

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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, Tom S.	2. Court or Organization United States District Court Southern District of MS	3. Date of Report 05/07/2015
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 01/01/2014 to 12/31/2014
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. General Partner	Tom S. Lee [REDACTED] Limited Partnership
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. 2014	State Employee Pension Fund; pension upon retirement age 65
2.	
3.	

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

1. 2014

Advisory Board of 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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

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

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. ING NQ VAR (name change) VOYA NQ VA		None	J	T					
2. American Skandia NQ VA (name change) Prudential NQ VA		None	M	T					
3. Shares of Community Bancshares of MS, Inc.	E	Dividend	P1	T					
4. ING. NQ VA (name change) VOYA NQ VA		None	J	T					
5. American Skandia NQ VA (name change) Prudential NQ VA		None	N	T					
6. His Hartford VA ...IRA		None	N	T	Sold	12/11/14	M	F	
7. Land in Scott Co., MS		None	K	T					
8. U.S. Ser. E. Bonds		None	L	T					
9. Phoenix Life		None	M	T					
10. Community Bancshares of MS accounts	A	Interest	N	T					
11. ING V IRA		None	N	T	Sold	12/11/14	N	F	
12. ING VA IRA (name change) VOYA IRA VA		None	K	T					
13. FT Municipal	A	Dividend	J	T	Sold	6/9/14	J	A	
14. FT Capitol Strength	C	Dividend	M	T					
15. FT Emerging Markets	A	Dividend	L	T	Sold	11/26/14	L	A	
16. Sector Rotation (name change) Invesco	A	Dividend	L	T					
17. FT TM Advantage	A	Dividend	J	T	Sold	5/19/14	J	C	

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	F = \$50,001 - \$100,000 (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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000
3. Value Method Codes	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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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				
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18. FT Smid High Div.	A	Dividend	K	T					
19. FT Covered Call	C	Dividend	L	T					
20. FT Smid High Div.	A	Dividend	K	T					
21. FT Covered Call	D	Dividend	M	T					
22. Gugg Ban AC Commodity	B	Dividend	K	T	Sold	6/18/14	K	A	
23. FT Euro Deep Value	A	Dividend	K	T					
24. FT Deep Value	A	Dividend	K	T					
25. FT Cap Str. Buy Write	A	Dividend	J	T					
26. Gugg Zacks Inc.	B	Dividend	K	T					
27. Gugg Zacks Inc.	B	Dividend	K	T					
28. Thornburg Str. Inc.	C	Dividend	M	T					
29. FT Euro Deep Value	B	Dividend	L	T					
30. FT Deep Value	B	Dividend	L	T					
31. FT Cap Str. Buy Write	A	Dividend	J	T					
32. Gugg MLP & Energy	B	Dividend	K	T					
33. Gugg Zacks Inc.	C	Dividend	L	T					
34. Gugg Zacks Inc.	B	Dividend	K	T					

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35. Gugg Zacks Inc.	B	Dividend	L	T					
36. Thornburg Str. Inc.	B	Dividend	K	T					
37. Templeton Global Bal	A	Dividend	J	T					
38. FT Euro Deep Value	B	Dividend	K	T					
39. FT Deep Value	B	Dividend	L	T					
40. Gugg Zack Inc.	C	Dividend	L	T					
41. Thornburg Str. Inc.	C	Dividend	M	T					
42. Nationwide VA-NA	A	None	N	T					
43. AAM Blue Chip	D	Dividend	M	T	Buy	12/15/14	M		
44. AAM Global Dividend	C	Dividend	M	T	Buy	12/15/14	M		
45. FT RB Global Div. Kings	C	Dividend	M	T	Buy	12/15/14	M		
46. Principal Global Diversified	C	Dividend	M	T	Buy	12/15/14	M		
47. Gugg Zack, Inc.	C	Dividend	L	T	Buy	12/15/14	L		
48. Thornburg Str. Inc.	C	Dividend	L	T	Buy	12/15/14	L		
49. Gugg Euro Dividend	A	Dividend	L	T	Buy	3/25/14	J		
50. Principal Global Diversified	A	Dividend	J	T	Buy	8/26/14	J		
51. FT RB Global Div. Kings	B	Dividend	L	T	Buy	11/26/14	L		

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52. Gugg Euro High Div.	A	Dividend	K	T	Buy	3/25/14	K		
53. Gugg MLP & Energy	A	Dividend	K	T	Buy	9/24/14	K		
54. Eaton Vance Short Str. Inc.	B	Dividend	L	T	Buy	1/31/14	L		
55. Principal Global Div.	B	Dividend	L	T	Buy	6/4/14	L		
56. Principal Global Div.	A	Dividend	J	T	Buy	6/4/14	J		

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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.

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ 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
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One Columbus Circle, N.E.
Washington, D.C. 20544