

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Simon, Michael H.	2. Court or Organization U.S. District Court, Oregon	3. Date of Report 05/10/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address 1527 United States Courthouse 1000 Southwest Third Avenue Portland, OR 97204		
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.	Director	Classroom Law Project
2.	Member through July 24, 2017. (See Part VIII, line 1.)	Innsmouth Partners, L.L.C. (motion picture production company based in Hillsboro, OR; holds no investments) (See Part VIII, line 1.)
3.		
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.	
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2017	Samuel French, Inc. (theatrical royalties for "The Odd Couple")	\$9,858.18
2. 2017	Tams-Witmark Music Library, Inc. (theatrical royalties for "Promises, Promises")	\$1,655.03
3. 2017	International Authors Society (theatrical royalties for "The Odd Couple")	\$13,615.32
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.)*

DATE	SOURCE AND TYPE
1. 2017	U.S. House of Representatives (spouse's wages)
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. U.S. Association of Former Members of Congress; and Sasakawa Peace Foundation USA	February 18-25, 2017	Tokyo and Nagoya, Japan	To educate members of Congress (my spouse) about the U.S.-Japan relationship	Transportation, lodging, food, tour guides, and security
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. U S Bank NA (checking and savings)	A	Interest	L	T					
2. OnPoint Community Credit Union (checking and savings)	A	Interest	L	T					
3. Northwestern Mutual Life Ins. (whole life insurance cash value)	C	Dividend	M	T					
4. Gold coins		None	L	T					
5. Innsmouth Partners, LLC (See Part VIII, line 1.)		None			Closed	07/24/17	J	A	
6. Bonamici for Congress (spouse campaign loan)		None	L	U					
7. Vanguard Brokerage Account (H)									
8. -- Vanguard 500 Index mut. fund	D	Dividend	N	T	Buy (add'l)	01/30/17	K		
9.					Sold (part)	01/31/17	N	F	
10. -- Vanguard Energy mut. fund					Sold	01/30/17	M	F	
11. -- Vanguard PRIMECAP mut. fund	E	Dividend	N	T	Buy (add'l)	01/30/17	K		
12. -- Vanguard REIT Index mut. fund	D	Dividend	M	T	Sold (part)	01/31/17	N	F	
13. -- Vanguard Small-Cap Index mut. fund	C	Dividend	N		Buy (add'l)	01/30/17	M		
14.					Sold (part)	01/31/17	N	E	
15. -- Vanguard Intern Term Corp Bond Index mut. fund	E	Dividend	P1	T	Buy	01/31/17	O		
16. Ameriprise Brokerage Account (H)									
17. -- Ameriprise cash holding account	A	Interest	L	T					

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 = \$250,000.01 - \$500,000.00	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 (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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☐ 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 I (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. -- Oregon State Dept. of Admin. Services municipal bond	C	Interest	M	T					
19. -- Blackrock Strategic Inc. Opptys Investor A mut. fund	A	Dividend			Sold	01/24/17	L	A	
20. -- Blackrock High Yield Bond Investor A mut. fund	B	Dividend			Sold (part)	01/24/17	J	A	
21.					Buy (add'l)	04/20/17	J		
22.					Sold	08/25/17	L	B	
23. -- Active Portfolio Multi Manager Small Cap Equity A mut. fund	D	Dividend	L	T	Sold (part)	01/24/17	J	A	
24.					Buy (add'l)	04/20/17	J		
25.					Sold (part)	08/25/17	J	A	
26.					Buy (add'l)	11/16/17	J		
27. -- Active Portfolio Multi Manager Growth Strat. A mut. fund	D	Dividend	M	T	Buy (add'l)	01/24/17	J		
28.					Buy (add'l)	04/20/17	J		
29.					Sold (part)	08/25/17	J	B	
30.					Sold (part)	11/16/17	J	C	
31. -- Active Portfolio Multi Manager Value Strat. A mut. fund	D	Dividend	M	T	Sold (part)	01/24/17	J	A	
32.					Buy (add'l)	04/20/17	J		
33.					Sold (part)	08/25/17	K	C	
34.					Sold (part)	11/16/17	J	A	

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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	
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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				
	(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)

35. -- Active Portfolio Multi Manager Directional Alt. A mut. fund	B	Dividend	K		Sold (part)	01/24/17	J	A	
36.					Buy (add'l)	04/20/17	J		
37. -- Active Portfolio Multi Manager Total Return Bond Strat. A mut. fund	B	Dividend	L		Buy	01/24/17	L		
38.					Buy (add'l)	04/20/17	J		
39.					Buy (add'l)	08/25/17	J		
40.					Buy (add'l)	11/16/17	J		
41. JPMorgan Large Cap Growth A mut. fund	D	Dividend	L	T	Sold (part)	01/24/17	J	A	
42.					Sold (part)	04/20/17	K	B	
43.					Buy (add'l)	08/25/17	K		
44.					Sold (part)	11/16/17	J	A	
45. -- MFS Municipal High Inc. A mut. fund	B	Dividend	K	T	Buy (add'l)	01/24/17	J		
46.					Buy (add'l)	04/20/17	J		
47.					Sold (part)	08/25/17	J	A	
48.					Buy (add'l)	11/16/17	J		
49. -- MFS International Value A mut. fund	B	Dividend	L	T	Sold (part)	01/24/17	K	C	
50.					Sold (part)	04/20/17	J	A	
51.					Buy (add'l)	08/25/17	J		

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 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52.					Sold (part)	11/16/17	J	A	
53. -- MFS Value A mut. fund	D	Dividend	M	T	Sold (part)	01/24/17	J	B	
54.					Buy (add'l)	04/20/17	J		
55.					Sold (part)	11/16/17	J	A	
56. Nuveen Intern. Duration Mun. Bond A mut. fund	C	Dividend	L	T	Sold (part)	01/24/17	J	A	
57.					Buy (add'l)	04/20/17	J		
58.					Sold (part)	08/25/17	K	A	
59.					Buy (add'l)	11/16/17	J		
60. -- Oppenheimer International Growth A mut. fund	A	Dividend	L	T	Sold (part)	01/24/17	J	A	
61.					Sold (part)	04/20/17	J	A	
62.					Buy (add'l)	08/25/17	J		
63.					Sold (part)	11/16/17	J	A	
64. -- Prudential Jennison Mid Cap Growth A mut. fund	D	Dividend	K	T	Sold (part)	01/24/17	J	A	
65.					Sold (part)	04/20/17	J	A	
66.					Buy (add'l)	08/25/17	J		
67.					Sold (part)	11/16/17	J	A	
68. -- Wells Fargo Emerging Markets Equity A mut. fund	A	Dividend	L	T	Buy (add'l)	01/24/17	J		

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69.					Sold (part)	04/20/17	J	A	
70.					Buy (add'l)	08/25/17	J		
71.					Buy (add'l)	11/16/17	J		
72. -- Wells Fargo Short Term Municipal Bond A mut. fund	A	Dividend	L	T	Buy (add'l)	01/24/17	J		
73.					Buy (add'l)	04/20/17	J		
74.					Buy (add'l)	08/25/17	K		
75.					Buy (add'l)	11/16/17	J		
76. -- Wells Fargo Special Mid Cap Value A mut. fund	C	Dividend	L	T	Sold (part)	01/24/17	J	A	
77.					Buy (add'l)	04/20/17	J		
78.					Buy (add'l)	08/25/17	J		
79. -- Western Asset Interim. Term Municipal A mut. fund	C	Dividend	M	T	Sold (part)	01/24/17	J	A	
80.					Buy (add'l)	04/20/17	J		
81.					Buy (add'l)	08/25/17	J		
82.					Buy (add'l)	11/16/17	J		
83. -- iShares MSCI EAFE Value ETF fund	B	Dividend	L	T	Buy	01/24/17	K		
84.					Buy (add'l)	04/20/17	J		
85.					Buy (add'l)	08/25/17	J		

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86.					Sold (part)	11/16/17	J	A	
87.	-- Franklin Templeton Growth Allocation Class A mut. fund	C	Dividend	L	T				
88.	Co-Trustee of Family Member's Living Trust (H)								
89.	-- U S Bank, NA (checking and savings) (See Part VIII, line 2.)	A	Interest	N	T	Open	01/01/17	N	

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

1. Part I, line 2 and Part VII, line 5. Innsmouth Partners, LLC is a movie production company based in Hillsboro, OR. It holds no investments. My wife and I owned a minority interest through July 24, 2017 and exercised no control or managerial responsibility. Effective July 24, 2017, we returned our interest to the LLC without any gain or return on our investment.
2. Part VII, line 89. My wife have become co-trustees of my mother-in-law's living trust, consisting only of bank checking and savings account assets that are used to pay her living expenses.

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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/ Michael H. Simon

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