

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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

1. Person Reporting (last name, first, middle initial) Lee, Gerald B.	2. Court or Organization Eastern District of Virginia	3. Date of Report 05/04/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S.District Judge-Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/1/2016 to 12/31/2016
7. Chambers or Office Address 401 Courthouse Square Alexandria, Virginia 22314		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Board of Trustees	The American University
2. Dean's Advisory Council	The American University Washington College of Law
3. Vice President for Security and Planning	Federal Judges Association
4.	
5.	

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

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 5/92	Virginia Retirement System, government pension, Fairfax Circuit Court
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 6

Name of Person Reporting

Lee, Gerald B.

Date of Report

05/04/2017

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. 01/01/2016	Virginia Retirement System	\$24,000.00
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. 01/01/16	Colten Watson & Vincent, PC
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. Just the Beginning-A Pipeline Organization	9/15/2016-9/18/2016	New York, NY	teach	transportation, hotel, and meals
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 6

Name of Person Reporting

Lee, Gerald B.

Date of Report

05/04/2017

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 6

Name of Person Reporting

Lee, Gerald B.

Date of Report

05/04/2017

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. Wal Mart Stores, Inc. (IRA)	A	Dividend	J	T	Buy (add'l)	01/01/16	J		
2. DWS Funds Strategic Yield Tax Free	B	Int./Div.	K	T	Buy (add'l)	01/01/16	K		
3. Black Rock Global Allocation Fund, Inc.	D	Int./Div.	K	T	Buy (add'l)	01/01/16	J		
4. First Eagle Sogen Global FD CL C	D	Int./Div.	K	T	Buy (add'l)	01/01/16	K		
5. Hartford Balanced Allocation FD CL C	C	Int./Div.	K	T	Buy (add'l)	01/01/16	K		
6. Lord Abbett Inv TR Multi-Asset Income Class C	D	Int./Div.	K	T	Buy (add'l)	01/01/16	K		
7. CWV PC 401 (K) Retirement Plan and Trust	E	Int./Div.	O	T	Buy (add'l)	01/01/16	K		
8. Johnson Controls	B	Dividend	J	T	Merged (with line 16)	09/02/16	J		
9. Fidelity Fund Inc., SBI*	D	Dividend	J	T	Buy (add'l)	01/01/16	K		
10. General Electric Corporation	A	Dividend	J	T	Buy (add'l)	01/01/16	J		
11. General Mills Corporation	A	Dividend	J	T	Buy (add'l)	01/01/16	J		
12. Merck & Co. Inc.	A	Dividend	J	T	Buy (add'l)	01/01/16	J		
13. Walmart	A	Dividend	J	T	Buy (add'l)	01/01/16	J		
14. Deutsche Municipal Tr Strategic Hi Yield Tax Free FD Class C	A	Dividend	K	T	Buy (add'l)	01/01/16	J		
15. Fidelity nc Growth Strategies Fund	A	Dividend	J	T	Buy (add'l)	01/01/16	J		
16. Adient, PLC	A	Dividend	J	T	Buy	10/16/16	J		
17. Johnson Controls International, PLC	B	Dividend	J	T	Buy	09/02/16	J		

1. Income Gain Codes:	A ~\$1,000 or less (See Columns B1 and D4)	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)	F ~\$50,001 - \$100,000 J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$50,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 5 of 6

Name of Person Reporting

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Date of Report

05/04/2017

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

VII. Investments and Trusts

No. 6. Lord Abbett Inv Trust Multi-Assaet Income FD Class C is the correct name for this investment.

No. 7. Colten Cummins Watson & Vincent, P.C. 401 (k) Retirement Plan and Trust is the name of a 401 (k) Retirement Plan and Trust held by my wife's law firm which is managed by Sun Trust bank. The 401 (k) is managed by the bank and my wife has no control over investments or trading.

No. 8 Johnson Controls merged with Johnson Controls, International PLC and Adient PLC. I was a shareholder in Johnson Controls and I received shares of Johnson Controls International PLC, line 17 and Adient PLC, Line 16

No. 15 Deutsche Muncipal Trust Strategic High Yield Tax Free Fd Class C was iadvertently left off the 2015 Amended FDR.

No. 16 Fidelity nc Growth Strategies Fund was inadvertently left off of the 2015 Amended FDR.

FINANCIAL DISCLOSURE REPORT

Page 6 of 6

Name of Person Reporting

Lee, Gerald B.

Date of Report

05/04/2017

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/ **Gerald B. Lee**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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