
3			

VI. LIABILITIES

(Includes those of spouse and dependent children; indicate where applicable, person responsible for liability by using the parenthetical "(S)" for separate liability of the spouse, "(J)" for joint liability of reporting individual and spouse, and "(DC)" for liability of a dependent child. See pp. 33-35 of Instructions.)

☒ CREDITIVE	DESCRIPTION	VALUE COMB
1		
2		
3		
4		
5		
6		

* VAL CODES: J-\$15,000 or less K-\$15,001-\$50,000 L-\$50,001 to \$100,000 M-\$100,001-\$250,000 N-\$250,001-\$500,000
 O-\$500,001-\$1,000,000 P1-\$1,000,001-\$5,000,000 P2-\$5,000,001-\$25,000,000 P3-\$25,000,001-\$50,000,000 P4-\$50,000,001 or more

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or on & R

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VII. Page 1 INVESTMENTS and TRUSTS— Income, value, transactions
(Includes those of spouse and dependent children. See pp. 34-34 of Instructions.)

A Description of Assets	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period	
	(1) Amount Code (A-H)	(2) Type (e.g., dividend, rent or interest)	(1) Value Code (J-P)	(2) Value Method Code (Q-W)	(1) Type (e.g., buy, sell, partial sale, margin, redemption)	If not exempt from disclosure
						(2) Date: (3) Month: (4) Day: (5) Value: (6) Gain: (7) Loss: (8) Identity of buyer/seller (if private transaction)
Indicate where applicable, owner of the asset by using the parenthetical "(J)" for joint ownership of reporting individual and spouse, "(S)" for separate ownership by spouse, "(DC)" for ownership by dependent child. Place "(X)" after each asset except from prior disclosure. NONE (No reportable income, assets, or transactions.)						
1 Cohen Associates Money Purchase Pension Plan 401(k) or Fitch 401(k)	C	Dividend		T		
3 AT T (Lar Fitch 401(k))	A	Dividend	J	T		
4 BET Holdings Inc. (Lar Fitch 401(k))	D		J	T		
5 Lucent Technologies (Lar Fitch 401(k))			J	T		
MCR Corp Com (Lar Fitch 401(k))			J	T		
Wal Mart Stores, Inc. (Lar Fitch 401(k))			J	T		
Fidelity Asset Regional Bond Fund	B	Dividend	J	T		
Fidelity Growth Income Fund IRA	C	Dividend	J	T		
10 Fidelity Asset Regional Bond Fund IRA	C	Dividend	J	T		
11 T. Rowe Price Century Fund (L)	A	Dividend	J	T		
12 The American Funds Group (L)	D	Dividend	J	T		
13 Fidelity Divd Index Fund of Funds (L)	B	Dividend	J	T		
14 Asset Manager Growth Fund of Funds (L)	B	Dividend	J	T		
15 Fidelity Magellan Fund of Funds (L)	C	Dividend		T		
1 Rental Property 1 Alexandria, VA (L)	A	Rent		W		
1 Opp Quant for Optly A Fund (L)	A	Dividend	J	T		
1 Inc/Own Codes: A=\$1,000 or less (Col. B1, D4) F=\$50,001-\$100,000	B=\$1,001-\$2,500 O=\$100,001-\$1,000,000	O=\$2,501-\$5,000 H=\$5,000,001-\$5,000,000	D=\$5,001-\$15,000 H2=\$15,000,001 or more	E=\$15,001-\$30,000		
2 Val Codes: J=\$15,000 or less (Col. C1, D3) O=\$500,001-\$1,000,000	K=\$15,001-\$50,000 P1=\$1,000,001-\$5,000,000	L=\$50,001-\$100,000 P2=\$1,000,001-\$25,000,000	M=\$100,001-\$250,000 P3=\$25,000,001-\$50,000,000	N=\$250,001-\$500,000 P4=\$50,000,001 or more		
3 Val Mth Codes: Q=Appraisal (Col. C2) U=Book Value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market			

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 Lee, Gerald B.

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 04/30/98

VII Page 2 INVESTMENTS and TRUSTS— Income, value, transactions
(Includes those of spouse and dependent children. See pp. 36-54 of instructions.)

A Description of Assets	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Asset Code (A-H)	(2) Type (e.g., dividend, rent or interest)	(1) Value Code (J-F)	(2) Value Method (e.g., buy, sell, partial sale, merger, redemption) Code (Q-W)	(1) Type	If not exempt from disclosure			
Indicate where applicable, owner of the asset by using the parenthetical "U" for joint ownership of reporting individual and spouse, "JO" for separate ownership by spouse, "DC" for ownership by dependent child.						(2) Date: Month- Day	(3) Value Code (J-F)	(4) Gain Code (A-H)	(5) Identity of buyer/seller (if private transaction)

NONE (No reportable income, assets, or transactions.)

1	Alger Capital Appr Fund	A	Dividend	J	T				
1	AIM Constellation Fund	A	Dividend	J	T				
20	Johnson Controls	A	Dividend	J	T				
21	U.S. West Media Group (Lee Finch 401K)	A	div.	J	T				

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1	Int/Ord Code: A-\$1,000 or less (Col. B1, D4)	B-\$1,001-\$2,500 O-\$2,500,001-\$1,000,000	C-\$2,501-\$5,000 H1-\$5,000,001-\$5,000,000	D-\$5,001-\$15,000 H2-\$15,000,001 or more	E-\$15,001-\$50,000
2	Val Code: J-\$15,000 or less (Col. C1, D5)	K-\$15,001-\$50,000 P1-\$50,000,001-\$1,000,000	L-\$50,001-\$100,000 P2-\$1,000,001-\$25,000,000	M-\$100,001-\$250,000 P3-\$25,000,001-\$50,000,000	N-\$250,001-\$500,000 P4-\$50,000,001 or more
3	Val Mkt Code: Q-Appraised (Col. C2)	U-Book Value	R-Cost (real estate only) V-Other	S-Accrual W-Redeemed	T-Cash/Market

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Name of Person Reporting Lee, Gerald B.	Date of Report 04/30/1996
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS.*(Indicate part of report.)*

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IX. CERTIFICATION

In compliance with the provisions of 28 U.S.C. 455 and of Advisory Opinion No. 57 of the Advisory Committee on Judicial Activities, and to the best of my knowledge at the time after reasonable inquiry, I did not perform any adjudicatory function in any litigation during the period covered by this report in which I, my spouse, or my minor or dependent children had a financial interest, as defined in Canon 3C(3)(c), in the outcome of such litigation.

I certify that all the 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. 4, section 501 et. seq., 5 U.S.C. 7353 and Judicial Conference regulations.

Signature



Date

5-26-90

Note:

Any individual who knowingly and wilfully falsifies or fails to file this report may be subject to civil and criminal sanctions (5 U.S.C. App. 4, Section 104).

FILING INSTRUCTIONS

Mail original and three additional copies to:

Committee on Financial Disclosure
 Administrative Office of the United States Courts
 One Constitution Circle, N.E.
 Suite 2-341
 Washington, D.C. 20544

Balance Sheet as of 4-18-98

[illegible]

CONTINGENT LIABILITIES	YES	NO	AMOUNT
Are you a guarantor, co-maker, or endorser for any debt of an individual, corporation, or partnership?	☐	☒	\$ _____
Do you have any outstanding letters of credit or surety bonds?	☐	☒	_____
Are there any suits or legal actions pending against you?	☐	☒	_____
Are you contingently liable on any lease or contract?	☐	☒	_____
Are any of your tax obligations past due?	☐	☒	_____
What would be your total estimated tax liability if you were to sell your major assets?			_____
If yes for any of the above, give details:			

Schedule A - All Securities (including non-money market mutual funds)							
SECURITY IDENTIFICATION (including U.S. Government and Municipals)*	DESCRIPTION	QUANTITY	UNIT	COST	CURRENT MARKET VALUE	PLANNED	
						YES	NO
RECENTLY ACQUISITION SECURITIES (including U.S. Government and Municipals)*							
100	Opp-Quest Opp A	joint ten.	self	42.420	5786.63	☐	☒
106	Alger Cap. Appr.	joint ten.	self	27.250	2903.35	☐	☒
102	AIM Constellation	" "	"	29.350	3001.30	☐	☒
06	Johnson Controls	" "	"	59.000	354.00	☐	☒
OTHER INVESTMENT SECURITIES (including bonds, equity funds, or restricted stock)							
						☐	☐
						☐	☐
						☐	☐

* If not enough space, attach a separate schedule or brokerage statement and enter totals only.

Schedule B - Insurance

Life Insurance (use additional sheet if necessary)

Insurance Company	Face Amount of Policy	Type of Policy	Beneficiary	Cash Surrender Value	Amount Encumbered	Ownership
Life of Va. Inc.	216k	term	wife	0	0	self
New Eng. Life	150k	whole	wife	2879	0	self
Primerica	170k	term	son, others	0	0	self

Monthly Insurance	Applicant	Co-Applicant
Monthly Distribution if Disabled	2500	1200
Number of Years Covered	15 yr.	2 yr.

Schedule C - Personal Residence & Real Estate Investments, Mortgages Held (majority ownership only)

Personal Residence Property Address	Legal Owner	Purchase		Market Value	Present Loan Balance	Interest Rate	Loan Maturity Date	Monthly Payment	Lender
		Year	Price						
Spf. Lee Vincent	1990	194K	250K	187486	7.4	5/24	1575.44		GE Capital
Investment Property Address	Legal Owner	Purchase		Market Value	Present Loan Balance	Interest Rate	Loan Maturity Date	Monthly Payment	Lender
		Year	Price						
5435 Richm Hwy	E. Vincent	1985	50K	85K	49,742	6		521.20	Transworld

Schedule D - Partnerships (over 50% ownership for real estate partnerships)*

Type of Investment	Date of Initial Investment	Cost	Present Costed	Current Market Value	Interest Due on Partnership (Share, Cash Cost)	Other Contributions Due
Partnership/Partnership (include name)						
Investments (including for business)						

* Note: For investments which represent a material portion of your total assets, please include the relevant financial statements or tax returns, or in the case of partnership investments or S-corporations, schedule K-1s.

Schedule E - Notes Payable

Due to	Type of Facility	Amount of Line	Interest		Collateral	Interest Rate	Maturity	Special Features
			Yes	No				
			☐	☐				
			☐	☐				
			☐	☐				

Please Answer The Following Questions:

1. Income tax returns filed through (date): 1997 Are any returns currently being audited or contested? ☐ Yes ☒ No
yes, what year(s)? _____
2. Have (either of) you or any firm in which you were a major owner ever declared bankruptcy? ☐ Yes ☒ No
If yes, please provide details: _____
3. Have you drawn a will? ☐ Yes ☒ No
If yes, please furnish the name of the executor(s) and year will was drawn: _____
4. Number of dependents (excluding self) and relationship to applicant: 0
5. Have you ever had a financial plan prepared for you? ☐ Yes ☒ No
6. Did you include two years federal and state tax returns? ☒ Yes ☐ No
7. Do (either of) you have a line of credit or unused credit facility at any other institution(s)? ☐ Yes ☒ No
If so, please indicate where, how much, and name of banker: _____

8. Do you anticipate any substantial inheritances? ☐ Yes ☒ No
If yes, please explain: _____

Representations and Warranties

The information contained in this statement is provided to induce you to extend or to continue the extension of credit to the undersigned or to others upon the guarantee of the undersigned. The undersigned acknowledge and understand that you are relying on the information provided herein in deciding to grant or continue credit or to accept a guarantee thereof. Each of the undersigned represents, warrants and certifies that the information provided herein is true, correct and complete. Each of the undersigned agrees to notify you immediately and in writing of any change in name, address, or employment and of any material adverse change (1) in any of the information contained in this statement or (2) in the financial condition of any of the undersigned or (3) in the ability of any of the undersigned to perform its (or their) obligations to you. In the absence of such notice or a new and full written statement, this should be considered as a continuing statement and substantially correct. If the undersigned fail to notify you as required above, or if any of the information herein should prove to be inaccurate or incomplete in any material respect, you may declare the indebtedness of the undersigned or the indebtedness guaranteed by the undersigned, as the case may be, immediately due and payable. You are authorized to make all inquiries you deem necessary to verify the accuracy of the information contained herein and to determine the credit-worthiness of the undersigned. The undersigned authorize any person or consumer reporting agency to give you any information it may have on the undersigned. Each of the undersigned authorizes you to answer questions about your credit experience with the undersigned. As long as any obligation or guarantee of the undersigned to you is outstanding, the undersigned shall supply annually an updated financial statement. This personal financial statement and any other financial or other information that the undersigned give you shall be your property.

May 27, 1998
Date


Your Signature

Co-Applicant's Signature (if you are requesting
the financial accommodation jointly)