

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 01/18/2019
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 5b. ☒ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2017

City of Valparaiso Salary

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

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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.	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	J	T					
4. - Black Rock Large Cap Value Fund	A	Int./Div.			Closed	12/01/17	J		
5. - Artio Intl Equity Portfolio	A	Dividend	J	T	Closed	12/01/17	J		
6. - Boston Company Dynamic Large CapMarket	A	Dividend	J	T	Buy	12/01/17	J		
7. - International Equity Index	A	Dividend	J	T	Sold (part)	07/25/17	J		
8. - T.Rowe Price LArge Cap Growth	A	Dividend	J	T	Sold (part)	07/25/17	J		
9. - Short Term Treasury Index	A	Interest	K	T	Sold (part)	07/25/17	J		
10. -American FundsEuroPacific Growth	A	Dividend	J	T	Buy	12/01/17	J		
11. -Emerging Markets Equity Index	A	Dividend	J	T	Buy	12/01/17	J		
12. - Pimco Total Return Portfolio	A	Dividend	J	T	Sold (part)	07/25/17	J		
13. Vanguard Prime Money Market	A	Interest	J	T	Sold (part)	03/15/17	J		
14.					Sold (part)	04/28/17	J		
15.					Sold (part)	05/19/17	J		
16.					Sold (part)	08/14/17	J		
17.					Sold (part)	06/19/17	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	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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18.					Sold (part)	10/04/17	J		
19.					Sold (part)	11/27/17	J		
20.					Sold (part)	12/19/17	J		
21. Vanguard Short Term Bond Fund	A	Interest	J	T					
22. Vanguard International Growth Fund	A	Int./Div.	K	T					
23. Vanguard Total Stock Market Index Fund	B	Int./Div.	M	T					
24. Vanguard European Stock Index Fund	A	Int./Div.	K	T					
25. HRC Hotels LLC (X)	D	Dividend	O	T					
26. Gas City LLC (X)	C	Distribution	K	T					
27. Ameritrade Spouse's Roth IRA (H)									
28. - SPDR Barclays Interm Term Corp	A	Interest		T	Sold	09/28/17	J		
29. - SPDR Intermediate Term ETF	A	Interest		T	Sold	09/28/17	J		
30. -I Shares S&P SmallCap 600 index	A	Int./Div.		T	Sold	09/28/17	J		
31. - Vanguard US Mid Cap	A	Dividend	J	T					
32. -SPDR S&P Aerospace & Defense	A	Int./Div.		T	Sold	10/10/17	J		
33. - Vanguard Total Stock Index ETF	A	Dividend	J	T	Buy (add'l)	10/11/17	J		
34. - Vanguard Small Cap	A	Dividend	J	T	Buy	10/20/17	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	
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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35. -Vanguard Total Bond Market	A	Interest	J	T	Buy	10/11/17	J		
36. -Vanguard FTSE Emerging Markets	A	Dividend	J	T		10/10/17	J		
37. -Vanguard FTSE Developing Markets	A	Dividend	J	T	Buy	10/10/17	J		
38. -I Share Core U/S. Aggregate Bond	A	Interest	J	T	Sold	09/28/17	J		
39. Nationwide 457(b) Plan (H)									
40. - AmerCent Val Inv	A	Dividend	J	T					
41. - AmFds Gr Fd Am A	A	Dividend	J	T					
42. - Invsco Gr Inc A	A	Dividend	K	T					
43. - NeuBer Genesis Tr	A	Dividend	J	T					
44. - Opp Glbl A	A	Dividend	J	T					
45. - PIMCO Ttl Rtn A	A	Dividend	J	T	Sold	10/02/17	J		
46. - W&R Advisor High Income Y	A	Dividend	J	T	Sold	10/02/17	J		
47. - Lord Abbott High Yield Bond	A	Interest	J	T	Buy	10/02/17	J		
48. - NW HM Bond Inst Svc	A	Interest	J	T	Buy	10/02/17	J		
49. Transamerica Income Elite II -- "76" Annuity									
50. - Transamerica: Clarion Global Real estate	A	Int./Div.	K	T					
51. - Transamerica: JPM MidCap Value	A	Int./Div.	J	T					

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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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52. - Transamerica: PIMCO Total Return	A	Int./Div.	K	T					
53. -Transamerica: U.S. Govt Secs	A	Interest	J	T					
54. -Systematic Sm/midCap Value	A	Int./Div.	J	T					
55. -Aegon High Yield	A	Interest	J	T					
56. - Barrow Hanley Dividend Focused	A	Dividend	K	T					
57. - Trabsamerica: TA Aegon Money Market	A	Interest	J	T					
58. Transamerica Income Elite II -- "77" Annuity									
59. -Transamerica Sm/MidCap Value	A	Int./Div.	J	T					
60. - TA Aegon High Yield Bond	A	Interest	J	T					
61. - Barrow Hanley Dividend Focused	A	Dividend	K	T					
62. - Transamerica Clarion Global Real Estate	A	Int./Div.	K	T					
63. - TA JP Morgan Midcap Value	A	Int./Div.	J	T					
64. - TA PIMCO Total Value	A	Int./Div.	K	T					
65. - TA Aegon US Govt Secs	A	Interest	J	T					
66. - TA Aegon Govt Money Market	A	Interest	J	T					
67. Ameritrade Brokerage Account									
68. - Masco Corp.	A	Dividend			Sold	11/30/17	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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69. - SPDR S&P Midcap 400 ETF	A	Dividend	K	T	Sold	03/09/17	J		
70. -SpdR S&P 500 ETF	A	Int./Div.	J	T	Sold (part)	11/30/17	J		
71. - SPDR S&P Aerospace and Defesne	A	Int./Div.			Sold	11/30/17	J		
72. -Sherwin williams	A	Int./Div.			Sold	11/30/17	J		
73. - iShares S&P Small Cap 600 Index	A	Int./Div.	J	T	Sold	09/28/17	J		
74. - Power Shares DWA Optimum Yield Diversified Commodity strategies	A	Int./Div.			Sold	06/22/17	J		
75. - Powershares Tactical Multi-Asset Income Portfolio	A	Int./Div.	J	T					
76. -Microsoft	A	Dividend			Sold	11/30/17	J		
77. - SPDR Barclays Cap Intermediate Credit Bond	A	Interest			Sold	09/28/17	J		
78. -Int'l Paper	A	Dividend			Buy	02/08/17	J		
79.					Sold	11/30/17	J		
80. -PIMCO Total ReturnActive ETF (Bond)	A	Interest	K	T	Buy	12/06/17	K		
81. -Power shares DWA Momentum ETF	A	Int./Div.	J	T	Buy	11/30/17	J		
82. - Power shares S&P Intl Dev Low Volatility	A	Int./Div.	J	T	Buy	11/30/17	J		
83. - Ameritrade Cash Fund	A	Interest	K	T	Buy	01/04/17	K		
84.					Sold (part)	02/08/17	J		
85.					Sold (part)	03/03/17	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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86.					Sold (part)	03/07/17	J		
87.					Buy (add'l)	03/09/17	J		
88.					Sold (part)	06/06/17	J		
89.					Buy (add'l)	06/22/17	J		
90.					Sold (part)	07/10/17	J		
91.					Sold (part)	09/29/17	J		
92.					Buy (add'l)	10/12/17	J		
93.					Sold (part)	11/30/17	J		
94.									
95. Ameritrade IRA (H)									
96. - SPDR Barclays Intermediate term Corp	A	Interest			Sold	09/28/17	J		
97. - SPDR Barclays Intermediate Term ETF	A	Interest			Sold	02/15/17	J		
98. -SPDRS&P Metals and Mining	A	Int./Div.	J	T	Buy	01/12/17	J		
99.					Sold	10/12/17	J		
100. -S&P Regional Banking ETF	A	Int./Div.		T	Buy	03/03/17	J		
101.	A	Int./Div.			Sold	10/12/17	J		
102. - Vanguard U.S. Mid Cap Index	A	Dividend	J	T					

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103. - Vanguard Total Stock Market ETF	A	Dividend	J	T					
104. - iShares S&P SmallCap 600 Index	A	Dividend	J	T					
105. - SPDR S&P 500 ETF Trust	A	Dividend	J	T					
106. - SPDR S&P Aerospace & Defense	A	Dividend	J	T					
107. - iShares Core US Aggregate Bond	A	Interest	J	T	Sold	09/28/17	J		
108. - PIMCO Income Inst'l	A	Interest	J	T	Buy	09/29/17	J		
109. -SPDR S&P Semiconductor	A	Int./Div.	J	T	Buy	01/04/17	J		
110. - TD Ameritrade Cash Fund	A	Interest	J	T	Buy	01/07/16	J		
111.					Buy (add'l)	01/13/16	J		
112.					Buy (add'l)	01/14/16	J		
113.					Buy (add'l)	06/15/16	J		
114. Rental Home in New Buffalo, Michigan	E	Rent	N	R					

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

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Simon, Philip P.

Date of Report

01/18/2019

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
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