

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 5/10/2021
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 5b. ☐ Amended Report	6. Reporting Period 1/1/2020 to 12/31/2020
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. 2020	West Publishing Co. Book Royalties	\$47,887.37
2. 2020	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.)

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.		

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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 07/04/2019)	E	Rent	P1	Q					
2. Agency #1 (H)									
3. Goldman Sachs FS Gov't #465	A	Dividend	K	T	Buy	03/11/20	J		
4.					Buy	06/02/20	J		
5.					Buy	08/11/20	J		
6.					Buy	08/31/20	J		
7.					Buy	12/04/20	J		
8.					Buy	12/21/20	J		
9.					Sold	02/12/20	J		
10.					Sold	02/14/20	J		
11.					Sold	03/12/20	J		
12.					Sold	08/10/20	J		
13.					Sold	08/28/20	J		
14.					Sold	12/03/20	J		
15. DODGE & COX INCOME FUND (DODIX)	A	Dividend	K	T	Buy	02/13/20	J		
16. GS DYNAMIC MUNI INCOME FD-INSTL (GSMTX)	A	Dividend	J	T	Sold (part)	03/10/20	J	A	
17. LORD ABBET INVT TR (LLDYX)	A	Dividend	K	T	Buy	02/11/20	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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	(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. VANGUARD INTERMEDIATE TERM (VSIGX)	A	Dividend			Sold	03/16/20	J	A	
19. VANGUARD INTER-TERM TAX EXEMPT FUND (VWIUX)	A	Dividend	K	T	Sold (part)	03/10/20	J	A	
20. VANGUARD ST INV GRADE FUND I (VFSUX)	A	Dividend	L	T	Buy	02/13/20	J		
21.					Buy	08/07/20	J		
22.					Buy	08/27/20	J		
23.					Buy	12/02/20	J		
24. HARBOR CAPITAL APPRECIATION FUND (HACAX)	C	Dividend	K	T	Sold (part)	06/01/20	J	A	
25.					Sold	08/07/20	J	A	
26.					Sold	08/27/20	J	A	
27.					Sold	12/02/20	J	A	
28.					Sold	12/21/20	J	C	
29. ISHARES MSCI EAFE INDEX FUND (EFA)	A	Dividend	J	T	Sold (part)	02/10/20	J	A	
30.					Sold	08/07/20	J		
31.					Sold	12/02/20	J	A	
32. MFS SER TR XIII NEW DIS VAL I (NDVIX)	A	Dividend	J	T	Sold (part)	12/02/20	J	A	
33. T ROWE PRICE MID C (RPTIX)	A	Dividend	J	T	Buy	03/10/20	J		
34. T ROWE PRICE QUANT MGT FDS INC (TQAIX)	A	Dividend	J	T	Buy	03/10/20	J		

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2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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35. VANGUARD S&P 500 ETF (VOO)	B	Dividend	L	T	Sold (part)	02/10/20	J	B	
36.					Sold	08/27/20	J	B	
37.					Sold	12/02/20	J	A	
38. VICTORY SYCAMORE ESTABLISHED (VEVIX)	A	Dividend	J	T	Sold (part)	12/02/20	J	A	
39. INVESCO OPPENHEIMER DEVELOPING (ODVIX)	A	Dividend	J	T	Sold (part)	08/07/20	J	A	
40.					Sold	08/27/20	J	A	
41. INVESCO OPPENHEIMER INTERNATIONAL (OSMYX)	A	Dividend	J	T	Sold (part)	06/01/20	J		
42. ISHARES TR RUSSELL 1000 GRW (IWF)	A	Dividend	J	T	Buy	03/10/20	J		
43. MFS VALUE I (MEIIX)	A	Dividend	J	T	Buy	08/07/20	J		
44.					Buy	08/27/20	J		
45. VANGUARD GNMA ADM (VFIJX)	A	Dividend	J	T	Buy	03/16/20	J		
46. VANGUARD HIGH YIELD CORP FUND (VWEAX)	A	Dividend	J	T	Buy	03/10/20	J		
47.					Buy	12/02/20	J		

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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