

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) Simon, Philip P.	2. Court or Organization Northern District of Indiana	3. Date of Report 04/15/2019
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 01/01/2018 to 12/31/2018
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 12

Name of Person Reporting

Simon, Philip P.

Date of Report

04/15/2019

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. 2018

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. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 12

Name of Person Reporting

Simon, Philip P.

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04/15/2019

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.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

Simon, Philip P.

Date of Report

04/15/2019

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. First Midwest Bank Accounts	A	Interest	J	T					
2. College Choice Advisors 529 Plan (H)									
3. - College Choice Advisors Savings Portfolio	A	Interest	J	T	Sold (part)	12/06/18	J	A	
4. - Boston Company Dynamic Large CapMarket	A	Dividend			Sold	12/31/18	J	A	
5. - International Equity Index	A	Dividend			Sold	12/31/18	J	A	
6. - T.Rowe Price LArge Cap Growth	A	Dividend			Sold	12/31/18	J	A	
7. - Short Term Treasury Index	A	Interest			Sold	12/31/18	J	A	
8. -American FundsEuroPacific Growth	A	Dividend			Sold	12/31/18	J	A	
9. -Emerging Markets Equity Index	A	Dividend			Sold	12/31/18	J	A	
10. - Pimco Total Return Portfolio	A	Dividend			Sold	12/31/18	J	A	
11. Vanguard Prime Money Market	A	Interest	J	T	Buy (add'l)	03/07/18	J		
12.					Sold (part)	03/14/18	J	A	
13.					Sold (part)	04/04/18	J	A	
14.					Sold (part)	05/04/18	J	A	
15.					Sold (part)	06/13/18	J	A	
16.					Sold (part)	11/20/18	J	A	
17.					Buy (add'l)	11/09/18	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = \$50,001 - \$100,000
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	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 12

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18.					Sold (part)	12/24/18	J	A	
19. Vanguard Short Term Bond Fund	A	Interest			Sold	03/07/18	J	A	
20. Vanguard International Growth Fund	A	Int./Div.	K	T					
21. Vanguard Total Stock Market Index Fund	B	Int./Div.	M	T					
22. Vanguard European Stock Index Fund	A	Int./Div.	K	T					
23. HRC Hotels LLC	D	Dividend	O	T					
24. Gas City LLC	C	Dividend			Sold	02/05/18	K	D	
25. Ameritrade Spouse's Roth IRA (H)									
26. - Vanguard US Mid Cap	A	Dividend			Sold	04/03/18	J	A	
27. -SPDR S&P Aerospace & Defense	A	Int./Div.			Sold	03/16/18	J	A	
28. - Vanguard Total Stock Index ETF	A	Dividend			Sold	04/03/18	J	A	
29. - Vanguard Small Cap	A	Dividend			Sold	04/03/18	J	A	
30. -Vanguard Total Bond Market	A	Interest			Sold	04/03/18	J	A	
31. -Vanguard FTSE Emerging Markets	A	Dividend			Sold	04/03/18	J	A	
32. -Vanguard FTSE Developing Markets	A	Dividend			Sold	04/03/18	J		
33. -SPDR Portfolio Total Stock Market	A	Int./Div.	J	T	Buy	04/03/18	J		
34. -SPDR Portfolio Small Cap	A	Int./Div.	J	T	Buy	04/03/18	J		

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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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 12

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35. -SPDR Portfolio MidCap	A	Int./Div.	J	T	Buy	04/03/18	J		
36. -SPDR Portfolio World Ex-US	A	Int./Div.	J	T	Buy	04/03/18	J		
37. -SPDR Barclay 1-3 Month T-Bill	A	Interest	J	T	Buy	11/08/18	J		
38. -SPDR Portfolio Emerging Markets	A	Int./Div.	J	T	Buy	04/03/18	J		
39. -TD Ameritrade Money Market	A	Interest	J	T	Buy	04/03/18	J		
40. Nationwide 457(b) Plan (H)									
41. - AmerCent Val Inv	A	Dividend	J	T					
42. - AmFds Gr Fd Am A	A	Dividend	J	T					
43. - Invseo Gr Inc A	A	Dividend	K	T					
44. - NeuBer Genesis Tr	A	Dividend	J	T					
45. - Opp Gbl A	A	Dividend	J	T					
46. - Lord Abbott High Yield Bond	A	Interest	J	T					
47. - NW HM Bond Inst Svc	A	Interest	J	T					
48. Transamerica Income Elite II -- "76" Annuity (H)									
49. - Transamerica: Clarion Global Real estate	A	Int./Div.			Sold	10/10/18	K	A	
50. -Blackrock Global Real Estate Securities	A	Int./Div.	K	T	Buy	10/10/18	K		
51. - Transamerica: JPM MidCap Value	A	Int./Div.	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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 7 of 12

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52. - Transamerica: PIMCO Total Return	A	Int./Div.	K	T					
53. - Transamerica: U.S. Govt Secs	A	Interest	J	T					
54. -Systematic Sm/midCap Value	A	Int./Div.	J	T					
55. -Aegon High Yield	A	Interest	J	T					
56. - Barrow Hanley Dividend Focused	A	Dividend	K	T					
57. - Transamerica: TA Aegon Money Market	A	Interest			Sold	10/10/18	J	A	
58. -Blackrock Government Money market	A	Interest	J	T	Buy	10/10/18	J		
59. Transamerica Income Elite II -- "77" Annuity (H)									
60. -Transamerica Sm/MidCap Value	A	Int./Div.	J	T					
61. - TA Aegon High Yield Bond	A	Interest	J	T					
62. - Barrow Hanley Dividend Focused	A	Dividend	K	T					
63. - Transamerica Clarion Global Real Estate	A	Int./Div.			Sold	10/10/18	K	B	
64. -BlackRock Global Real Estate Securities	A	Int./Div.	K	T	Buy	10/10/18	K		
65. - TA JP Morgan Midcap Value	A	Int./Div.	J	T					
66. - TA PIMCO Total Value	A	Int./Div.	K	T					
67. - TA Aegon US Govt Secs	A	Interest	J	T					
68. - TA Aegon Govt Money Market	A	Interest			Sold	10/10/18	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 8 of 12

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69. -BlackRock Government Money Market	A	Interest	J	T	Buy	10/10/18	J		
70. Ameritrade Brokerage Account (H)									
71. -SpdR S&P 500 ETF	A	Int./Div.			Sold	03/16/18	J	A	
72. - Powershares Tactical Multi-Asset Income Portfolio	A	Int./Div.			Sold	07/13/18	J	A	
73. -PIMCO Total ReturnActive ETF (Bond)	A	Interest			Sold	03/16/18	K	A	
74. -Power shares DWA Momentum ETF	A	Int./Div.	J	T					
75. - Power shares S&P Intl Dev Low Volatility	A	Int./Div.			Sold (part)	05/31/18	J	A	
76.					Sold	12/10/18	J	A	
77. -Swan Defined Risk I	A	Dividend	J	T	Buy	02/06/18	J		
78. -INvesco S&P 500 Low Volatility	A	Int./Div.	J	T	Buy	03/16/18	J		
79. -Pimco Enhanced Short term Maturity	A	Interest	J	T	Buy	11/08/18	J		
80. -GaveKAI KL Allocation Instl	A	Int./Div.	J	T	Buy	01/25/18	J		
81. -Pimco Income Inst	A	Interest	J	T	Buy	03/16/18	J		
82. - Ameritrade Cash Fund	A	Interest	J	T	Sold (part)	01/25/18	J	A	
83.					Sold (part)	03/16/18	J	A	
84.					Buy (add'l)	03/19/18	J		
85.					Buy (add'l)	04/26/18	J		

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FINANCIAL DISCLOSURE REPORT

Page 9 of 12

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86.					Sold (part)	05/29/18	J	A	
87.					Sold (part)	08/01/18	J	A	
88.					Sold (part)	11/14/18	J	A	
89.					Buy (add'l)	12/04/18	J		
90.					Sold (part)	12/13/18	J	A	
91. Ameritrade IRA (H)									
92. - Vanguard U.S. Mid Cap Index	A	Dividend			Sold	03/16/18	J	A	
93. - Vanguard Total Stock Market ETF	A	Dividend			Sold	03/16/18	J	A	
94. - iShares S&P SmallCap 600 Index	A	Dividend			Sold	02/06/18	J	A	
95. - SPDR S&P 500 ETF Trust	A	Dividend			Sold	03/16/18	J	A	
96. - SPDR S&P Aerospace & Defense	A	Dividend			Sold	03/16/18	J	A	
97. - PIMCO Income Inst'l	A	Interest	J	T					
98. -SPDR S&P Semiconductor	A	Int./Div.			Sold	03/16/18	J	A	
99. -Swan Defined Risk I	A	Int./Div.	J	T	Buy	03/16/18	J		
100. -Invesco S&P 500 Low Volatility	A	Int./Div.	J	T	Buy	03/16/18	J		
101.					Sold (part)	12/10/18	J	A	
102. -Invesco DWA Momentum	A	Int./Div.	J	T	Buy	03/16/18	J		

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FINANCIAL DISCLOSURE REPORT

Page 10 of 12

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103.					Sold (part)	12/04/18	J	A	
104. -JP Morgan Ultra Short Income	A	Interest	J	T	Buy	12/04/18	J		
105. -Pimco Enhanced Short Maturity	A	Interest	J	T	Buy	11/08/18	J		
106. -GaveKal KL Allocation Instl	A	Int./Div.	J	T	Buy	03/16/18	J		
107. - TD Ameritrade Cash Fund	A	Interest	J	T	Buy	02/06/18	J		
108.					Buy (add'l)	03/16/18	J		
109.					Buy (add'l)	12/10/18	J		
110. Rental Home in New Buffalo, Michigan	E	Rent	N	W					

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FINANCIAL DISCLOSURE REPORT

Page 11 of 12

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04/15/2019

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Simon, Philip P.

Date of Report

04/15/2019

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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Washington, D.C. 20544