

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 04/09/2015
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 01/01/2014 to 12/31/2014
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.	Co-Trustee	TRUST #1
2.	Independent Executor	ESTATE #1
3.	Trustee	TRUST #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.		

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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	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	D	Royalty	K	W					
9. Merrill Lynch Money Mkt Acct	A	Interest	M	T					
10. AT&T Inc. Common Stock (IRA)	B	Dividend	K	T					
11. Novartis ADR (IRA)	B	Dividend	L	T					
12. IBM Corp. Common Stock (IRA)	B	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)	A	Dividend	K	T					
16. Nestle Corp. ADR (IRA)	C	Dividend	M	T					
17. Dr. Reddy's Lab ADR (IRA)	A	Dividend	M	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	

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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. Freds, Inc. Common Stock (IRA)	A	Dividend	J	T					
19. Johnson & Johnson Inc. Common Stock (IRA)	B	Dividend	K	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 (IRA)	B	Dividend	K	T					
23. McCormick Inc. Non-Voting (IRA)	A	Dividend	K	T					
24. Pfizer Inc. Common Stock (IRA)	B	Dividend	L	T					
25. Unilever PLC ADR (IRA)	A	Dividend	K	T	Buy	03/25/14	K		
26. 3M Company (IRA)	B	Dividend	K	T					
27. Exxon Common Stock	F	Dividend	P1	T	Buy (add'l)	10/14/14	K		
28. AT&T Inc. Common Stock	A	Dividend	J	T					
29. Abbott Labs Common Stock	B	Dividend	L	T					
30. Abbvie Inc. Common Stock	C	Dividend	M	T					
31. Fidelity Municipal Money Mkt Account	A	Interest	K	T					
32. Kraft Foods Common Stock	B	Dividend	L	T	Buy (add'l)	09/30/14	K		
33. IBM Corp.	B	Dividend	L	T	Buy	10/02/14	L		
34. Texas Water Assistance Board Bond	A	Interest	J	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Williamson County Toll Bond	A	Interest	J	T					
36. Mondelez International, Inc. Common Stock	A	Dividend	K	T					
37. TRUST #2									
38. --Exxon Corp. Common Stock	G	Dividend	P1	T					
39. --Abbott Labs Common Stock	B	Dividend	L	T					
40. --Abbvie Inc. Common Stock	B	Dividend	L	T					
41. --General Electric Common Stock	A	Dividend	K	T					
42. --Tarrant Co. Tx HFD Bond	A	Interest	J	T					
43. --PPL Corp. Common Stock	B	Dividend	K	T					
44. --Vodafone PLC ADR	B	Dividend	K	T					
45. --Coca Cola Company Common Stock	B	Dividend	L	T					
46. --Kraft Foods Common Stock	B	Dividend	L	T	Buy	02/07/14	K		
47. --Intel Corp.	A	Dividend	K	T					
48. --Johnson & Johnson	C	Dividend	L	T					
49. --Verizon Communications	A	Dividend	J	T	Spinoff (from line 44)	02/24/14	J		
50. ESTATE #1 (X)									
51. -- Bank of America Acct. (X)	A	Interest			Closed	12/16/14	J		

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52. -- Property, Tarrant County, TX (X)		None			Sold	04/29/14	L	A	Laurel Blackmon
53. -- American Elect. Power Co. (X)	A	Dividend			Donated				
54. -- Invesco Trust for Invst Grade Municipals (X)	A	Dividend			Donated				
55. -- Putnam American Govt. Income Fund A (X)	A	Dividend			Sold	07/07/14	K	A	
56. -- Exelon Corp. (X)	A	Dividend			Sold	07/07/14	J	B	
57. TRUST #3									
58. -- Apple Inc.	D	Dividend	O	T					
59. -- AT&T (X)	D	Dividend	M	T	Sold (part)	07/07/14	J	A	
60.					Sold (part)	07/08/14	K	B	
61. -- Bristol-Meyers Squibb	C	Dividend	L	T					
62. -- Conagra Foods Inc. (X)	A	Dividend	K	T					
63. -- Emerson Elec. Co. (X)	B	Dividend	L	T					
64. -- Hewlett Packard Co.	A	Dividend	K	T					
65. -- Microsoft	B	Dividend	K	T					
66. -- Neogenomics, Inc.		None	K	T	Buy	02/21/14	J		
67.					Buy (add'l)	03/11/14	J		
68.					Buy (add'l)	04/04/14	J		

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69.					Buy (add'l)	06/02/14	J		
70. -- PPL Corp. (X)	B	Dividend	K	T					
71. -- Verizon Communications (X)	B	Dividend	K	T					
72. -- Nuveen Municipal Value Fund (X)	B	Dividend	K	T					
73. -- XCEL Energy Inc.	B	Dividend	K	T					
74. -- Invesco Advantage Municipal Income Trust II (X)	B	Dividend	K	T	Sold (part)	12/18/14	J	A	
75. -- Invesco High Yield Municipal Fund C (X)	D	Dividend	M	T	Sold (part)	12/18/14	J	A	
76. -- Invesco Municipal Opportunity Trust (X)	A	Dividend	J	T					
77. -- Nuveen Tax Free Advantage Municipal Fund (X)	C	Dividend	K	T					
78. -- Nuveen Prem Income Municipal Fund 2 (X)	A	Dividend	J	T					
79. -- Putnam Tax Free High Yield Fund Class A (X)	C	Dividend	M	T	Sold (part)	12/18/14	J	A	
80. --Wells Fargo Advantage (X) Municipal Bond Fund Class A	A	Dividend	K	T	Sold (part)	12/18/14	J	A	
81. --ML Bank Deposit program (X)	A	Interest	J	T					
82. Bluebird Bio Inc.		None	L	T	Buy	09/11/14	K		
83.					Buy (add'l)	09/18/14	K		
84. Vivus, Inc.		None	K	T	Buy	12/23/14	K		
85.					Buy (add'l)	12/29/14	K		

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86. Chipotle Mexican Grill (CMG)		None	K	T	Buy	05/09/14	K		
87. Gilead Sciences		None	K	T	Buy	03/21/14	K		
88. Krane Shares TR CSI China Internet ETF		None	J	T	Buy	03/17/14	J		
89. Biogen Idec B11B		None	K	T	Buy	10/17/14	K		
90. Apple Inc. AAPL	A	Dividend	K	T	Buy	01/02/14	K		
91. Verizon Comm. Inc.	B	Dividend	K	T	Buy	09/15/14	K		
92. Alibaba Baba		None	K	T	Buy	12/15/14	K		
93.			K	T	Buy (add'l)	11/11/14	K		

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

PART I. POSITIONS

1. The position of Co-Trustee of TRUST #1 will not be included in future reports.
2. The position of Independent Executor of TRUST #3 will not be included in future reports.

PART VII. INVESTMENTS AND TRUSTS

Page 6, Line 47: Intel Corp. was omitted by mistake from the 2013 report [D.(1) Buy, D.(2) 02/05/13, D.(3) K].

Page 6, Line 48: Johnson & Johnson was omitted by mistake from the 2013 report [D.(1) Buy, D.(2) 08/23/13, D.(3) L].

Page 6, Line 51: Bank of America closed and the cash in the account was transferred to TRUST #3 on December 16, 2014.

Page 7, Lines 58, 61, 64, 65 and Page 8, Line 73: These were the assets of TRUST #1 listed in prior years' reports, which were transferred to TRUST #3 in December of 2014, and TRUST #1 was terminated.

Page 7, Line 57: TRUST #3 was created on February 3, 2014. All of the assets of ESTATE #1, other than the assets listed at Page 7, Lines 52-56 (which were donated or sold by the Estate) were transferred to TRUST #3 in December of 2014, and ESTATE #1 was closed.

Since various assets in ESTATE #1 and TRUST #1 received dividends both before and after they were transferred to TRUST #3, all income in the 2014 reporting period is only listed in Column B(1)&(2) under the listings of assets of TRUST #3.

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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