

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 03/30/2016
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 01/01/2015 to 12/31/2015
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

03/30/2016

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

03/30/2016

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.

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Lake, Simeon T.

Date of Report

03/30/2016

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. J.P. Morgan Chase	A	Interest	J	T					
7. Bank of Texas Account	A	Interest	J	T					
8. Royalty Interest, Washington Cnty, TX	C	Royalty	K	W					
9. Merrill Lynch Money Mkt Acct	A	Interest	L	T					
10. AT&T Inc. Common Stock (IRA)	B	Dividend	K	T					
11. Novartis ADR (IRA)	C	Dividend	L	T					
12. IBM Corp. Common Stock (IRA)	C	Dividend	L	T					
13. General Electric Common Stock (IRA)	A	Dividend	J	T					
14. Intel Corp. Common Stock (IRA)	A	Dividend	K	T					
15. Syngenta AG ADR (IRA)	B	Dividend	K	T	Buy (add'l)	03/23/15	K		
16. Nestle Corp. ADR (IRA)	C	Dividend	M	T					
17. Dr. Reddy's Lab ADR (IRA)	A	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 \$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 5 of 11

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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 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. Freds, Inc. Common Stock (IRA)	A	Dividend			Sold	03/23/15	J	A	
19. Johnson & Johnson Inc. Common Stock (IRA)	B	Dividend	L	T					
20. Procter & Gamble Inc. Common Stock (IRA)	C	Dividend	L	T					
21. Microsoft Common Stock (IRA)	A	Dividend	K	T					
22. Glaxo Smith Kline PLC Common Stock (IRA)	B	Dividend	K	T					
23. McCormick Inc. Non-Voting Common Stock (IRA)	A	Dividend	K	T					
24. Pfizer Inc. Common Stock (IRA)	B	Dividend	L	T					
25. Unilever PLC ADR (IRA)	B	Dividend	K	T					
26. 3M Company Common Stock (IRA)	B	Dividend	K	T					
27. Exxon Common Stock	F	Dividend	P1	T	Sold (part)	12/31/15	K	E	
28. AT&T Inc. Common Stock	A	Dividend	J	T					
29. Abbott Labs Common Stock	B	Dividend	L	T	Buy (add'l)	03/18/15	K		
30. Abbvie Inc. Common Stock	C	Dividend	M	T					
31. Fidelity Municipal Money Mkt Account	A	Interest	J	T					
32. Kraft Heinz Co. (formerly Kraft Foods Group, Inc.)	B	Dividend	L	T	Buy (add'l)	03/15/15	K		
33.					Sold (part)	07/06/15	K	E	
34. Kraft Foods Group, Inc.	B	Dividend							

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.

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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 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. IBM Corp. Common Stock	B	Dividend			Sold	03/18/15	L	A	
36. Texas Water Assistance Board Bond	A	Interest	J	T					
37. Williamson County Toll Bond	A	Interest	J	T					
38. Mondelez International, Inc. Common Stock	A	Dividend	K	T					
39. Cisco Systems Inc.	A	Dividend	L	T	Buy	03/18/15	L		
40. TRUST #2									
41. --Exxon Corp. Common Stock	G	Dividend	P1	T					
42. --Abbott Labs Common Stock	A	Dividend	K	T					
43. --Abbvie Inc. Common Stock	B	Dividend	L	T					
44. --General Electric Common Stock	A	Dividend	K	T					
45. --Tarrant Co. Tx HFD Bond	A	Interest	J	T					
46. --PPL Corp. Common Stock	B	Dividend	L	T	Buy (add'l)	07/14/15	K		
47. --Vodafone PLC ADR	A	Dividend	K	T					
48. --Coca Cola Company Common Stock	C	Dividend	L	T					
49. --Kraft Heinz Co. (formerly Kraft Foods Group, Inc.) Common Stock	A	Dividend	L	T	Sold (part)	07/06/15	K	E	
50. --Kraft Foods Group, Inc.	A	Dividend							
51. --Intel Corp. Common Stock	B	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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FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person Reporting

Lake, Simeon T.

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03/30/2016

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52. --Johnson & Johnson Common Stock	B	Dividend	L	T					
53. --Verizon Communications Common Stock	A	Dividend	J	T					
54. --Talen Energy Corp.		None			Spinoff (from line 46)	06/10/15	J		
55.					Sold	12/03/15	J	A	
56. ESTATE #1 (X)									
57. TRUST #3									
58. -- Apple Inc.	D	Dividend	O	T					
59. -- AT&T Common Stock	D	Dividend	M	T					
60. -- Bristol-Meyers Squibb Common Stock	C	Dividend	M	T					
61. -- Conagra Foods Inc. Common Stock	A	Dividend	K	T					
62. -- Emerson Elec. Co. Common Stock	B	Dividend	L	T					
63. -- HP Inc. Common Stock (formerly Hewlett Packard Co.)	A	Dividend	J	T					
64. --Hewlett Packard Enterprise		None			Sold	11/09/15	J	A	
65. -- Microsoft Inc. Common Stock	B	Dividend	K	T					
66. -- Neogenomics, Inc. Common Stock		None	K	T					
67. -- PPL Corp.	B	Dividend	K	T					
68. -- Verizon Communications	B	Dividend	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 11

Name of Person Reporting

Lake, Simeon T.

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69. -- Nuveen Municipal Value Fund	B	Dividend	K	T					
70. -- XCEL Energy Inc. Common Stock	B	Dividend	K	T					
71. -- Invesco Advantage Municipal Income Trust II	B	Dividend	K	T					
72. -- Invesco High Yield Municipal Fund C	D	Dividend	M	T					
73. -- Invesco Municipal Opportunity Trust	A	Dividend	J	T					
74. -- Nuveen Tax Free Advantage Municipal Fund	C	Dividend	K	T					
75. -- Nuveen Prem Income Municipal Fund 2	A	Dividend			Sold	11/09/15	J	A	
76. -- Putnam Tax Free High Yield Fund Class A	C	Dividend	M	T					
77. --Wells Fargo Advantage Municipal Bond Fund Class A	A	Dividend	K	T					
78. --ML Bank Deposit program	A	Interest	L	T					
79. --Talen Energy Corp.		None			Spinoff (from line 67)	06/10/15	J		
80.					Sold	11/09/15	J	A	
81. Bluebird Bio Inc. Common Stock		None	K	T					
82. Vivus, Inc.		None			Sold	12/07/15	J	A	
83. Celgene Corp.		None	K	T	Buy	11/16/15	K		
84. Sangamo-Biosciences, Inc.		None	J	T	Buy	05/13/15	K		
85. Chipotle Mexican Grill (CMG) Common Stock		None	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 9 of 11

Name of Person Reporting

Lake, Simeon T.

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86. Gilead Sciences Common Stock	A	Dividend	K	T					
87. Krane Shares TR CSI China Internet ETF		None	J	T					
88. Biogen Idec B11B Common Stock		None	K	T	Buy (add'l)	10/20/15	J		
89. Apple Inc. Common Stock	A	Dividend	L	T					
90. Verizon Comm. Inc.	B	Dividend	K	T					
91. Alibaba Group Holding Ltd.		None	K	T					
92. First Trust NYSE Arca Biotech	A	Dividend	K	T	Buy	01/13/15	K		

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FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

Lake, Simeon T.

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03/30/2016

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

Part VII. INVESTMENTS and TRUSTS

Page 5, Line 32 and Page 6, Line 49

On July 6, 2015, the common stock of Kraft Foods Group, Inc. was exchanged for common stock in Kraft Heinz Co.

Page 5, Line 34 and Page 6, Line 50

Kraft Foods Group, Inc. is listed here to reflect the income received before the July 6, 2015, exchange referenced in the above explanation for Page 5, Line 32.

Page 7, Lines 63 and 64

On November 1, 2015, Hewlett Packard Co. split into HP Inc. and Hewlett Packard Enterprise. Hewlett Packard Co. stock was exchanged for stock in HP Inc. and Hewlett Packard Enterprise.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

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03/30/2016

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