

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) Simon, Michael H.	2. Court or Organization U.S. District Court, Oregon	3. Date of Report 05/12/2012
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 01/01/2011 to 12/31/2011
7. Chambers or Office Address 1327 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. Insert signature on last page.		

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.	Administrator (estate closed 09/13/11)	Estate # 1
3.	Partner (resigned 06/29/11)	Perkins Coie, LLP
4.	Vice President (resigned 06/29/11)	Perkins Coie Oregon, P.C.
5.	Member (minority interest; no control or managerial responsibility)	Innsmouth Partners, LLC

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. 2011	Perkins Coie Oregon, P.C. has agreed to pay me my law firm capital account of \$172,783 on June 29, 2012 (12 months after I left my law firm partnership).
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2011	Perkins Coie Oregon, P.C. (wages)	\$215,250.80
2. 2011	Samuel French, Inc. (theatrical royalties for "The Odd Couple")	\$15,111.23
3. 2011	International Authors Society (theatrical royalties for "The Odd Couple")	\$8,200.12
4. 2011	HMH Supplemental Publishers, Inc. (book royalties for "The Odd Couple")	\$833.33
5. 2011	Tams-Witmark Music Library, Inc. (theatrical royalties for "Promises, Promises")	\$280.32

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2011	Legislative Assembly, State of Oregon (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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
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. U S Bank (checking, savings, CD)	C	Interest	O	T					
2. Bank of America (checking and savings)	A	Interest	J	T					
3. Key Bank (checking and savings)	A	Interest	J	T					
4. OnPoint Community Credit Union (checking)	A	Interest	J	T	Open	07/25/11	L		
5. Perkins Coie Oregon, P.C. (capital account)	D	Interest	M	T					
6. Microsoft Corporation (common stock)		None			Sold	01/19/11	M	G	
7. Procter & Gamble (common stock)	A	Dividend			Sold	01/22/11	K	E	
8. Brokerage # 1 (401k)									
9. -- Vanguard Capital Opportunity mutual fund	C	Distribution	L	T					
10. -- Vanguard Emerging Markets Stock Index mutual fund	C	Distribution	L	T					
11. -- Vanguard Energy mutual fund	C	Distribution	L	T					
12. -- Vanguard European Stock Index mutual fund	C	Distribution	K	T					
13. -- Vanguard Health Care mutual fund	C	Distribution	L	T					
14. -- Vanguard Inflation-Protected Securities mutual fund	D	Distribution	M	T	Sold (part)	02/01/11	L	C	
15. -- Vanguard PRIMECAP mutual fund	D	Distribution	M	T	Buy (add'l)	06/08/11	K		
16. -- Vanguard REIT Index mutual fund	D	Distribution	M	T					
17. -- Vanguard Global ex-U.S. Real Estate Index mutual fund	D	Distribution	L	T	Buy	02/01/11	L		

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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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. -- Vanguard (Perkins Coie) Cash Balance Plan	D	Distribution	M	T					
19. Brokerage # 2 (stocks, bonds, cash, and IRAs)									
20. -- Ameriprise cash holding account	B	Interest	K	T					
21. -- Oregon State Dept. of Admin. Services municipal bond	C	Interest	M	T					
22. -- Ameriprise Activie Diversified Fund (no control)	E	Distribution	O	T					
23. -- Blackrock Global Allocation mutual fund	B	Distribution	K	T	Sold (part)	10/28/11	J	A	
24. -- Franklin Templeton Growth Allocation mutual fund	B	Distribution	K	T					
25. -- Manning & Napier Pro-Blend Extended Term mutual fund	B	Distribution	K	T	Sold (part)	10/28/11	J	A	
26. -- MFS Aggressive Growth mutual fund	C	Distribution	L	T					
27. -- MFS Growth mutual fund	C	Distribution	L	T					
28. -- Neuberger Berman Socially Responsible mutual fund	B	Distribution	K	T	Sold (part)	10/28/11	J	A	
29. -- Van Eck International Investors Gold mutual fund	B	Distribution	K	T					
30. Brokerage # 3 (stocks and cash)									
31. -- Microsoft Corporation (common stock)		None			Sold	01/27/11	J	A	
32. -- Cash holding account		None			Sold	01/27/11	J		
33. Brokerage # 4									
34. -- Fidelity Advisor 529 100% Equity Portfolio mutual fund	B	Int./Div.	K	T	Sold (part)	06/01/11	K		

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35. Northwestern Mutual Life Ins. (life ins. cash value)	B	Int./Div.	L	T					
36. MetLife GVUL Life Ins. (life ins. cash value)									
37. -- Fidelity VIP Index 500 Portfolio mutual fund					Redeemed	07/27/11	L		
38. Gold Coins		None	M	T	Sold (part)	01/13/11	K	E	
39. TWB Investment Partnership, L.P. (no control)	A	Distribution	J	W					
40. TWB Investment Partnership II, L.P. (no control)	A	Distribution	J	W					
41. 1201 Venture Investments, L.P. (no control)	A	Distribution	J	W					
42. Innsmouth Partners, LLC (no control)		None	J	T	Buy	08/11/11	J		David Edwards
43. Bonamici for Congress (loan to campaign) (X)		None	M	T	Buy	09/30/11	M		
44. Estate # 1 (Administrator)									
45. -- U S Bank (checking and money market accounts)	A	Interest			Distributed	09/13/11	O		Beneficiary of estate
46. -- Samuel French, Inc. ("The Odd Couple")	A	Royalty			Distributed	09/13/11	J		Beneficiary of estate
47. -- International Authors Society ("The Odd Couple")	A	Royalty			Distributed	09/13/11	J		Beneficiary of estate
48. -- Tams-Witmark Music Library, Inc. ("Promises, Promises")	A	Royalty			Distributed	09/13/11	J		Beneficiary of estate
49. -- Lost in Yonkers, L.P. ("Lost in Yonkers")	A	Royalty			Distributed	09/13/11	J		Beneficiary of estate
50. Oregon Savings Growth Plan (X)	A	Int./Div.	J	T					

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(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

1. Part I, line 5 and Part VII, Line 42. Innsmouth Partners, LLC is a movie production company. [REDACTED] own a minority interest and exercise no control or managerial responsibility.
2. Part VII, lines 4 and 43. In 2011, [REDACTED], successfully ran for Congress (OR-1) in a special election. Using jointly-owned funds, she opened an account in her own name at OnPoint Community Credit Union (line 4) on July 25, 2011, which then became her own personally-owned property. On September 30, 2011, using her own funds from this account at OnPoint Community Credit Union, [REDACTED] loaned her political campaign (Bonamici for Congress) \$200,000 in an interest-free loan, which has not yet been repaid. Thus, at the end of this reporting period, Bonamici for Congress owes [REDACTED] \$200,000.
3. Part VII, line 34. At various times in 2011, I withdrew funds from [REDACTED] 529 college savings account to pay for their qualified educational expenses.
4. Part VII, lines 44-49. Estate # 1 was closed in 2011. As the Administrator, I paid all of the expenses of the estate and distributed all of the net assets of the estate to the sole beneficiary, [REDACTED].
5. Part VII, line 50. After filing my Nomination Financial Disclosure Report dated January 5, 2011, I learned that [REDACTED], personally owned a vested deferred compensation account ("Oregon Savings Growth Plan") from [REDACTED] service as a state legislator in Oregon. At the end of 2011, that asset was worth \$6,767.

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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
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