

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) Lake, Simeon T.	2. Court or Organization United States District Court	3. Date of Report 03/24/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior U.S. District Judge (active)	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 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
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.		

Name of Person Reporting	Date of Report
Lake, Simeon T.	03/24/2020

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

A. Filer's Non-Investment Income

[X] NONE (No reportable non-investment income.)

DATE	SOURCE AND TYPE	INCOME (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.)

[X] NONE (No reportable non-investment income.)

DATE	SOURCE 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.)

[X] NONE (No reportable reimbursements.)

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Lake, Simeon T.	03/24/2020

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.		
2.		
3.		
4.		
5.		

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)	(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)
1. Rental Property #1-Houston, TX	C	Rent	O	W					
2. Rental Property #2-Houston, TX	C	Rent	K	W					
3. Rental Property #3-Houston, TX	C	Rent	K	W					
4. Rental Property #4-Houston, TX	A	Rent			Sold	10/09/19	N	G	
5. Property-Washington Cnty, TX	A	Rent	O	W					
6. Bank of Texas Account	A	Interest	J	T					
7. Royalty Interest, Washington Cnty, TX	B	Royalty	J	W					
8. Merrill Lynch Money Mkt Acct (Bank of America)	D	Interest	O	T					
9. AT&T Inc. Common Stock (IRA)	B	Dividend	K	T					
10. Novartis ADR (IRA)	B	Dividend	L	T					
11. IBM Corp. Common Stock (IRA)	C	Dividend	L	T					
12. General Electric Common Stock (IRA)	A	Dividend	J	T					
13. Intel Corp. Common Stock (IRA)	A	Dividend	K	T					
14. Nestle Corp. ADR (IRA)	C	Dividend	M	T					
15. Dr. Reddy's Lab ADR (IRA)	A	Dividend	K	T	Sold (part)	03/21/19	K	E	
16. Johnson & Johnson Inc. Common Stock (IRA)	B	Dividend	L	T					
17. Procter & Gamble Inc. Common Stock (IRA)	C	Dividend	M	T					

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

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)
18. Microsoft Common Stock (IRA)	A	Dividend	L	T					
19. Glaxo Smith Kline PLC Common Stock (IRA)	B	Dividend	K	T					
20. McCormick Inc. Non-Voting Common Stock (IRA)	A	Dividend	L	T					
21. Pfizer Inc. Common Stock (IRA)	C	Dividend	M	T	Buy (add'l)	12/18/19	K		
22. Unilever PLC ADR (IRA)	A	Dividend	K	T					
23. 3M Company Common Stock (IRA)	B	Dividend	L	T					
24. Blackrock Liquidity Fund T Fund Instl CL (IRA)	B	Dividend	N	T	Buy	09/18/19	N		
25. SPDR Portfolio S&P 500G (IRA)	A	Dividend	K	T	Buy	10/03/19	K		
26. ISHARES Core S&P ETF (IRA)	A	Dividend	K	T	Buy	10/03/19	K		
27. Alcon Inc. (IRA)		None	J	T	Spinoff (from line 10)	04/09/19	J		
28. Exxon Common Stock	G	Dividend	P1	T					
29. AT&T Inc. Common Stock	D	Dividend	M	T					
30. Abbott Labs Common Stock	C	Dividend	M	T					
31. Abbvie Inc. Common Stock	D	Dividend	M	T					
32. Mondelez International, Inc. Common Stock	B	Dividend	L	T					
33. Cisco Systems Inc.	C	Dividend	M	T					
34. Nuveen Municipal Value Fund	C	Dividend	M	T					

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

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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

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)	(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)
35. TRUST #2									
36. --Exxon Corp. Common Stock	G	Dividend	P1	T					
37. --Abbott Labs Common Stock	A	Dividend	K	T					
38. --Abbvie Inc. Common Stock	B	Dividend	L	T					
39. --General Electric Common Stock	A	Dividend	K	T					
40. Tarrant Co. Tx HFD Bond	A	Interest	J	T					
41. PPL Corp. Commom Stock	C	Dividend	L	T					
42. Coca Cola Company Common Stock	C	Dividend	M	T	Buy (add'l)	09/16/19	L		
43. Kraft Heinz Co. Common Stock	B	Dividend	K	T	Sold (part)	07/19/19	K	A	
44. Intel Corp. Common Stock	B	Dividend	L	T					
45. Johnson & Johnson Common Stock	B	Dividend	K	T					
46. Microsoft Corp.	C	Dividend	M	T					
47. SPDR Dow Jones Industrial Avg ETF Trust	C	Dividend	M	T	Buy (add'l)	07/19/19	K		
48. Caterpillar Inc.	B	Dividend	L	T					
49. Procter & Gamble Co.	C	Dividend	M	T					
50. Apple Inc.	E	Dividend	P1	T					
51. Bristol-Meyers Squib Common Stock	C	Dividend	M	T					

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

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R =Cost (Real Estate Only)

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H1 =\$1,000,001 - \$5,000,000

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P1 =\$1,000,001 - \$5,000,000

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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.)

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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)
52. Bristol-Meyers Squibb rights		None	J	T	Spinoff (from line 51)	11/21/19	J		
53. Conagra Foods Inc. Common Stock	B	Dividend	M	T	Buy (add'l)	09/18/19	K		
54.					Buy (add'l)	12/18/19	K		
55. Neogenomics, Inc. Common Stock		None	M	T					
56. PPL Corp.	C	Dividend	L	T					
57. Lamb Weston Holdings	A	Dividend	L	T					
58. XCEL Energy Inc. Common Stock	B	Dividend	L	T					
59. Invesco Advantage Municipal Income Trust II	A	Dividend	K	T					
60. Invesco High Yield Municipal Fund C	C	Dividend	M	T					
61. Invesco Municipal Opportunity Trust	A	Dividend	J	T					
62. Nuveen Tax Free Advantage Municipal Fund	B	Dividend	K	T					
63. Putnam Tax Free High Yield Fund Class A	C	Dividend	M	T					
64. Wells Fargo Advantage Municipal Bond Fund Class A	A	Dividend	K	T					
65. Bluebird Bio Inc. Common Stock		None	L	T					
66. Celgene Corp.		None			Sold	11/21/19	K	A	
67. Sangamo-Biosciences, Inc.		None	K	T					
68. Fidelity Money Mkt Account	A	Interest	J	T					

1. Income Gain Codes:

(See Columns B1 and D4)

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(See Columns C1 and D3)

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69. Gilead Sciences Common Stock	A	Dividend	K	T					
70. Krane Shares TR CSI China Internet ETF	A	Dividend	J	T					
71. Biogen Idec B11B Common Stock		None	K	T					
72. Verizon Communications	B	Dividend	L	T					
73. Alibaba Group Holding Ltd.		None	K	T					
74. First Trust NYSE Arca Biotech		None	K	T					
75. Invesco QQQ Tr Unit Series 1 (ETF)	A	Dividend	M	T					
76. ISHARES S&P 500 Growth ETF	A	Dividend	K	T					
77. ISHARES Trust Core Dividend Growth	A	Dividend	K	T	Buy	07/24/19	K		
78. Tencent Holdings Ltd. ADR	A	Dividend	J	T					
79. Amazon Com. Inc.		None	L	T					
80. Wabtec Corp.		None			Spinoff (from line 12)	03/01/19	J		
81.					Sold (part)	04/04/19	J	A	
82.					Sold	12/09/19	J	A	

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FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Lake, Simeon T.

Date of Report

03/24/2020

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

VII. INVESTMENTS and TRUSTS

line 34 -- Nuveen Munucipal Value Fund was listed at lines 34 and 56 in the 2018 Report. The two listings are combined in this 2019 Report at line 34.

line 43 -- Kraft Heinz Co. was listed twice on the 2018 Report in error at lines 29 and 43. In this 2019 Report it is listed only once at line 43.

line 66 -- Celgene Corp. was exchanged for Bristol--Meyers Squib common stock and rights.

line 80 -- Wabtec Corp. -- issued as part of Wabtec's acquisition of certain assets of General Electric.

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Name of Person Reporting

Lake, Simeon T.

Date of Report

03/24/2020

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