

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) Simon, Philip P.	2. Court or Organization Northern District of Indiana	3. Date of Report 05/11/2021
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 01/01/2020 to 12/31/2020
	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.

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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.)*

<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. 2020	Valparaiso Festival and Events
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.)*

<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 05/11/2021
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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. Union Mortgage	Mortgage on rental property in New Buffalo, Michigan	M
2.		
3.		
4.		
5.		

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Name of Person Reporting

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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. First Midwest Bank Accounts	A	Interest	J	T					
2. Vanguard Prime Money Market	A	Interest	M	T	Buy (add'l)	11/19/20	L		
3. Vanguard International Growth Fund	A	Int./Div.	L	T					
4. Vanguard Total Stock Market Index Fund	B	Int./Div.	M	T					
5. Vanguard European Stock Index Fund	A	Int./Div.	K	T					
6. HRC Hotels LLC	A	Dividend	O	T					
7. Ameritrade Spouse's Roth IRA (H)									
8. -SPDR Portfolio Total Stock Market	A	Int./Div.	J	T					
9. -SPDR Portfolio Small Cap	A	Int./Div.	J	T					
10. -SPDR Portfolio MidCap	A	Int./Div.	J	T					
11. -SPDR Portfolio World Ex-US	A	Int./Div.	J	T					
12. -SPDR Barclay 1-3 Month T-Bill	A	Interest			Sold	06/23/20	J	A	
13. -SPDR Portfolio Emerging Markets	A	Int./Div.	J	T					
14. SPDR Aggregate Bond ETF	A	Interest	J	T	Buy	07/13/20	J		
15. -TD Ameritrade Money Market	A	Interest	J	T					
16. Nationwide 457(b) Plan (H)									
17. - AmerCent Val Inv	B	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	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) 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. - AmFds Gr Fd Am A	C	Dividend	K	T					
19. - Invsco Gr Inc A	A	Dividend	K	T					
20. - NeuBer Genesis Tr	A	Dividend	J	T					
21. - Opp Glbl A	A	Dividend	J	T					
22. - Lord Abbott High Yield Bond	A	Interest	J	T					
23. - NW HM Bond Inst Svc	A	Interest	J	T					
24. Transamerica Income Elite II -- "76" Annuity (H)									
25. -Blackrock Global Real Estate Securities	A	Int./Div.	K	T					
26. - Transamerica: JPM MidCap Value	A	Int./Div.	J	T					
27. - Transamerica: PIMCO TTotal Return	A	Int./Div.	K	T					
28. -Transamerica: U.S. Govt Secs	A	Interest	J	T					
29. -JP Morgan Midcap Value	A	Int./Div.	J	T					
30. -Aegon High Yield	A	Interest	J	T					
31. - Barrow Hanley Dividend Focused	A	Dividend			Sold	10/15/20	J	A	
32. -Transamerica Aegon Sustainable Equity Income	A	Int./Div.	K	T	Buy	10/15/20	K		
33. -Blackrock Government Money market	A	Interest	J	T					
34. Transamerica Income Elite II -- "77" Annuity (H)									

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				
	(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. -Transamerica Sm/MidCap Value	A	Int./Div.	K	T					
36. - TA Aegon High Yield Bond	A	Interest	J	T					
37. - Barrow Hanley Dividend Focused	A	Dividend			Sold	10/15/20	K	A	
38. -Tranamerica Aegon Sustainable Equity Income	A	Int./Div.	K	T	Buy	10/15/20	K		
39. -BlackRock Global Real Estate Securities	A	Int./Div.	K	T					
40. - TA JP Morgan Midcap Value	A	Int./Div.	J	T					
41. - TA PIMCO Total Value	A	Int./Div.	K	T					
42. - TA Aegon US Govt Secs	A	Interest	J	T					
43. -BlackRock Government Money Market	A	Interest	J	T					
44. Ameritrade Brokerage Account (H)									
45. -Power shares DWA Momentum ETF	A	Int./Div.			Sold	05/27/20	J	A	
46. -INvesco S&P 500 Low Volatility	A	Int./Div.			Sold	03/23/20	J	A	
47. -Pimco Enhanced Short term Maturity	A	Interest			Sold	03/19/20	J	A	
48. -GaveKAI KL Allocation Instl	A	Int./Div.			Sold	07/10/20	J	A	
49. -Pimco Income Inst	A	Interest			Sold	03/10/20	J	A	
50. -Invesco S&P 500 Top 50	A	Int./Div.			Sold	03/16/20	J	A	
51. -Proshares Trust S&P 500 Aristocrats	A	Int./Div.			Sold	03/23/20	J	A	

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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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52. -Invesco S&P SmallCap Low Volatility	A	Int./Div.			Sold	01/10/20	J	A	
53. -Invesco Intl Developed Low Volatility	A	Int./Div.			Sold	02/06/20	J	A	
54. -Invesco Dow Jones Ind Ave. Dividend	A	Int./Div.			Sold	03/11/20	J	A	
55. -Ameritrade Cash Fund	A	Interest			Sold	10/19/20	J	A	
56. Ameritrade IRA (H)									
57. - PIMCO Income Inst'l	A	Interest			Sold	03/10/20	J	A	
58. -Invesco S&P 500 Low Volatility	A	Int./Div.	J	T	Sold (part)	03/23/20	J	A	
59. -Invesco DWA Momentum	A	Int./Div.	J	T					
60. -Pimco Enhanced Short Maturity	A	Interest			Sold	03/19/20	J		
61. -GaveKal KL Allocation Instl	A	Int./Div.	J	T					
62. - TD Ameritrade Cash Fund	A	Interest	J	T					
63. -Invesco S&P 500 top 50	A	Int./Div.			Sold	03/16/20	J	A	
64. -Pro Shares Trust S&P 500 Aristocrats	A	Int./Div.			Sold	03/23/20	J	A	
65. -Invesco Dow Jones Indl Ave. dividend	A	Int./Div.			Sold	03/11/20	J	A	
66. -Invesco S&P 500 Small Cap Low Volatility	A	Int./Div.			Sold	01/10/20	J	A	
67. -Invesco S&P 500 Intl Developed Low Volatility	A	Int./Div.			Sold	02/28/20	J	A	
68. - Sprott Physical Silver and Gold	A	Int./Div.	J	T	Buy	06/15/20	J		

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NONE (No reportable income, assets, or transactions.)

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	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)
69. - iShares Edge MSCI EAFE	A	Int./Div.	J	T	Buy	07/13/20	J		
70. -ALPS Alerian MLP ETF	A	Int./Div.	J	T	Buy	07/13/20	J		
71. -Invesco S&P Intl Developed Quality	A	Int./Div.	J	T	Buy	12/11/20	J		
72. - SPDR Real Estate Select ETF	A	Int./Div.	J	T	Buy	09/09/20	J		
73. -Invesco S&P Pure Value	A	Int./Div.	J	T	Buy	08/11/20	J		
74. -iShares Natl Muni Bond	A	Interest	J	T	Buy	07/17/20	J		
75. -Goldman Sachs Invest Grade Credit	A	Interest	J	T	Buy	04/30/20	J		
76. -DoubleLine Total Return Bond Instl	A	Interest	J	T	Buy	04/14/20	J		
77. Vanguard Inherited IRA (H)									
78. -Vanguard Federal Money Market Fund	G	Interest	M	T					
79. 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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Name of Person Reporting Simon, Philip P.	Date of Report 05/11/2021
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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Simon, Philip P.

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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