

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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, Philip P.	2. Court or Organization Northern District of Indiana	3. Date of Report 05/10/2017
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 01/01/2016 to 12/31/2016
7. Chambers or Office Address 5400 Federal Plaza Suite 4200 Hammond, IN 46320		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Board Member	Valparaiso Community Schools Foundation Board
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. 2016

City of Valparaiso Salary

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.)*

	<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.	Cenlar FSB	Mortgage on rental Property in New Buffalo, Michigan	M
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. Gabelli Global Telecommunications	A	Int./Div.			Sold	11/01/16	J	C	
2. First Midwest Bank Accounts	A	Interest	J	T					
3. College Choice Advisors 529 Plan (H)									
4. - College Choice Advisors Savings Portfolio	A	Interest	J	T	Sold (part)	07/19/16	J		
5.					Sold (part)	12/02/16	K		
6. - Blackrock Large Cap Value Fund	A	Dividend	J	T	Sold (part)	08/08/16	J		
7.					Sold (part)	12/20/16	J		
8. - Artio Intl Equity Portfolio	A	Dividend	J	T	Sold (part)	08/08/16	J		
9.					Sold (part)	12/20/16	J		
10. - International Equity Index	A	Dividend	J	T	Sold (part)	08/08/16	J		
11.					Sold (part)	12/20/16	J		
12. - T.Rowe Price LARge Cap Growth	A	Dividend	J	T	Sold (part)	08/08/16	J		
13.					Sold (part)	12/20/16	J		
14. - Short Term Treasury Index	A	Interest	K	T	Sold (part)	08/08/16	J		
15. - Pimco Total Return Portfolio	A	Dividend	J	T	Sold (part)	08/08/16	J		
16.					Sold (part)	12/20/16	J		
17. Vanguard Prime Money Market	A	Int./Div.	K	T	Sold (part)	02/08/16	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 ~\$250,000,001 - \$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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18.					Buy (add'l)	08/03/16	K		
19.					Sold (part)	11/15/16	J		
20. Vanguard Short Term Bond Fund	A	Interest	J	T					
21. Vanguard International Growth Fund	A	Int./Div.	K	T					
22. Vanguard Total Stock Market Index Fund	B	Int./Div.	L	T	Sold (part)	08/03/16	J		
23. Vanguard European Stock Index Fund	A	Int./Div.	K	T					
24. HRC Hotels LLC (X)	D	Dividend	O	T					
25. Gas City LLC (X)	C	Distribution	K	T					
26. Ameritrade Spouse's Roth IRA (H)									
27. - Powershares DWA Technology Momentum	A	Distribution			Sold	05/08/16	J		
28. - Powershares DWA Healthcare Momentum	A	Distribution			Sold	01/13/16	J		
29. - Powershares DWA Consumer Staples	A	Distribution			Sold	12/08/16	J		
30. - Powershares DWA Consumer Cyclical	A	Distribution			Sold	01/07/16	J		
31. - SPDR Barclays Intern Term Corp	A	Interest	J	T					
32. - SPDR Intermediate Term ETF	A	Interest	J	T					
33. -I Shares S&P SmallCap 600 index	A	Int./Div.	J	T	Buy	12/08/16	J		
34. - Vanguard US Mid Cap	A	Dividend	J	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	
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35. -SPDR S&P Aerospace & Defense	A	Int./Div.	J	T	Buy	07/25/16	J		
36. - Vang Small Cap Index	A	Dividend			Sold	01/14/16	J		
37. - Vanguard Total Stock Index ETF	A	Dividend	J	T					
38. -I Share Core U/S. Aggregate Bond	A	Interest	J	T	Buy	06/16/16	J		
39. Nationwide 457(b) Plan (H)									
40. - AmerCent Val Inv	A	Dividend	J	T					
41. - AmFds Gr Fd Am A	A	Dividend	J	T					
42. - Invsco Gr Inc A	A	Dividend	J	T					
43. - NeuBer Genesis Tr	A	Dividend	J	T					
44. - Opp Gbl A	A	Dividend	J	T					
45. - PIMCO Ttl Rtn A	A	Dividend	J	T					
46. - W&R Advisor High Income Y	A	Dividend	J	T					
47. Jackson National Life Perspective Series Fixed & Variable Ann (H)									
48. - JNL/MC Bond index	A	Interest			Sold	04/20/16	J	A	
49. - JNL/MC S&p 24	A	Dividend			Sold	04/20/16	J	A	
50. -JNL/MC Intl index	A	Dividend			Sold	04/20/16	J	A	
51. - JNL Red Rocks Listed Private Eqty	A	Dividend			Sold	04/20/16	J	A	

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52. - JNL/MC s&P S mid 60	A	Dividend			Sold	04/20/16	J	A	
53. - JNL.Invesco Global real Estate	A	Dividend			Sold	04/20/16	J	A	
54. - JNL Blackrock natural resources	A	Dividend			Sold	04/20/16	J	A	
55. - JNL/MC Nasdaq 25	A	Dividend			Sold	04/20/16	J	A	
56. -JNL/AQR Managed Futures	A	Dividend			Sold	04/20/16	J	A	
57. - JNL/Lazard Emerging markets	A	Dividend			Sold	04/20/16	J	A	
58. - JNL/PPM America High Yld Bond	A	Interest			Sold	04/20/16	J	A	
59. - JNL/GS EmergingMarkets Debt	A	Interest			Sold	04/20/16	J	A	
60. - JNL/MC Sm Cap Index	A	Dividend			Sold	04/20/16	J	A	
61. - JNL/WMC Money market	A	Interest			Sold	04/20/16	J	A	
62. Transamerica Income Elite II -- "76" Annuity									
63. - Transamerica: Clarion Global Real estate	A	Int./Div.	K	T	Buy	06/02/16	K		
64. - Transamerica: JPM MidCap Value	A	Int./Div.	J	T	Buy	06/02/16	J		
65. - Transamerica: PIMCO Total Return	A	Int./Div.	K	T	Buy	06/02/16	K		
66. -Transamerica: U.S. Govt Secs	A	Interest	J	T	Buy	06/02/16	J		
67. -Systematic Sm/midCap Value	A	Int./Div.	J	T	Buy	12/06/16	J		
68. -Aegon High Yield	A	Interest	J	T	Buy	12/06/16	J		

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69. - Barrow Hanley Dividend Focused	A	Dividend	K	T	Buy	12/06/16	K		
70. - Trabsamerica: TA Aegon Money Market	A	Interest	J	T	Buy	04/20/16	M		
71.					Sold (part)	06/02/16	K		
72.					Sold (part)	12/06/16	K		
73. Transamerica Income Elite II -- "77" Annuity									
74. -Transamerica Sm/MidCap Value	A	Int./Div.	J	T	Buy	12/06/16	J		
75. - TA Aegon High Yield Bond	A	Interest	J	T	Buy	12/06/16	J		
76. - Barrow Hanley Dividend Focused	A	Dividend	K	T	Buy	12/06/16	K		
77. - Transamerica Clarion Global Real Estate	A	Int./Div.	K	T	Buy	06/02/16	K		
78. - TA JP Morgan Midcap Value	A	Int./Div.	J	T	Buy	06/02/16	J		
79. - TA PIMCO Total Value	A	Int./Div.	K	T	Buy	06/02/16	K		
80. - TA Aegon US Govt Secs	A	Interest	J	T	Buy	06/02/16	J		
81. - TA Aegon Govt Money Market	A	Interest	J	T	Buy	04/22/16	M		
82.					Sold (part)	06/22/16	K		
83.					Sold (part)	12/06/16	K		
84. The Hartford -- The Director M Variable Annuity (H)									
85. - Htfd Ttl Return Bond HLS	A	Interest			Sold	04/14/16	K	B	

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86. -Htfd Global Growth HLS	A	Dividend			Sold	04/14/16	K	B	
87. - Fidelity VIP Contrafund	A	Dividend			Sold	04/14/16	J	A	
88. - Htfd Balanced HLS Fund	A	Dividend			Sold	04/14/16	K	A	
89. - Htfd Dividend and Growth	B	Dividend			Sold	04/14/16	K	A	
90. - Htfd Growth Opp HLS	A	Dividend			Sold	04/14/16	J	A	
91. - LordAbb Gowth & Income	A	Dividend			Sold	04/14/16	J	A	
92. Ameritrade Brokerage Account (H)									
93. - IShares Core S&P Small Cap ETF	A	Dividend			Sold	01/13/16	J	A	
94. - Powershares DWA Technology	A	Dividend			Sold	05/18/16	J	A	
95. - Powershares DWA Consumer Staples	A	Dividend			Sold	12/08/16	J	A	
96. - Powershares DWA Healthcare	A	Dividend			Sold	01/13/16	J	A	
97. - Powershares DWA Consumer Cyclical	A	Dividend			Sold	01/07/16	J	A	
98. - Alaska Air Group, Inc.	A	Dividend			Sold	01/13/16	J	A	
99. - Expedia Inc	A	Dividend			Sold	01/07/16	J	A	
100. - Helen of Troy, LTD	A	Dividend			Sold	01/07/16	J	A	
101. - Masco Corp.	A	Dividend	J	T					
102. - Mastercard, Inc.	A	Dividend			Sold	03/08/16	J	A	

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103. - SPDR S&P Midcap 400 ETF	A	Dividend	K	T					
104. -SpdR S&P 500 ETF	A	Int./Div.	J	T	Buy	11/18/16	J		
105. - SPDR S&P Aerospace and Defesne	A	Int./Div.	J	T	Buy	07/25/16	J		
106. -Sherwin williams	A	Int./Div.	J	T	Buy	07/25/16	J		
107. - iShares S&P Small Cap 600 Index	A	Int./Div.	J	T	Buy	11/14/16	J		
108. - Power Shares DWA Optimum Yield Diversified Commodity strategies	A	Int./Div.	J	T	Buy	07/12/16	J		
109. - Powershares Tactical Multi-Asset Income Portfolio	A	Int./Div.	J	T	Buy	07/12/16	J		
110. -Microsoft	A	Dividend	J	T	Buy	06/15/16	J		
111. - SPDR Barclays Cap Intermediate Credit Bond	A	Interest	J	T	Buy	07/05/16	J		
112. Ameritrade Spouse's IRA (H)									
113. -Powershares DWA Technology Momentum	A	Dividend			Sold	05/18/16	J	A	
114. -Powershares DWA Healthcare	A	Dividend			Sold	01/13/16	J	A	
115. -Powershares DWA Consumer Staples	A	Dividend			Sold	12/08/16	J	A	
116. -Powershares DWA Consumer Cyclical	A	Dividend			Sold	01/07/16	J	A	
117. - SPDR Barclays Intermediate term Corp	A	Interest	J	T					
118. - SPDR Barclays Short Term Corp. Bond	A	Interest			Sold	06/15/16	J	A	
119. - SPDR Barclays Intermediate Term ETF	A	Interest	J	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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Name of Person Reporting

Simon, Philip P.

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05/10/2017

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)
120. - Vanguard U.S. Mid Cap Index	A	Dividend	J	T					
121. - Vanguard Small Cap Index	A	Dividend			Sold	01/14/16	J	A	
122. - Vanguard Total Stock Market ETF	A	Dividend	J	T					
123. - iShares S&P SmallCap 600 Index	A	Dividend	J	T	Buy	12/08/16	J		
124. - SPDR S&P 500 ETF Trust	A	Dividend	J	T	Buy	11/18/16	J		
125. - SPDR S&P Aerospace & Defense	A	Dividend	J	T	Buy	07/25/16	J		
126. - iShares Core US Aggregate Bond	A	Interest	J	T	Buy	06/15/16	J		
127. - TD Ameritrade Cash Fund	A	Interest	J	T	Buy	01/07/16	J		
128.					Buy (add'l)	01/13/16	J		
129.					Buy (add'l)	01/14/16	J		
130.					Buy (add'l)	06/15/16	J		
131. Rental Home in New Buffalo, Michigan Purchased on August 28, 2015	E	Rent	N	R					

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	

Name of Person Reporting Simon, Philip P.	Date of Report 05/10/2017
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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Name of Person Reporting

Simon, Philip P.

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05/10/2017

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/ **Philip P. 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
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