

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, Michael H.	2. Court or Organization U.S. District Court, Oregon	3. Date of Report 05/04/2020
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 1527 United States Courthouse 1000 Southwest Third Avenue Portland, OR 97204		
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. Director	Classroom Law Project
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Simon, Michael H.

Date of Report

05/04/2020

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. 2019	Samuel French, Inc. (theatrical royalties for "The Odd Couple")	\$13,991.94
2. 2019	Concord Music Publishing LLC fka Tams-Witmark Music Library, Inc. (theatrical royalties for "Promises, Promises")	\$242.64
3. 2019	International Authors Society (theatrical royalties for "The Odd Couple")	\$6,277.94
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	U.S. House of Representatives (spouse's wages)
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	Date of Report
Simon, Michael H.	05/04/2020

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Simon, Michael H.

Date of Report

05/04/2020

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. U S Bank NA (checking and savings)	A	Interest	O	T					
2. OnPoint Community Credit Union (checking and savings)	A	Interest	M	T					
3. Northwestern Mutual Life Ins. (whole life insurance cash value)	C	Dividend	M	T					
4. Gold coins		None	M	T					
5. Vanguard Brokerage Account (H)									
6. -- Vanguard 500 Index mut. fund	D	Dividend	N	T					
7. -- Vanguard PRIMECAP mut. fund	E	Dividend	N	T	Buy (add'l)	01/14/19	K		
8. -- Vanguard REIT Index mut. fund	D	Dividend			Sold (part)	01/14/19	K	D	
9.					Sold	12/30/19	M	E	
10. -- Vanguard Small-Cap Index mut. fund	C	Dividend			Sold	12/30/19	N	F	
11. -- Vanguard Interm Term Corp Bond Index mut. fund	E	Dividend	P1	T	Buy (add'l)	12/30/19	O		
12. Ameriprise Brokerage Account (H)									
13. -- Ameriprise cash holding account	A	Interest	J	T	Distributed (part)	02/15/19	K	A	
14. -- Oregon State Dept. of Admin. Services municipal bond	C	Interest			Redeemed (part)	11/01/19	K	A	
15.					Redeemed	11/05/19	L	A	
16. -- Active Portfolio Multi Manager Small Cap Equity A mut. fund	C	Dividend	M	T	Buy (add'l)	05/16/19	J		
17. -- Active Portfolio Multi Manager Value Strat. A mut. fund	D	Dividend	M	T	Buy (add'l)	02/15/19	J		

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	

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.					Sold (part)	05/16/19	J	A	
19. -- Active Portfolio Multi Manager Total Return Bond Strat. A mut. fund	C	Dividend	L		Sold (part)	02/15/19	J	A	
20.					Buy (add'l)	05/16/19	J		
21. -- JPMorgan Large Cap Growth A mut. fund	D	Dividend	L	T	Sold (part)	02/15/19	J	A	
22.					Sold (part)	05/16/19	J	A	
23. -- JPMorgan Tax Aware Equity A mut. fund	D	Dividend	M	T	Buy (add'l)	02/15/19	J		
24.					Sold (part)	05/16/19	J	A	
25. -- Loomis Sayles Growth A mut. fund	B	Dividend	L	T	Sold (part)	02/15/19	J	A	
26.					Sold (part)	05/16/19	J	A	
27. -- MFS Municipal High Inc. A mut. fund	B	Dividend	K	T	Sold (part)	02/15/19	J	A	
28.					Sold (part)	05/16/19	J	A	
29. -- MFS International Value A mut. fund	C	Dividend	L	T	Sold (part)	02/15/19	J	A	
30.					Sold (part)	05/16/19	J	A	
31. -- MFS Value A mut. fund	C	Dividend	M	T	Buy (add'l)	02/15/19	J		
32.					Sold (part)	05/16/19	J	A	
33. -- Nuveen Interm. Duration Mun. Bond A mut. fund	C	Dividend	M	T	Sold (part)	02/15/19	J	A	
34.					Buy (add'l)	05/16/19	J		

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Simon, Michael H.

Date of Report

05/04/2020

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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)
35. -- Oppenheimer International Growth A mut. fund		None			Sold	02/15/19	L	D	
36. -- Wells Fargo Emerging Markets Equity A mut. fund	B	Dividend	M	T	Sold (part)	02/15/19	J	A	
37.					Sold (part)	05/16/19	J	A	
38. -- Wells Fargo Short Term Municipal Bond A mut. fund	B	Dividend	L	T	Buy (add'l)	02/15/19	J		
39.					Buy (add'l)	05/16/19	J		
40. -- Western Asset Interm. Term Municipal A mut. fund	C	Dividend	M	T	Sold (part)	02/15/19	J	A	
41.					Sold (part)	05/16/19	J	A	
42. -- Goldman Sachs GQG Int'l Opptys mut. fund	A	Dividend	L	T	Buy	02/15/19	L		
43.					Sold (part)	05/16/19	J	A	
44. -- IShares MSCI EAFE Value ETF fund	C	Dividend	L	T	Buy (add'l)	02/15/19	J		
45.					Buy (add'l)	05/16/19	K		
46. -- IShares CORE S&P Mid-Cap ETF fund	B	Dividend	L	T	Buy (add'l)	02/15/19	J		
47.					Buy (add'l)	05/16/19	J		
48. -- Franklin Templeton Growth Allocation Class A mut. fund	D	Dividend	L	T					
49. Co-Trustee of [REDACTED] Trust (H)									
50. -- U S Bank, NA (checking and savings)	A	Interest	N	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
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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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting Simon, Michael H.	Date of Report 05/04/2020
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Simon, Michael H.

Date of Report

05/04/2020

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/ **Michael H. 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
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