

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                            |                                                                                                                                                                                                                                        |                                                                  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Lee, John Z.                                                                                                          | <b>2. Court or Organization</b><br><br>U.S. District Court, N.D.Ill.                                                                                                                                                                   | <b>3. Date of Report</b><br><br>06/14/2021                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>Article III Judge (active)                                     | <b>5a. Report Type (check appropriate type)</b><br><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final | <b>6. Reporting Period</b><br><br>01/01/2019<br>to<br>12/31/2019 |
|                                                                                                                                                                                            | <b>5b.</b> <input checked="" type="checkbox"/> Amended Report                                                                                                                                                                          |                                                                  |
| <b>7. Chambers or Office Address</b><br><br>219 South Dearborn Street<br>Room 1262<br>Chicago, Illinois 60604                                                                              |                                                                                                                                                                                                                                        |                                                                  |
| <p><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                        |                                                                  |

## 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. |  |  |

**FINANCIAL DISCLOSURE REPORT**

Page 2 of 13

Name of Person Reporting

Lee, John Z.

Date of Report

06/14/2021

**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><br>(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     | Self-employed physician |
| 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. | Judicial Conference, Advisory Committee on Evidence Rules                  | 10/24/19 - 10/25/19 | Nashville, TN    | Attend meeting | Transportation, lodging, and food |
| 2. | Judicial Conference, Committee on Court Administration and Case Management | 12/03/19 - 12/05/19 | Washington, D.C. | Attend meeting | Transportation, lodging, and food |
| 3. |                                                                            |                     |                  |                |                                   |
| 4. |                                                                            |                     |                  |                |                                   |
| 5. |                                                                            |                     |                  |                |                                   |

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| Lee, John Z.             | 06/14/2021     |

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.       |             |            |

# FINANCIAL DISCLOSURE REPORT

Page 4 of 13

Name of Person Reporting

Lee, John Z.

Date of Report

06/14/2021

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. LPL Financial IRA #1 (H)                                                                                                |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 2. - Am. Beacon Bridgeway Large Cap Fund                                                                                   |                                        | None                                          |                                                |                                           | Buy                                             | 01/31/19                | K                               |                                |                                                                   |
| 3.                                                                                                                         |                                        |                                               |                                                |                                           | Sold                                            | 09/23/19                | M                               | E                              |                                                                   |
| 4. - Am. Beacon High Yield Fund                                                                                            | C                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. - Am. Beacon Sm Cap Value Fund                                                                                          | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. - Am. Century Mid Cap Value Fund                                                                                        | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. - Am. Century Equity Income Fund                                                                                        | D                                      | Dividend                                      | M                                              | T                                         | Buy                                             | 09/23/19                | M                               |                                |                                                                   |
| 8. - Artisan Mid Cap Fund                                                                                                  | D                                      | Dividend                                      | L                                              | T                                         | Sold<br>(part)                                  | 01/31/19                | J                               | A                              |                                                                   |
| 9. - Artisan International Value Fund                                                                                      |                                        | None                                          |                                                |                                           | Buy                                             | 05/23/19                | K                               |                                |                                                                   |
| 10.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 09/23/19                | K                               | A                              |                                                                   |
| 11. - Calamos Mkt Neutral Income Fund                                                                                      | B                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. - Clearbridge Aggressive Growth Fund                                                                                   |                                        | None                                          |                                                |                                           | Sold                                            | 08/31/19                | L                               | A                              |                                                                   |
| 13. - Clearbridge Large Cap Growth Fund                                                                                    | C                                      | Dividend                                      | M                                              | T                                         | Buy<br>(add'l)                                  | 09/23/19                | K                               |                                |                                                                   |
| 14. - iShares Core S&P 500 ETF                                                                                             | C                                      | Dividend                                      | M                                              | T                                         | Buy                                             | 07/23/19                | M                               |                                |                                                                   |
| 15. - JP Morgan Prime Money Mkt Acct                                                                                       | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 16. - Janus Venture Fund                                                                                                   | B                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. - Oakmark Mutual Fund                                                                                                  | D                                      | Dividend                                      |                                                |                                           | Buy<br>(add'l)                                  | 02/26/19                | J                               |                                |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

# FINANCIAL DISCLOSURE REPORT

Page 5 of 13

Name of Person Reporting

Lee, John Z.

Date of Report

06/14/2021

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 07/23/19                | M                               | B                              |                                                                   |
| 19. - Oakmark International Fund                                                                                           |                                        | None                                          |                                                |                                           | Sold<br>(part)                                  | 01/31/19                | K                               | A                              |                                                                   |
| 20.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 02/26/19                | J                               | A                              |                                                                   |
| 21.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 05/23/19                | L                               | A                              |                                                                   |
| 22. - Oppenheimer Dev. Mkts Fund                                                                                           | A                                      | Dividend                                      | K                                              | T                                         | Sold<br>(part)                                  | 09/23/19                | J                               | B                              |                                                                   |
| 23. - Prudential Total Return Bond Fund                                                                                    | D                                      | Dividend                                      | L                                              | T                                         | Buy                                             | 09/23/19                | K                               |                                |                                                                   |
| 24. - Vanguard Growth ETF                                                                                                  | B                                      | Dividend                                      | L                                              | T                                         | Sold<br>(part)                                  | 09/23/19                | L                               | E                              |                                                                   |
| 25. LPL Financial IRA #2 (H)                                                                                               |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 26. - Vanguard Intermed. Term Invest. Grade<br>Bond Fund                                                                   | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 27. - Vanguard High Yield Corporate Bond<br>Mut. Fund                                                                      | A                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 09/19/19                | J                               |                                |                                                                   |
| 28. - Vanguard International Value Mut. Fund                                                                               | A                                      | Dividend                                      | J                                              | T                                         | Sold<br>(part)                                  | 02/06/19                | J                               | A                              |                                                                   |
| 29.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 05/06/19                | J                               | A                              |                                                                   |
| 30.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 08/06/19                | J                               | A                              |                                                                   |
| 31.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 09/19/19                | J                               | A                              |                                                                   |
| 32.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 11/06/19                | J                               | A                              |                                                                   |
| 33. - Vanguard STAR Mut Fund                                                                                               | A                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 09/19/19                | J                               |                                |                                                                   |
| 34. - Vanguard Total Stock Market Mut. Fund                                                                                | A                                      | Dividend                                      | J                                              | T                                         | Sold<br>(part)                                  | 09/19/19                | J                               | A                              |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

# FINANCIAL DISCLOSURE REPORT

Page 6 of 13

Name of Person Reporting

Lee, John Z.

Date of Report

06/14/2021

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. - Goldman Sachs Bank USA Cash Acct                                                                                     | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 36. Trust # 1 (H)                                                                                                          |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 37. - T. Rowe Price Ret. 2035 Mut. Fund                                                                                    | E                                      | Dividend                                      | O                                              | T                                         | Buy<br>(add'l)                                  | 02/07/19                | K                               |                                |                                                                   |
| 38.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 05/31/19                | K                               |                                |                                                                   |
| 39. LPL Financial IRA #3 (H)                                                                                               |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 40. - Am. Beacon Bridgeway Large Cap Fund                                                                                  |                                        | None                                          |                                                |                                           | Buy                                             | 01/31/19                | J                               |                                |                                                                   |
| 41.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 09/19/19                | L                               | C                              |                                                                   |
| 42. - Am. Beacon Sm Cap Value Fund                                                                                         | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 43. - Am. Century Mid Cap Value Fund                                                                                       | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 44. - Am. Century Equity Income Mut Fund                                                                                   | C                                      | Dividend                                      | L                                              | T                                         | Buy                                             | 09/19/19                | L                               |                                |                                                                   |
| 45. - Calamos Mkt Neutral Income Fund                                                                                      | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 46. - Clearbridge International Growth Fund                                                                                | A                                      | Dividend                                      | K                                              | T                                         | Sold<br>(part)                                  | 01/31/19                | J                               | A                              |                                                                   |
| 47.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 02/26/19                | J                               | A                              |                                                                   |
| 48.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 09/19/19                | J                               | A                              |                                                                   |
| 49. - Clearbridge Large Cap Growth                                                                                         | B                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 50. - Clearbridge Small Cap Fund                                                                                           | B                                      | Dividend                                      | K                                              | T                                         | Sold<br>(part)                                  | 09/19/19                | J                               | A                              |                                                                   |
| 51. - iShares Core S&P 500 ETF                                                                                             | B                                      | Dividend                                      | L                                              | T                                         | Buy<br>(add'l)                                  | 02/26/19                | J                               |                                |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

# FINANCIAL DISCLOSURE REPORT

Page 7 of 13

Name of Person Reporting

Lee, John Z.

Date of Report

06/14/2021

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. - Janus Enterprise Fund                                                                                                | B                                      | Dividend                                      | K                                              | T                                         | Sold<br>(part)                                  | 09/19/19                | J                               | B                              |                                                                   |
| 53. - Oppenheimer Developing Mkt Fund                                                                                      | A                                      | Dividend                                      | K                                              | T                                         | Sold<br>(part)                                  | 02/26/19                | J                               | A                              |                                                                   |
| 54.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 09/19/19                | J                               | B                              |                                                                   |
| 55. - PGIM Total Return Bond Fund                                                                                          | B                                      | Dividend                                      | K                                              | T                                         | Buy<br>(add'l)                                  | 09/19/19                | J                               |                                |                                                                   |
| 56. - PGIM Short Duration High Yield Fund                                                                                  | B                                      | Dividend                                      | K                                              | T                                         | Buy<br>(add'l)                                  | 09/19/19                | J                               |                                |                                                                   |
| 57. - Vanguard Growth Fund                                                                                                 | A                                      | Dividend                                      | K                                              | T                                         | Sold<br>(part)                                  | 09/19/19                | J                               | B                              |                                                                   |
| 58. - Morgan Stanley Private Bank Money<br>Market Fund                                                                     | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 59. Am. Century Equity Income Mut. Fund                                                                                    | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 02/26/19                | J                               | A                              |                                                                   |
| 60. DWS Managed Municipal Bond Mutual<br>Fund                                                                              | A                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 06/25/19                | K                               |                                |                                                                   |
| 61. DWS Intermediate Tax-Free Mut. Fund                                                                                    | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 62. Janus Enterprise Mut. Fund                                                                                             | A                                      | Dividend                                      | J                                              | T                                         | Buy<br>(add'l)                                  | 06/25/19                | J                               |                                |                                                                   |
| 63. Janus Venture Mut. Fund                                                                                                | A                                      | Dividend                                      | J                                              | T                                         | Buy<br>(add'l)                                  | 06/25/19                | J                               |                                |                                                                   |
| 64. Oakmark Fund Mutual Fund                                                                                               | B                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 65. Goldman Sachs Bank USA Cash Acct                                                                                       | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 66. Loomis Sayles Growth Mut. Fund                                                                                         | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 67. Oppenheimer Dev. Markets Mut. Fund                                                                                     | A                                      | Dividend                                      | J                                              | T                                         | Sold<br>(part)                                  | 02/26/19                | J                               | A                              |                                                                   |
| 68.                                                                                                                        |                                        |                                               |                                                |                                           | Buy                                             | 06/25/19                | J                               |                                |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

# FINANCIAL DISCLOSURE REPORT

Page 8 of 13

Name of Person Reporting

Lee, John Z.

Date of Report

06/14/2021

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69. Vanguard FTSE Dev. Mkts Fund                                                                                           | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 70. Vanguard Growth ETF                                                                                                    | A                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 07/01/19                | J                               |                                |                                                                   |
| 71. WisdomTree US Mid Cap Dividend Fund                                                                                    | A                                      | Dividend                                      | J                                              | T                                         | Buy<br>(add'l)                                  | 06/27/19                | J                               |                                |                                                                   |
| 72. iShares Core S&P 500 ETF                                                                                               | A                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 07/01/19                | K                               |                                |                                                                   |
| 73. iShares Russell 1000 Value ETF                                                                                         | A                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 02/26/19                | J                               |                                |                                                                   |
| 74.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 06/27/19                | K                               |                                |                                                                   |
| 75. Bright Directions College Savings 15-16<br>Portfolio                                                                   |                                        | None                                          |                                                |                                           | Buy<br>(add'l)                                  | 01/22/19                | J                               |                                |                                                                   |
| 76.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 02/20/19                | J                               |                                |                                                                   |
| 77.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 03/18/19                | M                               |                                |                                                                   |
| 78. Bright Directions College Savings 17-18<br>Portfolio                                                                   |                                        | None                                          | M                                              | T                                         | Buy                                             | 03/18/19                | M                               |                                |                                                                   |
| 79.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 03/22/19                | J                               |                                |                                                                   |
| 80.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 04/22/19                | J                               |                                |                                                                   |
| 81.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 05/20/19                | J                               |                                |                                                                   |
| 82.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 06/20/19                | J                               |                                |                                                                   |
| 83.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 07/22/19                | J                               |                                |                                                                   |
| 84.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 08/20/19                | J                               |                                |                                                                   |
| 85.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 09/20/19                | J                               |                                |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 86.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/21/19         | J                        |                         |                                                            |
| 87.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/20/19         | J                        |                         |                                                            |
| 88.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/20/19         | J                        |                         |                                                            |
| 89.                                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 90. Bright Directions College Savings Baird<br>Short-Term Bond Fund                                                        |                                        | None                                   | K                                              | T                                  | Buy<br>(add'l)                            | 05/16/19         | L                        |                         |                                                            |
| 91.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/17/19         | J                        |                         |                                                            |
| 92.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/17/19         | J                        |                         |                                                            |
| 93.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/17/19         | J                        |                         |                                                            |
| 94.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/19/19         | J                        |                         |                                                            |
| 95.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/17/19         | J                        |                         |                                                            |
| 96.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/17/19         | J                        |                         |                                                            |
| 97.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/17/19         | J                        |                         |                                                            |
| 98.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/17/19         | J                        |                         |                                                            |
| 99. Bright Directions 529 College Savings MFS<br>Value Fund                                                                |                                        | None                                   |                                                |                                    | Buy<br>(add'l)                            | 01/17/19         | J                        |                         |                                                            |
| 100.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 02/19/19         | J                        |                         |                                                            |
| 101.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/18/19         | J                        |                         |                                                            |
| 102.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 04/17/19         | J                        |                         |                                                            |

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 103.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 05/16/19         | J                        |                         |                                                            |
| 104. Bright Directions College Savings Northern Bond Fund                                                                  |                                        | None                                   |                                                |                                    | Buy<br>(add'l)                            | 05/16/19         | K                        |                         |                                                            |
| 105.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/17/19         | J                        |                         |                                                            |
| 106.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/17/19         | J                        |                         |                                                            |
| 107.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/17/19         | J                        |                         |                                                            |
| 108.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/19/19         | J                        |                         |                                                            |
| 109.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/17/19         | J                        |                         |                                                            |
| 110.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 09/17/19         | J                        |                         |                                                            |
| 111. Bright Directions College Bright Direc. Sav. Oppen. Int'l Growth Fund                                                 |                                        | None                                   |                                                |                                    | Sold                                      | 05/16/19         | J                        |                         |                                                            |
| 112. Bright Directions College Savings T Rowe Price Large Cap Growth Fund                                                  |                                        | None                                   |                                                |                                    | Sold                                      | 05/16/19         | J                        |                         |                                                            |
| 113. Bright Directions College Savings T Rowe Price Real Estate Fund                                                       |                                        | None                                   |                                                |                                    | Sold                                      | 05/16/19         | J                        |                         |                                                            |
| 114. Bright Directions College Savings T Rowe Price Balanced Portfolio                                                     |                                        | None                                   | L                                              | T                                  | Buy<br>(add'l)                            | 01/17/19         | J                        |                         |                                                            |
| 115.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 02/19/19         | J                        |                         |                                                            |
| 116.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/18/19         | J                        |                         |                                                            |
| 117.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 04/17/19         | J                        |                         |                                                            |
| 118.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/16/19         | J                        |                         |                                                            |
| 119.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/17/19         | J                        |                         |                                                            |

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 120.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/17/19         | J                        |                         |                                                            |
| 121.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/19/19         | J                        |                         |                                                            |
| 122.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/17/19         | J                        |                         |                                                            |
| 123.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/17/19         | J                        |                         |                                                            |
| 124.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/17/19         | J                        |                         |                                                            |
| 125.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/17/19         | J                        |                         |                                                            |
| 126. Bright Directions 529 College Savings<br>Fidelity US Bond Index                                                       |                                        | None                                   | K                                              | T                                  | Buy                                       | 09/26/19         | K                        |                         |                                                            |
| 127.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/17/19         | J                        |                         |                                                            |
| 128.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/18/19         | J                        |                         |                                                            |
| 129.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/17/19         | J                        |                         |                                                            |
| 130. Apple (AAPL)                                                                                                          | A                                      | Dividend                               |                                                |                                    | Sold                                      | 06/21/19         | M                        | F                       |                                                            |
| 131. Amazon (AMZN)                                                                                                         |                                        | None                                   | K                                              | T                                  | Buy                                       | 07/25/19         | K                        |                         |                                                            |
| 132. Johnson & Johnson (JNJ)                                                                                               | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 05/16/19         | J                        |                         |                                                            |
| 133. Revolution Lighting (RVLTT)                                                                                           |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 134. Schwab One Interest Account                                                                                           | A                                      | Interest                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 135. JP Morgan Chase Bank Accounts                                                                                         | A                                      | Interest                               | M                                              | 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)

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

# FINANCIAL DISCLOSURE REPORT

Page 12 of 13

Name of Person Reporting

Lee, John Z.

Date of Report

06/14/2021

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

# FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Lee, John Z.

Date of Report

06/14/2021

## 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/ **John Z. 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