

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 03/25/2019
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 01/01/2018 to 12/31/2018
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

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.)*

DATE

SOURCE AND TYPE

INCOME
(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.)*

DATE

SOURCE 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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS 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.)*

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.		

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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	D	Rent	O	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	O	W					
6. Bank of Texas Account	A	Interest	J	T					
7. Royalty Interest, Washington Cnty, TX	B	Royalty	J	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)	B	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	

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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. Microsoft Common Stock (IRA)	A	Dividend	L	T					
19. Glaxo Smith Kline PLC Common Stock (IRA)	B	Dividend	K	T					
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	G	Dividend	O	T					
25. AT&T Inc. Common Stock	D	Dividend	M	T	Buy (add'l)	07/19/18	K		
26. Abbott Labs Common Stock	B	Dividend	M	T					
27. Abbvie Inc. Common Stock	D	Dividend	M	T					
28. Fidelity Money Mkt Account	A	Interest	J	T					
29. Kraft Heinz Co. (formerly Kraft Foods Group, Inc.)	B	Dividend	L	T					
30. Texas Water Assistance Board Bond	A	Interest			Redeemed	08/01/18	J	A	
31. Williamson County Toll Bond	A	Interest			Redeemed	02/15/18	J	A	
32. Mondelez International, Inc. Common Stock	A	Dividend	K	T					
33. Cisco Systems Inc.	C	Dividend	M	T					
34. Nuveen MuniValve Fund	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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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	B	Dividend	L	T					
39. --General Electric Common Stock	A	Dividend	K	T					
40. Tarrant Co. Tx HFD Bond (See VIII, n.2.)	A	Interest	J	T					
41. PPL Corp. Common Stock (See VIII, n.2.)	C	Dividend	L	T					
42. Coca Cola Company Common Stock (See VIII, n.2.)	C	Dividend	L	T					
43. Kraft Heinz Co. Common Stock (See VIII, n.2.)	C	Dividend	K	T					
44. Intel Corp. Common Stock (See VIII, n.2.)	B	Dividend	K	T					
45. Johnson & Johnson Common Stock (See VIII, n.2.)	B	Dividend	L	T					
46. Microsoft Corp. (See VIII, nn.1&2.)	B	Dividend	M	T					
47. SPDR ETF (See VIII, n.2.)	B	Dividend	L	T					
48. Caterpillar Inc. (See VIII, n.2.)	B	Dividend	L	T					
49. Proctor & Gamble Co. (See VIII, n.2.)	C	Dividend	L	T					
50. Apple Inc. (See VIII, n.1.)	E	Dividend	P1	T					
51. Bristol-Meyers Squib Common Stock (See VIII, n.1.)	C	Dividend	M	T					

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52. Conagra Foods Inc. Common Stock (See VIII, n.1.)	A	Dividend	K	T					
53. Neogenomics, Inc. Common Stock (See VIII, n.1.)		None	M	T					
54. PPL Corp. (See VIII, n.1.)	B	Dividend	K	T					
55. Lamb Weston Holdings (See VIII, n.1.)	A	Dividend	K	T					
56. Nuveen Municipal Value Fund (See VIII, n.1.)	B	Dividend	K	T					
57. XCEL Energy Inc. Common Stock (See VIII, n.1.)	B	Dividend	K	T					
58. Invesco Advantage Municipal Income Trust II (See VIII, n.1.)	B	Dividend	K	T					
59. Invesco High Yield Municipal Fund C (See VIII, n.1.)	D	Dividend	M	T					
60. Invesco Municipal Opportunity Trust (See VIII, n.1.)	A	Dividend	J	T					
61. Nuveen Tax Free Advantage Municipal Fund (See VIII, n.1.)	B	Dividend	K	T					
62. Putnam Tax Free High Yield Fund Class A (See VIII, n.1.)	D	Dividend	M	T					
63. Wells Fargo Advantage Municipal Bond Fund Class A (See VIII, n.1.)	A	Dividend	J	T					
64. Bluebird Bio Inc. Common Stock		None	L	T					
65. Celgene Corp.		None	K	T					
66. Sangamo-Biosciences, Inc.		None	K	T					
67. Gilead Sciences Common Stock	A	Dividend	K	T					
68. Krane Shares TR CSI China Internet ETF	A	Dividend	J	T					

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69. Biogen Idec B11B Common Stock		None	K	T					
70. Bioverativ Inc.		None			Sold	03/08/18	J	A	
71. Verizon Communications	B	Dividend	L	T					
72. Alibaba Group Holding Ltd.		None	K	T					
73. First Trust NYSE Arca Biotech		None	K	T					
74. Vanguard FTSE All World Ex US Fund	B	Dividend			Sold	08/15/18	L	A	
75. Invesco QQQ Tr Unit Series 1 (ETF)	A	Dividend	L	T	Buy (add'l)	08/22/18	K		
76. ISHARES S&P 500 Growth ETF	A	Dividend	K	T					
77. Tencent Holdings Ltd. ADR	A	Dividend	K	T					
78. Amazon Com. Inc.		None	L	T	Buy	08/15/18	L		

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

I. POSITIONS

Page 1 -- Trust #3 was terminated on February 1, 2018.

VII. INVESTMENTS and TRUSTS

Page 8, line 75 -- Powershares QQQ Trust Unit Series 1 (ETF) changed its name to Invesco QQQ Trust Unit Series 1 (ETF).

Note 2: Page 6, lines 40-49 -- Certain assets of TRUST #2 were distributed in 2018 and are now listed as owned by reporting person or [REDACTED]; and, where applicable, are combined with other assets owned by the reporting person or [REDACTED].

Note 1: Pages 6-7, lines 46 and 50-63 -- TRUST #3 was terminated in 2018, and assets are listed as owned by reporting person; and, where applicable, are combined with other assets owned by reporting person.

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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