

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 03/27/2012
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 01/01/2011 to 12/31/2011
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. Insert signature on last page.		

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

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Co-Trustee	Trust #1
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.	
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. _____

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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. Rental Property #1-Houston, TX	A	Rent	N	W					
2. Rental Property #2-Houston, TX	B	Rent	L	W					
3. Rental Property #3-Houston, TX	A	Rent	L	W					
4. Rental Property #4-Houston, TX	A	Rent	N	W					
5. Property-Washington Cnty, TX	A	Rent	N	W					
6. J.P. Morgan Chase	A	Interest	J	T					
7. Exxon Common Stock	F	Dividend	P1	T					
8. Wells Fargo Bank Account	A	Interest			Closed	05/28/11	J	A	
9. Royalty Interest, Washington Cnty, TX	D	Royalty	K	W					
10. Merrill Lynch Money Mkt Acct (IRA)	A	Interest	J	T					
11. AT&T Inc. Common Stock (IRA)	B	Dividend	K	T					
12. Novartis ADR (IRA)	B	Dividend	L	T					
13. IBM Corp. Common Stock (IRA)	B	Dividend	M	T					
14. General Electric Common Stock (IRA)	A	Dividend	J	T					
15. Intel Corp. Common Stock (IRA)	A	Dividend	K	T					
16. Syngenta AG ADR (IRA)		None	J	T					
17. Nestle Corp. ADR (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	

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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				
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18. Dr. Reddy's Lab ADR (IRA)	A	Dividend	L	T					
19. Freds, Inc. Common Stock (IRA)	A	Dividend	J	T					
20. Johnson & Johnson Inc. Common Stock (IRA)	B	Dividend	K	T					
21. Procter & Gamble Inc. Common Stock (IRA)	B	Dividend	L	T					
22. Washington Mutual Inc. Common Stock (IRA)		None	J	T					
23. Microsoft Common Stock (IRA)	A	Dividend	J	T					
24. Glaxo Smith Kline PLC	A	Dividend	K	T	Buy	07/12/11	K		
25. McCormick Inc. Non-Voting (IRA)	A	Dividend	K	T					
26. Pfizer Inc. Common Stock (IRA)	A	Dividend	K	T					
27. 3M Company (IRA)	A	Dividend	K	T					
28. Alabama Power Co. Preferred Stock (IRA)	B	Dividend	K	T					
29. TRUST #1									
30. --XCEL Energy, Inc. Common Stock	A	Dividend	K	T					
31. --Walgreen Co. Common Stock	A	Dividend	K	T					
32. --Hewlett Packard Co. Common Stock	A	Dividend	K	T					
33. --Merrill Lynch Money Market Acct	A	Dividend	J	T					
34. --Southwest Airlines Common Stock	A	Dividend	K	T					

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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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35. --Apple Inc. Common Stock		None	N	T					
36. --Bristol Myers Squib Co. Inc. Common Stock	C	Dividend	L	T					
37. --Pfizer Inc. Common Stock	A	Dividend	K	T					
38. --Microsoft Common Stock	A	Dividend	K	T					
39. --Johnson & Johnson Co. Common Stock	B	Dividend	K	T					
40. Merrill Lynch Money Fund	A	Dividend	J	T					
41. AT&T Inc. Common Stock	A	Dividend	J	T					
42. Abbott Labs Common Stock	C	Dividend	L	T					
43. TRUST #2									
44. --Exxon Corp. Common Stock	F	Dividend	P1	T					
45. --Merrill Lynch Money Fund	A	Dividend	J	T					
46. --Abbott Labs Common Stock	A	Dividend	K	T					
47. --General Electric Common Stock	A	Dividend	J	T					
48. Pfizer Inc. Common Stock	A	Dividend	K	T					
49. Nokia Corp. Common Stock	A	Dividend			Sold	12/16/11	J	A	
50. Kellogg Co. Common Stock	A	Dividend	K	T					
51. Hospira Inc. Common Stock		None	J	T	Buy (add'l)	05/07/11	J		

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52. Procter & Gamble, Inc.	B	Dividend	K	T					
53. Bank of Texas Account	A	Interest	J	T					
54. Caterpillar Inc.	A	Dividend			Sold	02/23/11	K	D	
55. Fidelity Municipal Money Mkt Account	A	Interest	J	T					
56. I shares Global Financials Sector Index	A	Dividend	J	T					
57. I shares S&P Global Telecom Sector Index	A	Dividend	J	T					
58. Kraft Foods	B	Dividend	K	T					
59. I shares Pacific Ex Japan Index	A	Dividend	J	T					
60. I shares FTSE China 25 Index	A	Dividend	J	T					
61. I shares S&P Latin Amer 40 Index	A	Dividend	J	T					
62. I shares Global Materials Index	A	Dividend	J	T					
63. I shares S&P Metals & Mining ETF	A	Dividend	J	T					
64. Nuveen Muni Value Fund	A	Interest	K	T					
65. Texas Water Assistance Board Bond	A	Interest	J	T					
66. Williamson County Toll Bond	A	Interest	J	T	Buy	07/14/11	J		
67. Western Asset Municipal Fund	A	Interest	J	T	Buy	07/14/10	J		
68. Apple Inc. Common Stock		None	L	T	Buy	02/10/11	J		

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69.					Buy (add'l)	03/07/11	J		
70.					Buy (add'l)	04/15/11	K		
71.					Buy (add'l)	08/05/11	K		
72.					Buy (add'l)	11/25/11	K		

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

PART VII. INVESTMENTS AND TRUSTS

Page 5, Line 24 -- Glaxo Smith Kline PLC is a new entry.

Page 7, Line 66 -- Williamson County Toll Bond is a new entry.

Page 7, Line 67 -- Western Asset Municipal Fund should have been listed as a new entry on the 2010 report.

Pages 7-8, Lines 68-72 -- Apple Inc. Common stock is a new entry with multiple purchase dates.

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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/ **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