

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 04/05/2013
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 01/01/2012 to 12/31/2012
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.		
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 10

Name of Person Reporting

Lake, Simeon T.

Date of Report

04/05/2013

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 10

Name of Person Reporting

Lake, Simeon T.

Date of Report

04/05/2013

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Lake, Simeon T.

Date of Report

04/05/2013

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	D	Rent	L	W					
3. Rental Property #3-Houston, TX	D	Rent	L	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. Exxon Common Stock	F	Dividend	P1	T					
8. Royalty Interest, Washington Cnty, TX	D	Royalty	K	W					
9. Merrill Lynch Money Mkt Acct (IRA)	A	Interest	K	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	M	T					
13. General Electric Common Stock (IRA)	A	Dividend	J	T					
14. Intel Corp. Common Stock (IRA)	A	Dividend	J	T					
15. Syngenta AG ADR (IRA)	A	Dividend	J	T					
16. Nestle Corp. ADR (IRA)	C	Dividend	L	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 10

Name of Person Reporting

Lake, Simeon T.

Date of Report

04/05/2013

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)

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)	B	Dividend	L	T					
21. Washington Mutual Inc. Common Stock (IRA) (Y)									
22. Microsoft Common Stock (IRA)	A	Dividend	J	T					
23. Glaxo Smith Kline PLC	B	Dividend	L	T					
24. McCormick Inc. Non-Voting (IRA)	A	Dividend	K	T					
25. Pfizer Inc. Common Stock (IRA)	B	Dividend	L	T	Buy (add'l)	11/15/12	K		
26. 3M Company (IRA)	A	Dividend	K	T					
27. Alabama Power Co. Preferred Stock (IRA)	B	Dividend			Redeemed	04/12/12	K	A	
28. TRUST #1									
29. --XCEL Energy, Inc. Common Stock	A	Dividend	K	T					
30. --Walgreen Co. Common Stock	A	Dividend			Sold	02/13/12	K	A	
31. --Hewlett Packard Co. Common Stock	A	Dividend	J	T					
32. --Merrill Lynch Cash/Money Accts	A	Dividend	J	T					
33. --Southwest Airlines Common Stock	A	Dividend			Sold	02/13/12	K	D	
34. --Apple Inc. Common Stock	D	Dividend	O	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Lake, Simeon T.

Date of Report

04/05/2013

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)

35. --Bristol Myers Squib Co. Inc. Common Stock	C	Dividend	L	T					
36. --Pfizer Inc. Common Stock	A	Dividend			Sold	02/13/12	K	A	
37. --Microsoft Common Stock	A	Dividend	K	T					
38. --Johnson & Johnson Co. Common Stock	B	Dividend			Sold	02/13/12	K	A	
39. Merrill Lynch Cash/Money Accts	A	Interest	J	T					
40. AT&T Inc. Common Stock	A	Dividend	J	T					
41. Abbott Labs Common Stock	A	Dividend	M	T					
42. TRUST #2									
43. --Exxon Corp. Common Stock	G	Dividend	P1	T					
44. --Merrill Lynch Money Fund	A	Dividend	J	T					
45. --Abbott Labs Common Stock	A	Dividend	K	T					
46. --General Electric Common Stock	A	Dividend	K	T					
47. --Tarrant Co. Tx HFD Board (X)	A	Interest	J	T					
48. --PPL Corp. Common Stock	A	Dividend	K	T	Buy	09/10/12	K		
49. --Vodafone PLC ADR	A	Dividend	K	T	Buy	09/10/12	K		
50. --Coca Cola Company Common Stock	B	Dividend	L	T	Buy	09/10/12	K		
51.					Buy (add'l)	10/16/12	K		

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 7 of 10

Name of Person Reporting

Lake, Simeon T.

Date of Report

04/05/2013

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)
52. Pfizer Inc. Common Stock	A	Dividend			Sold	02/06/12	K		
53. Kellogg Co. Common Stock	A	Dividend			Sold	02/07/12	K	C	
54. Hospira Inc. Common Stock		None			Sold	02/07/12	J		
55. Procter & Gamble, Inc.	A	Dividend			Sold	02/06/12	K	B	
56. Bank of Texas Account	A	Interest	J	T					
57. Fidelity Municipal Money Mkt Account	A	Interest	J	T					
58. I shares Global Financials Sector Index	A	Dividend			Sold	02/09/12	J		
59. I shares S&P Global Telecom Sector Index	A	Dividend			Sold	02/09/12	J		
60. Kraft Foods	A	Dividend	K	T					
61. I shares Pacific Ex Japan Index		None			Sold	02/09/12	J	A	
62. I shares FTSE China 25 Index		None			Sold	02/09/12	J		
63. I shares S&P Latin Amer 40 Index		None			Sold	02/09/12	J		
64. I shares Global Materials Index		None			Sold	02/09/12	J	A	
65. I shares S&P Metals & Mining ETF		None			Sold	02/09/12	J		
66. Nuveen Muni Value Fund	A	Dividend			Sold	02/09/12	K	B	
67. Texas Water Assistance Board Bond	A	Interest	J	T					
68. Williamson County Toll Bond	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 \$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 8 of 10

Name of Person Reporting

Lake, Simeon T.

Date of Report

04/05/2013

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)
69. Western Asset Municipal Fund	A	Dividend			Sold	02/07/12	J	A	
70. Apple Inc. Common Stock	C	Dividend	L	T	Donated				
71.					Buy	09/10/12	K		
72.					Buy (add'l)	09/11/12	J		
73.					Buy (add'l)	10/08/12	J		
74. Mondelez International, Inc. Common Stock	A	Dividend	K	T	Spinoff (from line 60)	10/02/12	K		

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 9 of 10

Name of Person Reporting

Lake, Simeon T.

Date of Report

04/05/2013

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

PART VII. INVESTMENTS AND TRUSTS

Page 5, Line 21 -- Washington Mutual Common Stock was abandoned as valueless.

Page 5, Line 32 & Page 6, Line 39 -- Changed name because the account includes more than one Merrill Lynch money market account -- accounts are aggregated.

Page 6, Line 47 -- Tarrant Co. Tx HFD Board was omitted by mistake on the 2011 report.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Lake, Simeon T.

Date of Report

04/05/2013

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