

United States District Court  
Northern District of Indiana

Chambers of  
Philip Simon  
U.S. District Judge  
5400 Federal Plaza  
Hammond, IN 46320

FINANCIAL  
DISCLOSURE OFFICE

JUL 22 10 49 AM '04

RECEIVED

July 14, 2004

The Honorable Mary M. Lisi  
Committee on Financial Disclosure  
Administrative Office of the United States Courts  
Suite 2-301  
One Columbus Circle, N.E.  
Washington, D.C., 20544

Re: Amendments to Nomination and 2003 Annual Reports

Dear Judge Lisi:

In response to your letter of July 7, 2004, here is the additional information that the Committee requested in order to close out my 2003 financial disclosure report.

You requested that I clarify three sections of the report. Those three sections are: 1) Part VII, page 1, line 1, Column C(2); 2) Part VII, page 1, lines 3-5, 15 and 18, and page 2, line 35; and 3) Part VII, page 2, line 22. I will address each of these areas in turn below.

1. The rental property disclosed in Part VII, page 1, line 1 was purchased on February 15, 1999. The purchase price was \$117,000. Please treat this letter as an amendment to Part VII, line 1, Column A.

2. Please amend Part VII, page 1, lines 3-5, 15, and 18 and page 2, line 35 by deleting the "A" in Column B(1) and leaving those sections blank instead. No other changes are necessary to those sections.

3. Your last inquiry was in reference to Part VII, page 2, line 22 and the entry contained therein to the Vanguard Ginnie Mae Fund. There are two problems with this entry. First, after checking my records, I have discovered that the entry is incorrect. Because my holding is less than \$15,000, the entry in Column C(1) should be "J" instead of "K". Please accept this letter as an amendment to the report.

As to your specific inquiry, I inadvertently left this entry off my report from the prior year. This was a complete oversight on my part. If you look at the prior year's report I did disclose my interest in the Vanguard Ginnie Mae Fund. (See Nomination Report, Part VII, line 23). The problem is that I actually own that fund in two ways: both in an IRA account and in a regular mutual fund.

Hon. Mary Lisi  
July 14, 2004  
Page 2 account.

I inadvertently failed to disclose the Ginnie Mae holding in the non-IRA mutual fund account. Please consider this letter as an amendment to my Nomination Report filed on January 29, 2003. The entry of the Ginnie Mae Fund in that report should be identical to this year's report as amended in the prior paragraph.

If you should have any questions or need any additional information, please feel free to give me a call. Thank you.

Sincerely,



Philip  
U.S. District Judge  
Northern District of Indiana

RECEIVED

JUL 22 10 49 AM '04

FINANCIAL  
DISCLOSURE OFFICE

# FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (Last name, First name, Middle initial) Simon, Philip P	2. Court or Organization Northern District of Indiana	3. Date of Report 4/9/2004
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge	5. Report Type (check appropriate type) <input type="radio"/> Nomination, Date <input type="radio"/> Initial <input checked="" type="radio"/> Annual <input type="radio"/> Final	6. Reporting Period 1/1/2003 to 12/31/2003
7. Chambers or Office Address 5400 Federal Plaza Suite 4200 Hammond, IN 46320	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	

**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. Sign on last page.

## I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

**NONE** - (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.

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

**NONE** - (No reportable agreements.)

DATE

PARTIES AND TERMS

1.

**RECEIVED**  
MAY 5 11 32 AM '04  
FINANCIAL  
DISCLOSURE OFFICE

Simon, Philip P

4/9/2004

**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 TYPEGROSS INCOME

(yours, not spouse's)

1.  

---

**B. Spouse's Non-Investment Income** - (If you were married during any portion of the reporting year, please complete this section. (dollar amount not required except for honoraria)) **NONE** - (No reportable non-investment income.)DATESOURCE AND TYPE1.  

---

**IV. REIMBURSEMENTS** -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

 **NONE** - (No such reportable reimbursements.)SOURCEDESCRIPTION1.  

---

Simon, Philip P

4/9/2004

**V. GIFTS.** (Includes those to spouse and dependent children. See pp. 28-31 of instructions.) **NONE** - (No such reportable gifts.)

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1. U.S. District Court Library Fund	Investiture Ceremony for myself and Judge Theresa Springmann	\$1,694

**VI. LIABILITIES.** (Includes those of spouse and dependent children. See pp. 32-34 of instructions.) **NONE** - (No reportable liabilities.)

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1. Credit Union Mortgage	Mortgage on Rental Property #1 Valparaiso, IN (Part VII, line 1)	L
2. Thrift Savings Plan (TSP)	Loan on TSP	J

**VII. INVESTMENTS and TRUSTS** - income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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-I)	(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, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- I)	(5) Identity of buyer/seller (if private transaction)
<input type="checkbox"/> NONE (No reportable income, assets, or transactions)									
1. Rental Property #1 Valparaiso, IN \$117,000	D	Rent	M	R					
2. IRA #1									
3. -Entremed Common Stock	A	None	J	T					
4. - CenturyTel Inc. Common Stock	A	None	J	T					
5. - Oracle Common stock	A	None	J	T					
6. -Janus Olympus Mutual Fund	A	Dividend	J	T					
7. -Strong Growth Mutual Fund	A	Dividend	J	T					
8. -Nasdaq 100 Shares (QQQ) Common Stock	A	Dividend	J	T					
9. -Schwab Government Money Market Fund	A	Interest	J	T					
10.									
11. IRA #2									
12. - Schwab Government Money Market Fund	A	Interest	J	T					
13. -Baron Growth Fund	A	Dividend	K	T	buy	3/17	J		
14. -Baron Small Cap Fund	A	Dividend	K	T	buy	3/17	J		
15. Applied Materials Corp. Common Stock	A	None	K	T					
16.									
17. Schwab Money Market Fund	A	Interest	J	T					
18. Illinois State College Zero Coupon Bonds	A	None	K	T					

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 = \$250,000-\$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

VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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-I)	(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, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- I)	(5) Identity of buyer/seller (if private transaction)
19. U.S. Savings Bonds	A	Interest	J	T					
20. Vanguard Small Cap Index Fund	A	Dividend	K	T					
21. Vanguard European Stock Index Fund	A	Dividend	K	T					
22. Vanguard Ginnie Mae	A	Dividend	K	T					
23. IRA #3									
24. - Vanguard Prime Money Market	A	Interest	K	T					
25. -Vanguard Total Stock Market Index Fund	A	Dividend	L	T	buy	3/20	L		
26. -Vanguard Ginnie Mae Mutual Fund	B	Interest	K	T					
27. TIAA Cref Growth and Income Fund	A	Dividend	K	T					
28. Schwab S&P 500 Stock Mutual Fund	A	Dividend	J	T					
29. Schwab 529 College Savings Plan 2015 Moderate Track	A	Dividend	J	T					
30. Schwab 529 College Savings Plan 2015 Moderate Track	A	Dividend	J	T					
31. Schwab 529 College Savings Plan 2012 Moderate Track	A	Dividend	J	T					
32. College Savings Iowa 529 Track C Moderate	A	Dividend	J	T	buy	5/8	J		
33. College Savings Iowa 529 Track C Moderate	A	Dividend	J	T	buy	5/8	J		
34. College Savings Iowa 529 Track C Moderate	A	Dividend	J	T	buy	5/8	J		
35. Centier Bank	A	None	J	T					
36. Fifth Third Bank	A	Interest	J	T					

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

Simon, Philip P

4/9/2004

**VIII. ADDITIONAL INFORMATION OR EXPLANATIONS**

(Indicate part of Report.)



Simon, Philip P

4/9/2004

**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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature \_\_\_\_\_



Date \_\_\_\_\_

4-20-04

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

**FILING INSTRUCTIONS**

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure  
Administrative Office of the United States Courts  
Suite 2-301  
One Columbus Circle, N.E.  
Washington, D.C. 20544