

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 01/19/2015
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 01/1/2013 to 12/31/2013
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. Board of Advisors	Marshall Brennan Program The American University Washington College of Law
3. Dean's Advisory Council	The American University Washington College of Law
4. Treasurer	Federal Judges Association
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.	

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 01/01/2013	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. 01/01/13	Colten Cummins 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.				
2.				
3.				
4. Virginia Continuing Legal Education Committee Virginia State Bar National Trial Ad	January 9-10, 2013	Charlottesville, Virginia	Teach	transportation, hotel, and meals
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. Wal Mart Stores, Inc. (IRA)	A	Dividend	J	T	Buy (add'l)	01/01/13	J		
2. DWS Funds Strategic Yield Tax Free	B	Int./Div.	K	T	Buy (add'l)	01/01/13	K		
3. Black Rock Global Allocation Fund, Inc.	D	Int./Div.	K	T	Buy (add'l)	01/01/13	J		
4. First Eagle Sogen Global FD CL C	D	Int./Div.	K	T	Buy (add'l)	01/01/13	K		
5. Hartford Balanced Allocation FD CL C	C	Int./Div.	K	T	Buy (add'l)	01/01/13	K		
6. Lord Abbet Diversified Income Strategy Class C	D	Int./Div.	K	T	Buy (add'l)	01/01/13	K		
7. Russell 3000 Index*	D	Int./Div.			Sold	01/01/13	J	A	
8. CCWV PC 401 (K) Retirement Plan and Trust	E	Int./Div.	O	T	Buy (add'l)	01/01/13	K		
9. Johnson Controls	A	Dividend	J	T					
10. Fidelity Fund Inc., SBI*	D	Dividend	J	T	Buy (add'l)	01/01/13	K		
11. Alliance Capital Reserves* Money Market Fund	A	Dividend			Sold	01/01/13	J	A	
12. General Electric Corporation	C	Dividend	J	T	Buy (add'l)	01/01/13	J		
13. General Mills Corporation	C	Dividend	J	T	Buy (add'l)	01/01/13	J		
14.									
15.									
16.									
17.									

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.01 - \$500,000.00	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000.00	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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

VII. Investments and Trusts

No. 18. 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 a bank.

ADDITIONAL INFORMATION IN RESPONSE TO FDR COMMITTEE INQUIRY MAY 31, 2013

(1) Your letter instructs me not to list the stock I purchase monthly because the amount does not exceed \$1,000. I will comply and remove the fact that I do purchase shares of Walmart Stores, Inc., General Mills Corporation, and General Electric Corporation. I will continue to recuse myself from matters involving these entities because as I understand the law I may not preside over a case where I own stock in a corporations. Items No. 19, 20, and 22 are removed from this Amended FDR.

(2) . I do own some shares in Johnson Controls which remains listed on the Amended FDR.

ANSWERS TO FDR COMMITTEE INQUIRY November 30, 2014 January 26, 2015

1. Line 54 2012 FDR Alliance Capital Reserves Money Market Fund was sold 12/1/2012 as we transferred retirement funds to DWS Strategic Yield Tax Free Funds so it is no longer listed. FDR Form would not permit me to list the 12/1/2012 date.

2. Line 10 Fidelity Fund, SBI was acquired 12/1/2012 when we consolidated retirement accounts. FDR Form would not permit me to list the date as 12/1/2012.

3. No. 18. 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 [REDACTED] law firm which is managed by Sun Trust bank. The 4091 (k) is managed by the bank and [REDACTED] has no control over investments or trading.

4. I have clarified my response above re: Walmart, General Mills Corporation, and General Electric Corporation as I have listed these items on the FDR Report. The aggregate values of the stock held exceeds \$1,000., however, my monthly purchases do not exceed \$1,000.00. I apologize for the confusion.

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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/ **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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