

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 03/22/2021
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 01/01/2020 to 12/31/2020
	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.		

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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.)

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.)



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.)



NONE (No reportable reimbursements.)

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

3.

4.

5.

Name of Person Reporting	Date of Report
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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)	(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	A	Rent	O	W					
2. Rental Property #2-Houston, TX	A	Rent	L	W					
3. Rental Property #3-Houston, TX	B	Rent	L	W					
4. Property-Washington Cnty, TX	A	Rent	O	W					
5. Bank of Texas Account	A	Interest	J	T					
6. Royalty Interest, Washington Cnty, TX	B	Royalty	J	W					
7. Merrill Lynch Money Mkt Acct (Bank of America)	C	Interest	O	T					
8. AT&T Inc. Common Stock (IRA)	B	Dividend	K	T					
9. Novartis ADR (IRA)	B	Dividend	L	T					
10. IBM Corp. Common Stock (IRA)	C	Dividend	L	T					
11. General Electric Common Stock (IRA)	A	Dividend	J	T					
12. Intel Corp. Common Stock (IRA)	A	Dividend	K	T					
13. Nestle Corp. ADR (IRA)	C	Dividend	M	T					
14. Dr. Reddy's Lab ADR (IRA)	A	Dividend	L	T					
15. Johnson & Johnson Inc. Common Stock (IRA)	B	Dividend	L	T					
16. Procter & Gamble Inc. Common Stock (IRA)	C	Dividend	M	T					
17. Microsoft Common Stock (IRA)	B	Dividend	M	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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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)
18. Glaxo Smith Kline PLC Common Stock (IRA)	B	Dividend	K	T					
19. McCormick Inc. Non-Voting Common Stock (IRA)	B	Dividend	L	T					
20. Pfizer Inc. Common Stock (IRA)	C	Dividend	M	T					
21. Unilever PLC ADR (IRA)	A	Dividend	K	T					
22. 3M Company Common Stock (IRA)	B	Dividend	L	T					
23. Blackrock Liquidity Fund T Fund Instl CL (IRA)	C	Dividend	N	T					
24. SPDR Portfolio S&P 500G (IRA)	A	Dividend	L	T	Buy (add'l)	03/19/20	K		
25. ISHARES Core S&P ETF (IRA)	B	Dividend	M	T	Buy (add'l)	02/26/20	L		
26. Alcon Inc. (IRA)		None	J	T					
27. Exxon Common Stock	G	Dividend	P1	T					
28. AT&T Inc. Common Stock	D	Dividend	M	T					
29. Abbott Labs Common Stock	C	Dividend	M	T					
30. Abbvie Inc. Common Stock	D	Dividend	N	T					
31. Mondelez International, Inc. Common Stock	B	Dividend	L	T					
32. Cisco Systems Inc.	C	Dividend	L	T					
33. Nuveen Municipal Value Fund	C	Dividend	M	T					
34. TRUST #2									

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
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35. --Exxon Corp. Common Stock	G	Dividend	P1	T					
36. --Abbott Labs Common Stock	A	Dividend	K	T					
37. --Abbvie Inc. Common Stock	B	Dividend	K	T					
38. --General Electric Common Stock	A	Dividend	J	T					
39. Tarrant Co. Tx HFD Bond	A	Interest	J	T					
40. PPL Corp. Commom Stock	C	Dividend	L	T					
41. Coca Cola Company Common Stock	C	Dividend	M	T					
42. Kraft Heinz Co. Common Stock	B	Dividend	K	T					
43. Intel Corp. Common Stock	B	Dividend	K	T					
44. Johnson & Johnson Common Stock	B	Dividend	K	T					
45. Microsoft Corp.	C	Dividend	N	T					
46. SPDR Dow Jones Industrial Avg ETF Trust	C	Dividend	M	T					
47. Caterpillar Inc.	B	Dividend	M	T					
48. Procter & Gamble Co.	C	Dividend	M	T					
49. Apple Inc.	E	Dividend	P1	T					
50. Bristol-Meyers Squib Common Stock	C	Dividend	M	T					
51. Bristol-Meyers Squib rights		None	J	T					

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52. Conagra Foods Inc. Common Stock	B	Dividend	M	T					
53. Neogenomics, Inc. Common Stock		None	N	T					
54. PPL Corp.	C	Dividend	L	T					
55. Lamb Weston Holdings	A	Dividend	L	T					
56. XCEL Energy Inc. Common Stock	B	Dividend	L	T					
57. Invesco Advantage Municipal Income Trust II	A	Dividend	K	T					
58. Invesco High Yield Municipal Fund C	C	Dividend	M	T					
59. Invesco Municipal Opportunity Trust	A	Dividend	J	T					
60. Nuveen Tax Free Advantage Municipal Fund	B	Dividend	K	T					
61. Putnam Tax Free High Yield Fund Class A	C	Dividend	M	T					
62. Wells Fargo Advantage Municipal Bond Fund Class A	A	Dividend	K	T					
63. Bluebird Bio Inc. Common Stock		None	K	T					
64. Sangamo-Biosciences, Inc.		None	K	T					
65. Fidelity Money Mkt Account	A	Interest	J	T					
66. Gilead Sciences Common Stock	B	Dividend	K	T					
67. Krane Shares TR CSI China Internet ETF	A	Dividend			Sold	05/22/20	K	C	
68. Biogen Idec B11B Common Stock		None	L	T	Buy (add'l)	06/23/20	L		

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69. Verizon Communications	B	Dividend	L	T					
70. Alibaba Group Holding Ltd.		None	L	T					
71. First Trust NYSE Arca Biotech		None	K	T					
72. Invesco QQQ Tr Unit Series 1 (ETF)	A	Dividend	M	T					
73. Tencent Holdings Ltd. ADR	A	Dividend	K	T					
74. Amazon Com. Inc.		None	M	T					
75. Blackrock Liquidity Funds Temp Cash		None			Buy	03/12/20	N		
76.					Sold (part)	03/18/20	N	A	
77.					Sold (part)	03/20/20	N	A	
78. Viatris Inc. (IRA)		None	J	T	Spinoff (from line 20)	11/19/20	J		
79. Vaneck Vectors ETF	A	Dividend	K	T	Buy	07/15/20	K		
80.									
81.									

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

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M =\$100,001 - \$250,000

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

VII. INVESTMENTS and TRUSTS

Page 8, lines 75-77: Blackrock was purchased on 3./12/20 and sold on 3/18/20 and 3/20/20. Therefore, this asset (line 75) was not owned on the last day of the reporting period.

On the 2019 Report the ETFs listed at page 5, lines 25 and 26 were mistakenly listed again at page 8, lines 76 and 77. This 2020 Report corrects that error by listing these ETFs only at page 5, lines 24 and 25.

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