

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2006

COPY

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 03/28/2007
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 01/01/2006 to 12/31/2006
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 instructions.)

☐ NONE (No reportable positions.)

POSITION	NAME OF ORGANIZATION/ENTITY
1. Co-Trustee	Trust #1
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of instructions.)

☒ NONE (No reportable agreements.)

DATE	PARTIES AND TERMS
1.	
2.	
3.	

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FINANCIAL DISCLOSURE REPORT
Page 2 of 10

Name of Person Reporting
Lake, Simeon T

Date of Report
03/28/2007

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of instructions.)*

A. Filer's Non-Investment Income

☒ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
2.		
3.		
4.		
5.		

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
3.	
4.	
5.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.*
(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☒ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>
1.	
2.	
3.	
4.	
5.	

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Lake, Simeon T

Date of Report

03/28/2007

V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of 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 instructions.)*☒ NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Lake, Simeon T

Date of Report

03/28/2007

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of the 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 (I-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g. buy, sell, 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)
1. rental property #1-Houston, TX	B	Rent	M	W					
2. rental property #2-Houston, TX	B	Rent	L	W					
3. rental property #3-Houston, TX	B	Rent	L	W					
4. rental property #4-Houston, TX	A	Rent	N	W	Buy	09/20	N		Jeff & Ann Dykes
5. property, Washington Cnty, TX	A	Rent	M	W					
6. J.P. Morgan Chase (name change)	A	Interest	J	T					
7. Exxon Common Stock	E	Dividend	P1	T	Partial Sale	10/25	L	F	
8.					Partial Sale	11/06	J	D	
9. AT&T Inc. Common Stock	A	Dividend	K	T					
10. Wells Fargo Bank Account	A	Interest	J	T					
11. Royalty Interest, Washington County, Texas	D	Royalty	K	W					
12. Merrill Lynch Money Mkt Acct (IRA)	A	Interest	J	T					
13. AT&T Inc. Common Stock (IRA)	B	Dividend	K	T					
14. Novartis ADR (IRA)	A	Dividend	L	T					
15. IBM Corp. Common Stock (IRA)	A	Dividend	L	T					
16. General Electric Common Stock (IRA)	A	Dividend	J	T					
17. Intel Corp. Common Stock (IRA)	A	Dividend	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 R = Cost (Real Estate Only) V = Other	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000 S = Assessment W = Estimated	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Lake, Simeon T

Date of Report

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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 Month Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Syngenta AG ADR (IRA)		None	J	T					
19. Palm, Inc. Common Stock (IRA)		None	J	T					
20. 3 Com Corp. Common Stock (IRA)		None	J	T					
21. Nestle Corp. ADR (IRA)	A	Dividend	L	T					
22. Dr. Reddy's Lab ADR (IRA)	A	Dividend	K	T					
23. Freds, Inc. Common Stock (IRA)	A	Dividend	J	T					
24. Johnson & Johnson Inc. Common Stock (IRA)	A	Dividend	K	T					
25. Procter & Gamble Inc. Common Stock (IRA)	B	Dividend	L	T					
26. Washington Mutual Inc. Common Stock (IRA)	A	Dividend	K	T					
27. Microsoft Common Stock (IRA)	A	Dividend	J	T					
28. ABX Air Inc. Common Stock (IRA)		None	J	T					
29. McCormick Inc. Non-Voting (IRA)	A	Dividend	K	T					
30. U.S. Treas. Note (IRA)	A	Interest	K	T					
31. Trust #1									
32. --AT&T Common Stock	B	Dividend	K	T					
33. --XCEL Energy, Inc. Common Stock	A	Dividend	K	T					
34. --Walgreen Co. Common Stock	A	Dividend	K	T	Buy	05/19	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	K = \$15,001 - \$50,000 Q = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Lake, Simeon T

Date of Report

03/28/2007

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	(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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. --Verigy Ltd. Common Stock	A	Distribution	J	T	Spin-off	11/04	J	A	(See Part VIII.)
36. --Hewlett Packard Co. Common Stock	A	Dividend	K	T	Partial Sale	06;22	J	B	
37. --Merrill Lynch Money Market Acct	C	Dividend	K	T					
38. --Southwest Airlines Common Stock	A	Dividend	L	T					
39. --Apple Computer Inc. Common Stock		None	L	T					
40. --Agilent Tech., Inc. Common Stock		None	J	T					
41. --Comcast Corp. Common Stock		None			Sold	06/22	J	A	
42. --Bristol Myers Squib Co. Inc. Common Stock	B	Dividend	L	T					
43. --Pfizer Inc. Common Stock	A	Dividend	K	T					
44. --Microsoft Common Stock	A	Dividend	K	T					
45. --Johnson & Johnson Co. Common Stock	A	Dividend	K	T					
46. Merrill Lynch Money Fund	C	Dividend	K	T					
47. General Electric Common Stock	B	Dividend	L	T	Partial Sale	09/06	L	E	
48. AT&T Inc. Common Stock	A	Dividend	J	T					
49. Abbott Labs Common Stock	A	Dividend	K	T					
50. Hewlett Packard Co. Comm Stock	A	Dividend			Sold	08/30	J	A	
51. Intel Corp. Common Stock	A	Dividend			Sold	09/11	K	B	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000 R = Cost (Real Estate Only) V = Other	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
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FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Lake, Simeon T

Date of Report

03/28/2007

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52. IBM Corp. Common Stock	A	Dividend			Sold	09/07	K	D	
53. Trust #2									
54. --Exxon Corp. Common Stock	F	Dividend	P1	T					
55. --Merrill Lynch Money Fund	B	Dividend	K	T					
56. --Abbott Labs Common Stock	A	Dividend	K	T					
57. Home Depot Inc. Common Stock	A	Dividend			Sold	09/06	K	B	
58. Pfizer Inc. Common Stock	A	Dividend	K	T					
59. Schering Plough Common Stock	A	Dividend			Sold	08/30	K	A	
60. Vodafone Corp. PLC Common Stock	C	Dividend			Sold	09/06	K	A	
61. Nokia Corp. Common Stock	A	Dividend	K	T	Partial Sale	08/30	J	A	
62. Time Warner Inc. Common Stock	A	Dividend			Sold	08/30	K	A	
63. Amgen, Inc. Common Stock		None			Sold	08/30	K	D	
64. Tyco International Common Stock	A	Dividend			Sold	08/30	J	A	
65. Wachovia Corp. Common Stock	B	Dividend	K	T					
66. Kellog Co. Common Stock	A	Dividend	K	T					
67. Hospira Inc. Common Stock		None	J	T					
68. Procter & Gamble, Inc.	A	Dividend	K	T					

1. Income/Gain Codes: (See Columns B1 and D4)	A=\$1,000 or less F=\$50,001 - \$100,000 J=\$15,000 or less N=\$250,001 - \$500,000 P3=\$25,000,001 - \$50,000,000 Q=Appraisal U=Book Value	B=\$1,001 - \$2,500 G=\$100,001 - \$1,000,000 K=\$15,001 - \$50,000 O=\$500,001 - \$1,000,000 R=Cost (Real Estate Only) V=Other	C=\$2,501 - \$5,000 H1=\$1,000,001 - \$5,000,000 L=\$50,001 - \$100,000 P1=\$1,000,001 - \$5,000,000 P4=More than \$50,000,000 S=Assessment W=Estimated	D=\$5,001 - \$15,000 H2=More than \$5,000,000 M=\$100,001 - \$250,000 P2=\$5,000,001 - \$25,000,000 T=Cash Market	E=\$15,001 - \$50,000
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FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

Lake, Simeon T

Date of Report

03/28/2007

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69. Bank of Texas Account	A	Interest	J	T					
70. Fidelity Municipal Money Mkt a/c	A	Interest	J	T	Open	11/15			
71. Caterpillar Inc.	A	Dividend	K	T	Buy	10/26	K		
72. I shares Dow U.S.-Broker Dealers Index	A	Dividend	J	T	Buy	12/21	J		
73. I shares Global Financials Sector Index		None	J	T	Buy	12/18	J		
74. I shares S&P Global Telecom Sector Index	A	Dividend	J	T	Buy	12/21	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000 R = Cost (Real Estate Only) V = Other	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
2. Value Codes: (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Lake, Simeon T

Date of Report

03/28/2007

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

SECTION VII

PAGE 4

Line 4 -- Rental property #4 is a new entry.

Line 6 -- BankOne Account listed as line 5 on the 2005 Report changed its name to J.P. Morgan Chase and is listed on line 6 on this report.

PAGE 5

Line 29 -- McCormick Inc. was at page 6, line 36 on the 2005 Report.

Line 34 -- Walgreen is a new entry.

PAGE 6

Line 35 -- Verigy Ltd. is a new entry, and B.(2) is more specifically typed as "cash in lieu of partial share of stock," and D.(1) is more specifically typed as "spin-off from Agilent Tech."

PAGE 8

Lines 70-74 -- Fidelity Municipal, Caterpillar Inc., I shares Dow U.S., I shares Global Financials, and I shares S&P Global are new entries.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Lake, Simeon T

Date of Report

03/28/2007

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

Date MARCH 28, 2007

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)

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