

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 03/27/2014
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 01/01/2013 to 12/31/2013
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.		

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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.)*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. _____

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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.			
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	B	Rent	N	W					
2. Rental Property #2-Houston, TX	C	Rent	L	W					
3. Rental Property #3-Houston, TX	C	Rent	L	W					
4. Rental Property #4-Houston, TX	A	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	C	Royalty	K	W					
9. Merrill Lynch Money Mkt Acct	A	Interest	N	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	K	T					
15. Syngenta AG ADR (IRA)	A	Dividend	K	T	Buy (add'l)	03/06/13	K		
16. Nestle Corp. ADR (IRA)	C	Dividend	M	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 \$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	

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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				
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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)	B	Dividend	L	T					
21. Microsoft Common Stock (IRA)	A	Dividend	K	T					
22. Glaxo Smith Kline PLC (IRA)	B	Dividend	L	T					
23. McCormick Inc. Non-Voting (IRA)	A	Dividend	K	T					
24. Pfizer Inc. Common Stock (IRA)	B	Dividend	L	T					
25. 3M Company (IRA)	B	Dividend	K	T					
26. TRUST #1									
27. --XCEL Energy, Inc. Common Stock	A	Dividend	K	T					
28. --Hewlett Packard Co. Common Stock	A	Dividend	K	T					
29. --Apple Inc. Common Stock	D	Dividend	O	T					
30. --Bristol Myers Squibb Co. Inc. Common Stock	C	Dividend	L	T					
31. --Microsoft Common Stock	A	Dividend	K	T					
32. Exxon Common Stock	G	Dividend	P1	T					
33. AT&T Inc. Common Stock	A	Dividend	J	T					
34. Abbott Labs Common Stock	B	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 \$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	

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35. Abbvie Inc. Common Stock	C	Dividend	L	T	Spinoff (from line 34)	01/07/13	L		
36. Fidelity Municipal Money Mkt Account	A	Interest	K	T					
37. Kraft Foods Common Stock	A	Dividend	K	T					
38. Texas Water Assistance Board Bond	A	Interest	J	T					
39. Williamson County Toll Bond	A	Interest	J	T					
40. Mondelez International, Inc. Common Stock	A	Dividend	K	T					
41. TRUST #2									
42. --Exxon Corp. Common Stock	G	Dividend	P1	T					
43. --Abbott Labs Common Stock	A	Dividend	K	T					
44. --Abbvie Inc. Common Stock	B	Dividend	L	T	Buy	01/29/13	K		
45. --General Electric Common Stock	A	Dividend	K	T					
46. --Tarrant Co. Tx HFD Board	A	Interest	J	T					
47. --PPL Corp. Common Stock	B	Dividend	K	T					
48. --Vodafone PLC ADR	B	Dividend	K	T					
49. --Coca Cola Company Common Stock	B	Dividend	L	T					
50. --Kraft Foods Common Stock	B	Dividend	L	T	Buy	02/07/13	K		

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

PART VII. INVESTMENTS AND TRUSTS

Page 5, Line 21 of 2012 Report -- Washington Mutual Common Stock became worthless in prior year.

Merrill Lynch entries listed in 2012 report at Page 5, Line 32 and Page 6, Lines 39 and 44 have been deleted as separate entries in the 2013 report and are consolidated into one entry at Page 4, Line 9.

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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
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Washington, D.C. 20544