

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) Lake, Simeon T.	2. Court or Organization United States District Court	3. Date of Report 04/05/2018
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 01/01/2017 to 12/31/2017
7. Chambers or Office Address United States Courthouse 515 Rusk Avenue, Room 9535 Houston, Texas 77002		
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.	Trustee	TRUST #3
2.		
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Lake, Simeon T.

Date of Report

04/05/2018

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. _____

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. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Lake, Simeon T.

Date of Report

04/05/2018

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 11

Name of Person Reporting

Lake, Simeon T.

Date of Report

04/05/2018

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. Rental Property #1-Houston, TX	E	Rent	N	W					
2. Rental Property #2-Houston, TX	C	Rent	K	W					
3. Rental Property #3-Houston, TX	C	Rent	K	W					
4. Rental Property #4-Houston, TX	E	Rent	N	W					
5. Property-Washington Cnty, TX	A	Rent	N	W					
6. Bank of Texas Account	A	Interest	J	T					
7. Royalty Interest, Washington Cnty, TX	B	Royalty	K	W					
8. Merrill Lynch Money Mkt Acct (Bank of America)	A	Interest	M	T					
9. AT&T Inc. Common Stock (IRA)	B	Dividend	K	T					
10. Novartis ADR (IRA)	C	Dividend	L	T					
11. IBM Corp. Common Stock (IRA)	C	Dividend	L	T					
12. General Electric Common Stock (IRA)	A	Dividend	J	T					
13. Intel Corp. Common Stock (IRA)	A	Dividend	K	T					
14. Nestle Corp. ADR (IRA)	C	Dividend	M	T					
15. Dr. Reddy's Lab ADR (IRA)	A	Dividend	L	T					
16. Johnson & Johnson Inc. Common Stock (IRA)	B	Dividend	L	T					
17. Procter & Gamble Inc. Common Stock (IRA)	C	Dividend	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 = \$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 11

Name of Person Reporting

Lake, Simeon T.

Date of Report

04/05/2018

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. Microsoft Common Stock (IRA)	A	Dividend	K	T					
19. Glaxo Smith Kline PLC Common Stock (IRA)	B	Dividend	K	T	Buy (add'l)	01/28/17	K		
20. McCormick Inc. Non-Voting Common Stock (IRA)	A	Dividend	L	T					
21. Pfizer Inc. Common Stock (IRA)	C	Dividend	L	T					
22. Unilever PLC ADR (IRA)	A	Dividend	K	T					
23. 3M Company Common Stock (IRA)	B	Dividend	L	T					
24. Exxon Common Stock	F	Dividend	P1	T					
25. AT&T Inc. Common Stock	A	Dividend	J	T					
26. Abbott Labs Common Stock	B	Dividend	M	T					
27. Abbvie Inc. Common Stock	C	Dividend	M	T					
28. Fidelity Money Mkt Account	A	Interest	J	T					
29. Kraft Heinz Co. (formerly Kraft Foods Group, Inc.)	B	Dividend	M	T					
30. Texas Water Assistance Board Bond	A	Interest	J	T					
31. Williamson County Toll Bond	A	Interest	J	T					
32. Mondelez International, Inc. Common Stock	A	Dividend	K	T					
33. Cisco Systems Inc.	C	Dividend	L	T					
34. Nuveen MuniValve Fund	B	Dividend	L	T	Buy (add'l)	10/09/17	K		

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 \$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 6 of 11

Name of Person Reporting

Lake, Simeon T.

Date of Report

04/05/2018

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)

35. TRUST #2									
36. --Exxon Corp. Common Stock	G	Dividend	P1	T					
37. --Abbott Labs Common Stock	A	Dividend	K	T					
38. --Abbvie Inc. Common Stock	C	Dividend	L	T					
39. --General Electric Common Stock	A	Dividend	K	T					
40. --Tarrant Co. Tx HFD Bond	A	Interest	J	T					
41. --PPL Corp. Common Stock	B	Dividend	L	T					
42. --Coca Cola Company Common Stock	C	Dividend	L	T					
43. --Kraft Heinz Co. (formerly Kraft Foods Group, Inc.) Common Stock	C	Dividend	L	T					
44. --Intel Corp. Common Stock	B	Dividend	K	T					
45. --Johnson & Johnson Common Stock	C	Dividend	M	T					
46. --Verizon Communications	A	Dividend			Sold	04/21/17	K	A	
47. --Microsoft Corp.	A	Dividend	K	T	Buy	06/08/17	K		
48. --SPDR ETF	B	Dividend	L	T					
49. --Caterpillar Inc.	B	Dividend	L	T					
50. --Proctor & Gamble Co.	C	Dividend	L	T					
51. TRUST #3									

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	
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 7 of 11

Name of Person Reporting

Lake, Simeon T.

Date of Report

04/05/2018

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)
52. -- Apple Inc.	E	Dividend	P1	T					
53. -- AT&T Common Stock	D	Dividend	M	T					
54. -- Bristol-Meyers Squibb Common Stock	C	Dividend	M	T					
55. -- Conagra Foods Inc. Common Stock	A	Dividend	K	T					
56. -- Microsoft Inc. Common Stock	B	Dividend	L	T					
57. -- Neogenomics, Inc. Common Stock		None	L	T					
58. -- PPL Corp.	B	Dividend	K	T					
59. --Lamb Weston Holdings	A	Dividend	K	T					
60. -- Nuveen Municipal Value Fund	C	Dividend	K	T					
61. -- XCEL Energy Inc. Common Stock	B	Dividend	K	T					
62. -- Invesco Advantage Municipal Income Trust II	B	Dividend	K	T					
63. -- Invesco High Yield Municipal Fund C	D	Dividend	M	T					
64. -- Invesco Municipal Opportunity Trust	A	Dividend	J	T					
65. -- Nuveen Tax Free Advantage Municipal Fund	C	Dividend	K	T					
66. -- Putnam Tax Free High Yield Fund Class A	D	Dividend	M	T					
67. --Wells Fargo Advantage Municipal Bond Fund Class A	A	Dividend	K	T					
68. --ML Bank Deposit program	A	Interest	K	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 = \$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 (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 8 of 11

Name of Person Reporting

Lake, Simeon T.

Date of Report

04/05/2018

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)

69. Bluebird Bio Inc. Common Stock		None	M	T					
70. Celgene Corp.		None	K	T					
71. Sangamo-Biosciences, Inc.		None	K	T					
72. Chipotle Mexican Grill (CMG) Common Stock		None			Sold	11/20/17	J	A	
73. Gilead Sciences Common Stock	A	Dividend	K	T					
74. Krane Shares TR CSI China Internet ETF	A	Dividend	K	T					
75. Biogen Idec B11B Common Stock		None	K	T					
76. Bioerativ Inc.		None	J	T	Spinoff (from line 75)	10/15/17	J		
77. Apple Inc. Common Stock	B	Dividend	L	T					
78. Verizon Communications	B	Dividend	L	T					
79. Alibaba Group Holding Ltd.		None	L	T					
80. First Trust NYSE Arca Biotech		None	K	T					
81. Vanguard FTSC All World Ex US Fund	B	Dividend	L	T	Buy	06/14/17	K		
82.			L	T	Buy (add'l)	11/03/17	K		
83.			L	T	Buy (add'l)	12/05/17	J		
84. Powershares QQQ Tr Unit Series 1 (ETF)	A	Dividend	K	T	Buy	07/13/17	K		
85. Johnson & Johnson Common Stock	B	Dividend	K	T	Buy	09/06/17	K		

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 = \$250,000,001 - \$500,000,000	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 (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

Name of Person Reporting

Lake, Simeon T.

Date of Report

04/05/2018

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)
86. ISHARES S&P 500 Growth ETF	A	Dividend	K	T	Buy	11/30/17	K		
87. Tencent Holdings Ltd. ADR	A	Dividend	K	T	Buy	12/12/17	K		

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 \$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 10 of 11

Name of Person Reporting

Lake, Simeon T.

Date of Report

04/05/2018

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

VII. INVESTMENTS and TRUSTS

line 48 -- SPDR ETF was bought on 04/16/2013 (Value Code 2 -- was "L") and was omitted in error from previous Reports.

line 76 -- Bioverativ Inc. was omitted in error from 2015 and 2016 Reports.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Lake, Simeon T.

Date of Report

04/05/2018

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/ Simeon T. Lake

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