

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 04/16/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
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.	

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Name of Person Reporting

Simon, Philip P.

Date of Report

04/16/2020

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.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	City of Valparaiso Salary
2. 2019	Valparaiso Festival and Events Salary and Commissions
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.)

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

Name of Person Reporting Simon, Philip P.	Date of Report 04/16/2020
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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. Cenlar FSB	Mortgage on rental property in New Buffalo, Michigan	M
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. First Midwest Bank Accounts	A	Interest	J	T					
2. College Choice Advisors 529 Plan (H)									
3. - College Choice Advisors Savings Portfolio	A	Interest			Sold	8/27/19	J	A	
4. Vanguard Prime Money Market	A	Interest	J	T	Buy (add'l)	03/19/19	K		
5.					Buy (add'l)	04/16/19	J		
6.					Buy (add'l)	08/22/19	J		
7. Vanguard International Growth Fund	A	Int./Div.	K	T					
8. Vanguard Total Stock Market Index Fund	B	Int./Div.	M	T	Sold (part)	03/19/19	K	B	
9.					Sold (part)	08/22/19	J	A	
10. Vanguard European Stock Index Fund	A	Int./Div.	K	T					
11. HRC Hotels LLC	D	Dividend	O	T					
12. Ameritrade Spouse's Roth IRA (H)									
13. -SPDR Portfolio Total Stock Market	A	Int./Div.	J	T					
14. -SPDR Portfolio Small Cap	A	Int./Div.	J	T					
15. -SPDR Portfolio MidCap	A	Int./Div.	J	T					
16. -SPDR Portfolio World Ex-US	A	Int./Div.	J	T					
17. -SPDR Barclay 1-3 Month T-Bill	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 \$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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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	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, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. -SPDR Portfolio Emerging Markets	A	Int./Div.	J	T					
19. -TD Ameritrade Money Market	A	Interest	J	T					
20. Nationwide 457(b) Plan (H)									
21. - AmerCent Val Inv	A	Dividend	J	T					
22. - AmFds Gr Fd Am A	A	Dividend	J	T					
23. - Invsco Gr Inc A	A	Dividend	K	T					
24. - NeuBer Genesis Tr	A	Dividend	J	T					
25. - Opp Glbl A	A	Dividend	J	T					
26. - Lord Abbott High Yield Bond	A	Interest	J	T					
27. - NW HM Bond Inst Svc	A	Interest	J	T					
28. Transamerica Income Elite II -- "76" Annuity (H)									
29. -Blackrock Global Real Estate Securities	A	Int./Div.	K	T					
30. - Transamerica: JPM MidCap Value	A	Int./Div.	J	T					
31. - Transamerica: PIMCO Total Return	A	Int./Div.	K	T					
32. -Transamerica: U.S. Govt Secs	A	Interest	J	T					
33. -Systematic Sm/midCap Value	A	Int./Div.			Sold	10/10/19	J	A	
34. -JP Morgan Midcap Value	A	Int./Div.	J	T	Buy	10/10/19	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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35. -Aegon High Yield	A	Interest	J	T					
36. - Barrow Hanley Dividend Focused	A	Dividend	K	T					
37. -Blackrock Government Money market	A	Interest	J	T					
38. Transamerica Income Elite II -- "77" Annuity (H)									
39. -Transamerica Sm/MidCap Value	A	Int./Div.	J	T					
40. - TA Aegon High Yield Bond	A	Interest	J	T					
41. - Barrow Hanley Dividend Focused	A	Dividend	K	T					
42. -BlackRock Global Real Estate Securities	A	Int./Div.	K	T					
43. - TA JP Morgan Midcap Value	A	Int./Div.	J	T					
44. - TA PIMCO Total Value	A	Int./Div.	K	T					
45. - TA Aegon US Govt Secs	A	Interest	J	T					
46. -BlackRock Government Money Market	A	Interest	J	T					
47. Ameritrade Brokerage Account (H)									
48. -Power shares DWA Momentum ETF	A	Int./Div.	J	T					
49.					Buy (add'l)	06/20/19	J		
50.					Sold (part)	10/07/19	J	A	
51. -Swan Defined Risk I	A	Dividend			Sold	01/04/19	J	A	

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52. -INvesco S&P 500 Low Volatility	A	Int./Div.	J	T					
53. -Pimco Enhanced Short term Maturity	A	Interest	J	T					
54. -GaveKAI KL Allocation Instl	A	Int./Div.	J	T					
55.					Sold (part)	11/14/19	J	A	
56. -Pimco Income Inst	A	Interest	J	T					
57. -Invesco S&P 500 Top 50	A	Int./Div.	J	T	Buy	11/14/19	J		
58. -Proshares Trust S&P 500 Aristocrats	A	Int./Div.	J	T	Buy	06/04/19	J		
59.					Sold (part)	11/14/19	J	A	
60. -Invesco S&P SmallCap Low Volatility	A	Int./Div.	J	T	Buy	04/04/19	J		
61. -Invesco Intl Developed Low Volatility	A	Int./Div.	J	T	Buy	11/07/19	J		
62. -Invesco Dow Jones Ind Ave. Dividend	A	Int./Div.	J	T	Buy	03/14/19	J		
63. -Ameritrade Cash Fund	A	Interest	J	T					
64. Ameritrade IRA (H)									
65. - PIMCO Income Inst'l	A	Interest	J	T					
66. -Swan Defined Risk I	A	Int./Div.			Sold	01/04/19	J	A	
67. -Invesco S&P 500 Low Volatility	A	Int./Div.	J	T	Buy	03/16/19	J		
68. -Invesco DWA Momentum	A	Int./Div.	J	T	Buy	03/16/19	J		

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69.					Sold (part)	10/07/19	J	A	
70. -JP Morgan Ultra Short Income	A	Interest			Sold	11/07/19	J	A	
71. -Pimco Enhanced Short Maturity	A	Interest	J	T	Buy	11/08/19	J		
72. -GaveKal KL Allocation Instl	A	Int./Div.	J	T					
73. - TD Ameritrade Cash Fund	A	Interest	J	T					
74. -Invesco S&P 500 top 50	A	Int./Div.	J	T	Buy	11/14/19	J		
75. -Pro Shares Trust S&P 500 Aristocrats	A	Int./Div.	J	T	Buy	06/19/19	J		
76. -Invesco Dow Jones Indl Ave. dividend	A	Int./Div.	J	T	Buy	03/14/19	J		
77. -Invesco S&P 500 Small Cap Low Volatility	A	Int./Div.	J	T	Buy	04/04/19	J		
78. -Invesco S&P 500 Intl Developed Low Volatility	A	Int./Div.	J	T	Buy	11/07/19	J		
79. Vanguard Inherited IRA (H)									
80. -Vanguard Federal Money Market Fund	G	Interest	M	T	Buy	12/05/19	M		
81. Rental Home in New Buffalo, Michigan	E	Rent	N	W					

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

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

In Line 79 of this year's financial disclosure there is a new entry for the Vanguard Inherited IRA. My mother passed in August 2019, and that is the source of those funds and this new entry on my report.

Philip Simon

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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/ **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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544