

AQ-10

Rev. 1/2002

FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

COPY

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (Last name, First name, Middle initial) Lake, Simeon T	2. Court or Organization United States District Court	3. Date of Report 4/27/2004
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Active)	5. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2003 to 12/31/2003
7. Chambers or Office Address United States Courthouse 515 Rusk Avenue, Room 9535 Houston, Texas 77002	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	

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. Sign on last page.

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)☐ **NONE** - (No reportable positions.)POSITIONNAME OF ORGANIZATION/ENTITY

1. Co-Trustee

Trust #1

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)☒ **NONE** - (No reportable agreements.)DATEPARTIES AND TERMS

1.

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of filing instructions)☒ **NONE** - (No reportable non-investment income.)DATESOURCE AND TYPEGROSS INCOME
(yours, not spouse's)

1.

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FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Laka, Simeon T

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IV. REIMBURSEMENTS - transportation, lodging, food, entertainment

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☒ **NONE** - (No such reportable reimbursements.)

SOURCE

DESCRIPTION

1.

V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)

☒ **NONE** - (No such reportable gifts.)

SOURCE

DESCRIPTION

VALUE

1.

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)

☒ **NONE** - (No reportable liabilities.)

CREDITOR

DESCRIPTION

VALUE CODE

1.

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Name of Person Reporting
Lake, Simon T

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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)	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, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
rental property #1-Hous, TX	D	Rent	M	W					
2. rental property #2-Hous, TX	B	Rent	M	W					
3. rental property #3-Hous, TX	C	Rent	K	W					
4. property, Washington Cnty, TX purch in 8/77 for 72,321	A	Rent	L	R					
5. BankOne Account	A	Interest	J	T					
6. Exxon Common Stock	E	Dividend	P1	T					
7. SBC Comm. Common Stock	A	Dividend	K	T					
8. Wells Fargo Bank Account	A	Interest	J	T					
9. Royalty Interest, Washington County, Texas	D	Royalty	K	W					
10. Lucent Tech, Inc. Common Stock		None	J	T					
11. Merrill Lynch Money Mkt Acct (IRA)	A	Interest	K	T					
12. SBC Comm. Common Stock (IRA)	B	Dividend	K	T					
13. Novartis ADR Common Stock (IRA)	A	Dividend	K	T					
14. IBM Corp. Common Stock (IRA)	A	Dividend	L	T					
15. General Electric Corp. (IRA)	A	Dividend	J	T					
16.	A	Dividend	K	T					
17. Syngenta AG ADR (IRA)	A	Dividend	J	T					
18. Palm, Inc Com (IRA)		None	J	T					

1. Income/Gain Codes	A = \$1,000 or less	B = \$1,001-\$2,500	C = \$2,500-\$5,000	D = \$5,001-\$15,000	E = \$15,001-\$50,000
(See Columns B1 and D-6)	F = \$50,001-\$150,000	G = \$150,001-\$500,000	H = \$500,001-\$1,000,000	I2 = More than \$1,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001-\$50,000	L = \$50,001-\$150,000	M = \$150,001-\$250,000	
(See Columns C1 and D-3)	N = \$250,000-\$500,000	O = \$500,001-\$1,000,000	P1 = \$1,000,001-\$5,000,000	P2 = \$5,000,001-\$25,000,000	
	P3 = \$25,000,001-\$50,000,000		P4 = \$50,000,001-\$100,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assumptions	T = Cash/Market	
	V = Other		W = Estimated		

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Name of Person Reporting
Lake, Simon T

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VII. INVESTMENTS and TRUSTS - income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

A. Description of Assets (including trust assets) Place "XX" 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)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amount Code 1 (A-H)	Type (e.g. div. rent. or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g. buy, sell, merger, redemption)	(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
19. 3 Com Corp. (IRA)		None	J	T					
20. Nestle Corp. ADR (IRA)	A	Dividend	K	T					
21. Airborne Freight Common Stock (IRA)	A	Dividend			sold	08/18	K	A	
22. Dr. Reddy's Lab ADR (IRA)	A	Dividend	K	T					
23. Freds, Inc. (IRA)	A	Dividend	K	T					
24. Johnson & Johnson Inc. (IRA)	A	Dividend	K	T					
25. Procter & Gamble Inc. (IRA)	A	Dividend	K	T					
26. Washington Mutual Inc. (IRA)	A	Dividend	K	T					
27. Microsoft (IRA)	A	Dividend	J	T	buy	07/09	J		
28. ABX Air Inc. (IRA)		None	J	T	spin-off	08/18	J		
29. U.S. Treas. Note 01/15/07 20,000 (IRA)	A	Interest	K	T	buy	01/02	K		
30. Trust #1									
31. -AT&T Common Stock	A	Dividend	J	T					
32. -SBC Comm. Common Stock	B	Dividend	K	T					
33. -Excel Energy, Inc. Common Stock	A	Dividend	J	T					
34. -Lucent Tech., Inc. Common Stock		None	J	T					
35. -Gillette Co. Common Stock	A	Dividend			sold	07/10	K	A	
36. -Hewlett Packard Co. Common Stock	A	Dividend	K	T					

1. Income/Item Codes	A = \$1,000 or less	B = \$1,001-\$2,500	C = \$2,501-\$5,000	D = \$5,001-\$15,000	E = \$15,001-\$50,000
(See Columns B1 and D4)	F = \$50,001-\$100,000	G = \$100,001-\$1,000,000	H = \$1,000,001-\$5,000,000	I = \$5,000,001-\$25,000,000	J = \$25,000,001-\$50,000,000
2. Value Codes	J = \$15,000 or less	K = \$15,001-\$50,000	L = \$50,001-\$100,000	M = \$100,001-\$250,000	N = \$250,001-\$500,000
(See Columns C1 and D3)	O = \$500,001-\$1,000,000	P = \$1,000,001-\$5,000,000	Q = \$5,000,001-\$25,000,000	R = \$25,000,001-\$50,000,000	S = \$50,000,001-\$100,000,000
3. Value Method Codes	T = Appraisal	U = Cost (Real Estate Only)	V = Assessment	W = Cash/Market	X = Other
	Y = Fair Value	Z = Other	AA = Estimated	AB = Other	AC = Other

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Name of Person Reporting
Lake, Simeon T

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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 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, margin, redemption)	If not exempt from disclosure			
						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
37. -Merrill Lynch Money Market Acct	A	Dividend	K	T					
38. -Southwest Airlines Common Stock	A	Dividend	L	T					
39. -Apple Computer Inc. Common Stock		None	K	T					
40. -Agilent Tech, Inc.		None	J	T					
41. -AT&T Wireless Corp.		None	J	T					
42. -Comcast Corp.		None							
43. -Bristol Myers Squib Co. Inc.	B	Dividend	L	T					
44. -Pfizer Inc.	A	Dividend	K	T	buy	02/10	K		
45. -Microsoft	A	Dividend	K	T	buy	07/10	K		
46. Merrill Lynch Money Fund	B	Dividend	L	T					
47. General Electric Common Stock	A	Dividend	K	T					
48. Oracle Corp. Common Stock		None	K	T	sold	05/05	K	E	
49. SBC Comm. Common Stock	A	Dividend	J	T					
50. Abbott Labs Common Stock	A	Dividend	J	T					
51. Hewlett Packard Co. Com Stock- formerly Compaq Computer Corp	A	Dividend	J	T					
52. Intel Corp. Common Stock	A	Dividend	L	T					
53. IBM Corp. Common Stock	A	Dividend	K	T					
54. Sun Microsystems Common Stock		None	J	T	sold	04/28	J	A	

1. Income/Gain Codes: A = \$1,000 or less; B = \$1,001-\$2,500; C = \$2,501-\$5,000; D = \$5,001-\$15,000; E = \$15,001-\$50,000; 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 = \$13,000 or less; K = \$15,001-\$50,000; L = \$50,001-\$100,000; M = \$100,001-\$250,000; 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; P3 = \$25,000,001-\$50,000,000; P4 = \$50,000,001-\$100,000,000; P5 = more than \$100,000,000

3. Value Method Codes: Q = Appraisal; R = Cost (Real Estate Only); S = Assessment; T = Cash/Market; U = Book Value; V = Other; W = Estimated

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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 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, merger, redemption)	(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
55. Dell Computer Corp. Common Stock		None	K	T	sold	04/28	K	E	
56. Richardson, TX Hospital Authority Bond	A	Interest	J	T					
57. Trust #2									
58. -Exxon Corp. Common Stock	F	Dividend	P1	T					
59. -Merrill Lynch Money Fund	A	Dividend	J	T					
60. -Abbott Labs Common Stock	A	Dividend	J	T					
61. -Tellabs, Inc.		None	J	T	sold	04/28	J	A	
62. -Cisco Systems, Inc.		None	J	T					
63. Home Depot Inc. Common Stock	A	Dividend	K	T					
64. Lucent Technologies Inc. Common Stock		None	J	T					
65. Pfizer Inc. Common Stock	A	Dividend	K	T					
66. Cisco Systems Inc. Common Stock		None	K	T	sold	04/28	K	D	
67. Schering Plough Common Stock	A	Dividend	J	T					
68. Vodafone Corp. PLC Common Stock	A	Dividend	K	T					
69. Nokia Corp.	A	Dividend	K	T					
70. Time Warner Inc.-formerly America Online, Inc.		None	K	T					
71. Amgen, Inc.		None	K	T	partial sale	03/13	K	D	
72. Tyco International	A	Dividend	J	T					

1. Income/Unit Codes	A = \$1,000 or less	B = \$1,001-\$2,500	C = \$2,501-\$5,000	D = \$5,001-\$15,000	E = \$15,001-\$50,000
(See Columns H1 and D4)	F = \$50,001-\$100,000	G = \$101,001-\$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 = \$250,000-\$500,000	O = \$500,001-\$1,000,000	P1 = \$1,000,001-\$5,000,000	P2 = \$5,000,001-\$25,000,000	
	P3 = \$25,000,001-\$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Joint Return Only)	S = Assessed	T = Cash/Market	
	U = Book Value	V = Other	W = Estimated		

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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 1 (A-H)	(2) Type (e.g. div. rent. or int.)	(1) Value Code 2 (I-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g. buy, sell, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month - Day	(3) Value Code 2 (I-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
73. Avant Immunotherapeutics		None	J	T					
74. Guidant Corp.		None	J	T	sold	04/28	J	A	
75. JDS Uniphase Corp.		None	J	T	sold	04/28	J	A	
76. NASDAQ-100 Trust	A	Dividend	J	T					

1. Income/Gain Order:	A = \$1,000 or less	B = \$1,001-\$2,500	C = \$2,501-\$5,000	D = \$5,001-\$15,000	E = \$15,001-\$50,000
(See Columns B1 and D4)	F = \$50,001-\$100,000	G = \$100,001-\$1,000,000	H = \$1,000,001-\$5,000,000	I2 = 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 D5)	N = \$250,000-\$500,000	O = \$500,001-\$1,000,000	P1 = \$1,000,001-\$3,000,000	P2 = \$3,000,001-\$25,000,000	
	P3 = \$25,000,001-\$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes:	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash/Market	
	U = Book Value	V = Other	W = Estimate		

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS (Indicate part of Report.)

SECTION VII

PAGE 1

Lines 5-9 – BankOne, Exxon, SBC, Wells Fargo, and Royalty Interest were at page 1, lines 6-11, respectively, on the 2002 report.

Line 10 – Lucent Tech. was at page 3, line 51 on the 2002 report.

Lines 11-18 – Merrill Lynch, SBC Comm., Novartis, IBM, General Electric, Intel, Syngenta, and Palm, Inc were at page 1, lines 15 through 18; and page 2, lines 19 through 22, respectively, on the 2002 report.

PAGE 2

Lines 19-26 – 3 Com Corp., Nestle Corp., Airborne Freight, Dr. Reddy's Lab, Freds, Inc., Johnson & Johnson, Procter & Gamble, and Washington Mutual were at page 2, lines 23 through 30, respectively, on the 2002 report.

Line 27 – Microsoft (IRA) is a new entry.

Line 28 – ABX Air Inc. (IRA) is a new entry.

Line 29 – U.S. Treas. Note is a new entry.

Lines 30-33 – Trust #1, AT&T, SBC Comm., and Exel Energy were at page 2, lines 31 through 34, respectively, on the 2002 report.

Lines 34-36 – Lucent Tech., Gillette Co., and Hewlett Packard were at page 3, lines 37 through 39, respectively, on the 2002 report.

PAGE 3

Lines 37-41 – Merrill Lynch, Southwest Airlines, Apple Computer, Agilent Tech., and AT&T Wireless were at page 3, lines 40 through 44, respectively, on the 2002 report.

Lines 42-43 – Comcast and Briston Myers were at page 3, lines 46 and 47, respectively, on the 2002 report.

Line 44 – Pfizer Inc. is a new entry.

Line 45 – Microsoft is a new entry.

Line 46 – Merrill Lynch combines page 3, line 52 with page 5, line 75 of the 2002 report.

Lines 47-48 – General Electric and Oracle Corp. were at page 3, lines 53 and 54, respectively, on the 2002 report.

Lines 49-54 – SBC Comm., Abbott Labs, Hewlett Packard, Intel Corp., IBM Corp., and Sun Microsystems were at page 4, lines 55 through 60, respectively, on the 2002 report.

PAGE 4

Lines 55-66 – Dell Computer, Richardson, TX, Trust #2, Exxon Corp., Merrill Lynch, Abbott Labs, Tallah, Cisco Systems, Home Depot, Lucent Technologies, Pfizer Inc., and Cisco Systems were at page 4, lines 61 through 72, respectively, on the 2002 report.

Lines 67-68 – Schering Plough and Vodafone Corp were at page 5, lines 73 and 74, respectively, on the 2002 report.

Line 69 – Noleia Corp. was at page 5, line 76 on the 2002 report.

Line 70 – Time Warner was at page 5, line 77 on the 2002 report.

Lines 71-72 – Amgen and Tyco were at page 5, lines 78 and 79, respectively, on the 2002 report.

PAGE 5

Lines 73-75 – Avant Immunotherapeutics, Guidant, and JDS Uniphase were at page 5, lines 80 through 82, respectively, on the 2002 report.

Line 76 – NASDAQ-100 was at page 5, line 84 on the 2002 report.

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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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature

Date April 27, 2004

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544