

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 05/09/2014
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 01/01/2013 to 12/31/2013
7. Chambers or Office Address 1327 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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Director	Classroom Law Project
2.	Member (minority interest; no control or managerial responsibility)	Innsmouth Partners, L.L.C. (motion picture production company based in Hillsboro, OR; holds no investments)
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Simon, Michael H.

Date of Report

05/09/2014

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. 2013	Samuel French, Inc. (theatrical royalties for "The Odd Couple")	\$18,014.00
2. 2013	International Authors Society (theatrical royalties for "The Odd Couple")	\$12,354.00
3. 2013	Tams-Witmark Music Library, Inc. (theatrical royalties for "Promises, Promises")	\$1,566.00
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. 2013	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. Stanford Law School	April 25-26, 2013	Stanford Law School, Stanford, CA	Speaker at Law School Symposium on "The Future of the Legal Profession"	Transportation, one-night's lodging, food
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Simon, Michael H.

Date of Report

05/09/2014

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Simon, Michael H.

Date of Report

05/09/2014

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. U S Bank NA (checking and savings)	A	Interest	O	T					
2. Bank of America (checking and savings) (see Part VIII) (Y)									
3. Key Bank (checking and savings) (see Part VIII) (Y)									
4. OnPoint Community Credit Union (checking and savings)	A	Interest	K	T					
5. Brokerage # 1 (Rollover IRA) (H)									
6. -- Vanguard 500 Index mut. fund	C	Dividend	M	T					
7. -- Vanguard Capital Opportunity mut. fund	C	Dividend	L	T					
8. -- Vanguard Emerging Markets Stock Index mut. fund	B	Dividend	L	T					
9. -- Vanguard Energy mut. fund	C	Dividend	M	T					
10. -- Vanguard European Stock Index mut. fund	B	Dividend	L	T					
11. -- Vanguard Global ex-U.S. Real Estate Index mut. fund	C	Dividend	M	T					
12. -- Vanguard Health Care mut. fund	D	Dividend	M	T					
13. -- Vanguard Inflation-Protected Securities mut. fund	B	Dividend	M	T					
14. -- Vanguard PRIMECAP mut. fund	E	Dividend	N	T					
15. -- Vanguard REIT Index mut. fund	D	Dividend	N	T					
16. Brokerage # 2 (stocks, bonds, cash, and IRAs) (H)									
17. -- Ameriprise cash holding account	A	Interest	L	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000 (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Simon, Michael H.

Date of Report

05/09/2014

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 I (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. -- Oregon State Dept. of Admin. Services municipal bond	C	Interest	M	T					
19. -- Ameriprise Managed Asset Account (see Part VIII) (H) (X)									
20. ---- Blackrock High Yield Bond Investor Class A mut. fund (X)	B	Dividend	K	T					
21. ---- Columbia Equity Value Class A mut. fund (X)	C	Dividend	L	T	Sold (part)	02/06/13	J	A	
22.					Sold (part)	05/17/13	J	A	
23.					Sold (part)	08/14/13	J	A	
24. ---- Columbia Large Growth Quantitative Class A mut. fund (X)	E	Dividend	M	T	Sold (part)	02/06/13	J	A	
25.					Sold (part)	05/17/13	K	B	
26.					Sold (part)	08/14/13	J	A	
27.					Sold (part)	11/06/13	J	A	
28. ---- Columbia Select Large Cap Growth Class A mut. fund (X)	C	Dividend	M	T	Sold (part)	02/06/13	J	A	
29.					Sold (part)	11/06/13	J	B	
30. ---- Columbia Small Cap Core Class A mut. fund (X)	C	Dividend	K	T	Sold (part)	05/07/13	J	A	
31.					Sold (part)	08/14/13	J	A	
32.					Sold (part)	11/06/13	J	A	
33. ---- DWS RREEF Global Real Estate Securities Class A mut. fund (X)	B	Dividend	K	T	Sold (part)	02/06/13	J	A	
34.					Sold (part)	05/17/13	J	A	

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Simon, Michael H.

Date of Report

05/09/2014

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)

35. ---- Goldman Sachs Commodity Strategy Class A mut. fund (X)	A	Dividend	K	T	Sold (part)	08/14/13	J	A	
36. ---- Goldman Sachs Mid Cap Value Class A mut. fund (X)	D	Dividend	K	T	Sold (part)	02/06/13	J	A	
37.					Sold (part)	05/17/13	J	A	
38.					Sold (part)	08/14/13	J	A	
39. ---- JPMorgan Strategic Income Opptys Class A mut. fund (X)	A	Dividend	K	T					
40. ---- MFS Emerging Markets Debt Class A mut. fund (X)	B	Dividend	K	T					
41. ---- MFS International Value Class A mut. fund (X)	B	Dividend	L	T	Sold (part)	02/06/13	J	B	
42.					Sold (part)	05/17/13	J	A	
43.					Sold (part)	08/14/13	J	A	
44.					Sold (part)	11/06/13	J	A	
45. ---- MFS Value Class A mut. fund (X)	C	Dividend	M	T	Sold (part)	02/06/13	J	A	
46.					Sold (part)	05/17/13	J	B	
47.					Sold (part)	11/06/13	J	A	
48. ---- Oppenheimer International Growth Class A mut. fund (X)	A	Dividend	K	T	Sold (part)	02/06/13	J	A	
49.					Sold (part)	05/17/13	J	A	
50.					Sold (part)	08/14/13	J	B	
51.					Sold (part)	11/06/13	J	A	

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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Simon, Michael H.

Date of Report

05/09/2014

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)
52. ---- Prudential Jennison Mid Cap Growth Class A mut. fund (X)	A	Dividend	K	T	Sold (part)	02/06/13	J	A	
53.					Sold (part)	08/14/13	J	A	
54.					Sold (part)	11/06/13	J	A	
55. ---- Wells Fargo Adv Emerging Mkts Equity Class A mut. fund (X)	A	Dividend	K	T	Sold (part)	11/06/13	J	A	
56. ---- Wells Fargo Adv Municipal Class A mut. fund (X)	C	Dividend	M	T	Sold (part)	02/06/13	J	A	
57.					Sold (part)	11/06/13	J	A	
58. ---- Wells Fargo Adv Short Term Municipal Bond Class A mut. fund (X)	A	Dividend	K	T					
59. ---- Western Asset Intern. Term Municipal Class A mut. fund (X)	C	Dividend	L	T	Sold (part)	11/06/13	K	A	
60. ---- AIM Invesco Small Cap Disc. Class A mut. fund (X)					Sold	02/06/13	K	A	
61. ---- Columbia Intern. Bond Class A mut. fund (X)	A	Dividend			Sold	08/14/13	K	A	
62. ----Columbia Small Cap Value II mut. fund (X)					Sold	02/06/13	K	C	
63. -- Blackrock Global Allocation Investor Class A mut. fund	A	Dividend			Sold	05/13/13	K		
64. -- Franklin Templeton Growth Allocation mut. fund	A	Dividend	L	T					
65. -- Manning & Napier Pro-Blend Ext. Term Class S mut. fund	B	Dividend			Sold	05/13/13	K		
66. -- MFS Aggressive Growth mut. fund (see Part VIII)	B	Dividend			Sold	05/03/13	L	E	
67. -- MFS Growth mut. fund (see Part VIII)	B	Dividend			Sold	05/03/13	K	D	
68. -- Neuberger Berman Socially Responsible Class A mut. fund	B	Distribution			Sold	05/13/13	K		

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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

Simon, Michael H.

Date of Report

05/09/2014

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)
69. -- Van Eck International Investors Gold mut. fund	A	Distribution	K	T					
70. Northwestern Mutual Life Ins. (whole life insurance cash value)	C	Dividend	M	T					
71. Gold Coins		None	L	T					
72. Innsmouth Partners, L.L.C. (no control) (see Part VIII)		None	J	U					
73. Bonamici for Congress loan to her congressional campaign)		None	M	U					

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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Simon, Michael H.

Date of Report

05/09/2014

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

1. Part I, line 2 and Part VII, Line 72. Innsmouth Partners, L.L.C. is a movie production company based in Hillsboro, OR. It holds no investments. [REDACTED] and I own a minority interest and exercise no control or managerial responsibility.

2. Part VII, Line 2. Bank of America account. This is [REDACTED] checking and savings account, and [REDACTED]

3. Part VII, Line 3. Key Bank account. This is [REDACTED] checking and savings account, and [REDACTED]

4. Part VII, Lines 19-62. Last year, I reported an "Ameriprise Active Diversified Fund (no control)" with a gross value of between \$1,000,001 and \$5,000,000. See Report dated May 9, 2013, Part VII, Line 21. Upon seeing the Rev. Feb. 2014 instructions, I now understand that this managed asset account "must be reported in the same manner as an ordinary brokerage account." (See also Advisory Opinion No. 110.) Thus, in this current amended report for filing year 2013, I am keeping the reference to "Ameriprise Managed Asset Account" as a "Header Only," see Part VII, Line 19, and I have added the individual holdings in this managed asset account in Part VII, Lines 20-62, with each of Lines 19-62 followed by an "(X)."

5. Part VII, Line 66. MFS Aggressive Growth mutual fund. This asset was [REDACTED] UGMA account, and [REDACTED] Also, the fund was sold as indicated.

6. Part VII, Line 67. MFS Growth mutual fund. This asset was [REDACTED] UGMA account, and [REDACTED]. Also, the fund was sold as indicated.

7. Part VII, Line 72. See note 1 above.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Simon, Michael H.

Date of Report

05/09/2014

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