

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2013Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) LEE, Tom S.	2. Court or Organization United States District Court Southern District of MS	3. Date of Report 05/13/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior United States District Court Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 501 E. Court Street Suite 4.756 Jackson, MS 39201		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)POSITIONNAME OF ORGANIZATION/ENTITY

1. General Partner	Tom S. Lee	Limited Partnership
2.		
3.		
4.		
5.		

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

☐ NONE (No reportable agreements.)DATEPARTIES AND TERMS

1. 2013	State Employee Pension Fund; pension upon retirement age 65
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

LEE, Tom S.

Date of Report

05/13/2014

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of filing instructions.)**A. Filer's Non-Investment Income**☒ NONE (No reportable non-investment income.)

	<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.	2013	State Employees' Pension Fund	\$ 3,187.46
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.	2013	Director - Community Bancshares of MS, Inc.
2.		
3.		
4.		

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

(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

☒ NONE (No reportable reimbursements.)

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.					
2.					
3.					
4.					
5.					

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

LEE, Tom S.

Date of Report

05/13/2014

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

LEE, Tom S.

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05/13/2014

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. ING NQ VAR		None	J	T					
2. American Skandia NQ VA Prudential(name change)		None	M	T					
3. MS O Coupon Bond		None	M	T	Redeemed	9/3/13	M	D	
4. Eaton Vance MS Fund	B	Dividend	L	T	Sold	12/13/13	L	D	
5. Shares of Community Bancshares of MS, Inc.	E	Dividend	P1	T					
6. ING. NQ VA		None	J	T					
7. American Skandia NQ Prudential (name change)		None	N	T					
8. His Hartford VA ...IRA		None	N	T					
9. Land in Scott Co., MS		None	K	T					
10. U.S. Ser. E. Bonds		None	L	T					
11. Phoenix Life		None	M	T					
12. Community Bancshares of MS accounts	A	Interest	N	T					
13. ING V IRA		None	N	T					
14. Hartford VA NQ		None	N	T	Sold	3/25/13	N	F	
15. ING VA IRA		None	K	T					
16. Franklin Income	A	Dividend	J	T	Sold	8/14/13	J	A	
17. VK C&S Municipal	D	Dividend	J	T	Sold	1/10/13	J	A	

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000
H2 = More than \$5,000,000

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

2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000

M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

R = Cost (Real Estate Only)
V = Other

S = Assessment
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FINANCIAL DISCLOSURE REPORT

Page 5 of 9

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. FT Municipal	A	Dividend	J	T					
19. VK C&S Municipal	C	Dividend	J	T	Sold	12/13/13	J	A	
20. Thornburg Income Builder	C	Dividend	L	T	Sold	8/13/13	L	E	
21. FT Corp. Strength	B	Dividend	M	T					
22. Thornburg Income Builder	B	Dividend	K	T	Sold	8/13/13	K	D	
23. FT Emerging Markets	A	Dividend	L	T					
24. VK Sector Rotation	A	Dividend	L	T					
25. FT TM Advantage	A	Dividend	J	T					
26. Claymore MPL	B	Dividend	K	T	Sold	12/23/13	K	B	
27. Gugg GLB Div & GRW I CA MO (changed name)Gugg Tact High Div.	B	Dividend	L	T	Sold	12/23/13	L	D	
28. GUGG GLOBAL HIGH DIV.	B	Dividend	K	T	Sold	12/13/13	K	A	
29. EV STR. INCOME A	B	Dividend	K	T	Sold	12/13/13	K	A	
30. FT Smid High Div.	A	Dividend	K	T					
31. FT Loved Call	C	Dividend	L	T					
32. RS Floating Rate	C	Dividend	L	T	Sold	8/13/13	L	A	
33. FT Smid High Div.	A	Dividend	K	T					
34. FT Loved Call	D	Dividend	M	T					

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

D = \$5,001 - \$15,000
H2 = More than \$5,000,000

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

2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000

M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

3. Value Method Codes
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FINANCIAL DISCLOSURE REPORT

Page 6 of 9

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35. Gugg Ban AC Commodity	B	Dividend	K	T					
36. RS Floating Rate	D	Dividend	M	T	Sold	8/13/13	M	B	
37. FT Euro Deep Value	A	Dividend	K	T	Buy	8/14/13	K		
38. FT Deep Value	A	Dividend	K	T	Buy	8/14/13	K		
39. FT Cap Str. Buy Write	A	Dividend	J	T	Buy	12/13/13	J		
40. Gugg Zachs Inc.	B	Dividend	K	T	Buy	8/14/13	K		
41. Gugg Zachs Inc.	B	Dividend	K	T	Buy	12/23/13	K		
42. Thornburg Str. Inc.	C	Dividend	M	T	Buy	8/14/13	M		
43. FT Euro Deep Value	B	Dividend	L	T	Buy	8/14/13	K		
44. FT Deep Value	B	Dividend	L	T	Buy	8/14/13	K		
45. FT Cap Str. Buy Write	A	Dividend	J	T	Buy	12/13/13	J		
46. Gugg MLP & Energy	B	Dividend	K	T	Buy	3/18/13	K		
47. Gugg Zachs Inc.	C	Dividend	L	T	Buy	8/14/13	L		
48. Gugg Zachs Inc.	B	Dividend	K	T	Buy	12/23/13	K		
49. Gugg Zachs Inc.	B	Dividend	L	T	Buy	12/13/13	K		
50. Thornburg Str. Inc.	B	Dividend	K	T	Buy	8/14/13	K		
51. Templeton Global Bal	A	Dividend	J	T	Buy	8/15/13	J		

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

2. Value Codes
(See Columns C1 and D3)

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FINANCIAL DISCLOSURE REPORT

Page 7 of 9

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52. FT Euro Deep Value	B	Dividend	K	T	Buy	9/4/13	K		
53. FT Deep Value	B	Dividend	K	T	Buy	9/4/13	K		
54. Gugg Zach Inc.	C	Dividend	L	T	Buy	9/4/13	L		
55. Thornburg Str. Inc.	C	Dividend	L	T	Buy	9/4/13	L		
56. Nationwide VA-NA		None	M	T	Buy	3/25/13	M		
57.									
58.									

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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

LEE, Tom S.

Date of Report

05/13/2014

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

Practically all of my annuities, mutual fund accounts, stocks and bonds are held in my LPL Financial Account.

The proceeds of all sales and redemptions shown in this Report were received in that account and all funds for purchases were disbursed from that account.

All of the assets owned by the Tom S. Lee [REDACTED] Limited Partnership are listed in Section VII.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

LEE, Tom S.

Date of Report

05/13/2014

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/ Tom S. 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
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Washington, D.C. 20544