AO 10
Rev. 3/2023

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

*Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)*

| 1. Person Reporting (last name, first, middle initial) | 2. Court or Organization | 3. Date of Report |
|---|---|---|
| Simon, Michael H. | U.S. District Court, Oregon | 4/23/2024 |
| **4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)** | **5a. Report Type (check appropriate type)** | **6. Reporting Period** |
| U.S. District Judge | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2023<br>**to**<br>12/31/2023 |
| **7. Chambers or Office Address** | | |
| 1527 United States Courthouse<br>1000 Southwest Third Avenue<br>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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

| | POSITION | NAME OF ORGANIZATION/ENTITY |
|---|---|---|
| 1. | Director | Civics Learning Project (formerly known as "Classroom Law Project") |
| 2. | | |
| 3. | | |
| 4. | | |
| 5. | | |

## II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☑ NONE *(No reportable agreements.)*

| | DATE | PARTIES AND TERMS |
|---|---|---|
| 1. | | |
| 2. | | |
| 3. | | |

## III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

### A. Filer's Non-Investment Income

☐ NONE *(No reportable non-investment income.)*

| | DATE | SOURCE AND TYPE | INCOME (yours, not spouse's) |
|---|---|---|---|
| 1. | 2023 | Concord Theatrical Corp. (theatrical royalties for "The Odd Couple" and "Promises Promises") | $9,118.00 |
| 2. | 2023 | International Authors Society (theatrical royalties for "The Odd Couple" international productions) | $6,370.00 |
| 3. | 2023 | GEP Talent Services, LLC (miscellaneous television rerun royalties) | $598.00 |
| 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.)*

| | DATE | SOURCE |
|---|---|---|
| 1. | 2023 | 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☐ NONE *(No reportable reimbursements.)*

| | SOURCE | DATES | LOCATION | PURPOSE | ITEMS PAID OR PROVIDED |
|---|---|---|---|---|---|
| 1. | Duke University School of Law, Bolch Judicial Institute | May 20, 2023 through June 17, 2023 | Duke University School of Law, Durham, NC | To facilitate attending the Master of Judicial Studies LLM program | Round-trip coach airfare |
| 2. | U.S. Department of Justice, National Advocacy Center | September 9, 2023 through September 23, 2023 | U.S. District Court, San Diego, California | To facilitate teaching at the U.S. Department of Justice National Advocacy Center | Round-trip coach airfare, room, board, and incidentals |
| 3. | | | | | |
| 4. | | | | | |

5.

## V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☐ NONE *(No reportable gifts.)*

| | SOURCE | DESCRIPTION | VALUE |
|---|---|---|---|
| 1. | Duke University School of Law, Bolch Judicial Institute | Tuition, room, and board at the Master of Judicial Studies LLM program. | $31,532.00 |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

## VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

| | CREDITOR | DESCRIPTION | VALUE CODE |
|---|---|---|---|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Simon, Michael H.** | 4/23/2024 |

## VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | |
|---|---|---|---|---|---|---|---|---|---|---|
| 1. | U S Bank NA (checking and savings) | A | Interest | N | 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 | E | Dividend | P1 | T | | | | | |
| 7. | -- Vanguard PRIMECAP mut. fund | E | Dividend | O | T | | | | | |
| 8. | -- Vanguard Federal Money Mkt. Fund | F | Dividend | P1 | T | | | | | |
| 9. | Ameriprise Brokerage Account (H) | | | | | | | | | |
| 10. | -- Ameriprise cash holding account | A | Interest | J | T | | | | | |
| 11. | -- ISHARES MSCI EAFE Value ETF Mut. Fund | B | Dividend | L | T | Sold (part) | 02/15/23 | J | A | |
| 12. | | | | | | Sold (part) | 05/19/23 | J | A | |
| 13. | | | | | | Buy (add'l) | 06/13/23 | J | | |
| 14. | | | | | | Buy (add'l) | 08/16/23 | J | | |
| 15. | | | | | | Sold (part) | 11/17/23 | J | A | |
| 16. | -- Vanguard Mid-Cap ETF Mut. Fund | B | Dividend | M | T | Sold (part) | 02/15/23 | J | A | |
| 17. | | | | | | Buy (add'l) | 05/19/23 | J | | |

1. Income Gain Codes: (See Columns B1 and D4) — 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; 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 (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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 (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

| Name of Person Reporting | Date of Report |
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|---|---|---|---|---|---|---|---|---|---|
| 18. | | | | | Sold (part) | 08/16/23 | J | A | |
| 19. | | | | | Buy (add'l) | 11/17/23 | J | | |
| 20. -- JPMorgan Large Cap Growth Mut. Fund | C | Dividend | M | T | Buy (add'l) | 02/15/23 | J | | |
| 21. | | | | | Buy (add'l) | 05/19/23 | J | | |
| 22. | | | | | Sold (part) | 08/16/23 | J | B | |
| 23. | | | | | Sold (part) | 11/17/23 | J | B | |
| 24. -- JPMorgan Tax Aware Equity Mut. Fund | D | Dividend | | | Sold (part) | 02/15/23 | K | A | |
| 25. | | | | | Sold (part) | 05/19/23 | J | A | |
| 26. | | | | | Sold (part) | 08/16/23 | J | A | |
| 27. | | | | | Sold (part) | 11/17/23 | K | B | |
| 28. | | | | | Sold | 12/11/23 | L | D | |
| 29. -- Loomis Sayles Growth Mut. Fund | D | Dividend | M | T | Sold (part) | 02/15/23 | J | A | |
| 30. | | | | | Sold (part) | 05/19/23 | K | B | |
| 31. | | | | | Sold (part) | 08/16/23 | J | B | |
| 32. | | | | | Sold (part) | 11/17/23 | J | | |
| 33. | | | | | Buy (add'l) | 12/21/23 | J | | |
| 34. -- MFS Int'l. Intrins. Value Mut. Fund | D | Dividend | L | T | Sold (part) | 02/15/23 | J | A | |

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|---|---|---|---|---|---|---|---|---|---|
| 35. | | | | | Buy (add'l) | 05/19/23 | K | | |
| 36. | | | | | Buy (add'l) | 08/16/23 | J | | |
| 37. | | | | | Sold (part) | 11/17/23 | K | A | |
| 38. | | | | | Buy (add'l) | 12/20/23 | J | | |
| 39. -- MFS Muni. High Inc. Mut. Fund | B | Dividend | | | Buy (add'l) | 02/15/23 | J | | |
| 40. | | | | | Sold | 05/19/23 | K | A | |
| 41. -- MFS Value Mut. Fund | D | Dividend | M | T | Sold (part) | 02/15/23 | J | C | |
| 42. | | | | | Buy (add'l) | 05/19/23 | J | | |
| 43. | | | | | Buy (add'l) | 08/16/23 | J | | |
| 44. | | | | | Buy (add'l) | 11/17/23 | J | | |
| 45. | | | | | Buy (add'l) | 12/15/23 | J | | |
| 46. -- Multi Mgr. Small Cap Equity Strat. Mut. Fund | C | Dividend | M | T | Buy (add'l) | 02/15/23 | K | | |
| 47. | | | | | Sold (part) | 05/19/23 | K | A | |
| 48. | | | | | Sold (part) | 08/16/23 | J | A | |
| 49. | | | | | Buy (add'l) | 11/17/23 | J | | |
| 50. | | | | | Buy (add'l) | 12/12/23 | J | | |
| 51. -- Multi Mgr. Total Return Bond Strat. Mut. Fund | B | Dividend | M | T | Buy (add'l) | 02/15/23 | J | | |

| | | | | | | |
|---|---|---|---|---|---|---|
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| | 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 | | | |
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|---|---|---|---|---|---|---|---|---|---|
| 52. | | | | | Sold (part) | 05/19/23 | J | A | |
| 53. | | | | | Buy (add'l) | 08/16/23 | J | | |
| 54. -- Multi Mgr. Value Strat. Mut. Fund | D | Dividend | M | T | Buy (add'l) | 02/15/23 | J | | |
| 55. | | | | | Buy (add'l) | 05/19/23 | K | | |
| 56. | | | | | Sold (part) | 08/16/23 | J | A | |
| 57. | | | | | Buy (add'l) | 11/17/23 | J | | |
| 58. | | | | | Buy (add'l) | 12/11/23 | J | | |
| 59. -- Nuveen Ltd. Term Mini Bond Mut. Fund | B | Dividend | M | | Buy (add'l) | 02/15/23 | K | | |
| 60. | | | | | Sold (part) | 05/19/23 | M | A | |
| 61. | | | | | Buy (add'l) | 08/16/23 | J | | |
| 62. | | | | | Buy (add'l) | 11/17/23 | J | | |
| 63. -- Allspring Emerg. Mkts. Equity Mut. Fund | B | Dividend | L | T | Sold (part) | 02/15/23 | J | A | |
| 64. | | | | | Sold (part) | 05/19/23 | K | A | |
| 65. | | | | | Buy (add'l) | 08/16/23 | J | | |
| 66. -- Allspring Short Term Muni. Mut. Fund | A | Dividend | L | T | Buy | 05/19/23 | L | | |
| 67. | | | | | Buy (add'l) | 08/16/23 | J | | |
| 68. | | | | | Sold (part) | 11/17/23 | J | A | |

1. Income Gain Codes: (See Columns B1 and D4) — 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; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000
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|---|---|---|---|---|---|---|---|---|---|
| 69. -- Western Asset Interm. Term Muni. Mut. Fund | B | Dividend | M | T | Buy (add'l) | 02/15/23 | J | | |
| 70. | | | | | Sold (part) | 05/19/23 | J | A | |
| 71. | | | | | Buy (add'l) | 08/16/23 | J | | |
| 72. | | | | | Buy (add'l) | 11/17/23 | K | | |
| 73. -- Goldman Sachs GQG Int'l. Opptys Mut. Fund | C | Dividend | L | T | Sold (part) | 02/15/23 | J | A | |
| 74. | | | | | Sold (part) | 05/19/23 | J | A | |
| 75. | | | | | Buy (add'l) | 08/16/23 | J | | |
| 76. | | | | | Sold (part) | 11/17/23 | J | A | |
| 77. | | | | | Buy (add'l) | 12/21/23 | J | | |
| 78. -- Mainstay Mackay Tax Free Bond Mut. Fund | B | Dividend | M | T | Sold (part) | 02/15/23 | K | A | |
| 79. | | | | | Buy (add'l) | 05/19/23 | L | | |
| 80. | | | | | Buy (add'l) | 08/16/23 | J | | |
| 81. | | | | | Buy (add'l) | 11/17/23 | K | | |
| 82. -- Columbia Contrar. Core Mut. Fund | A | Dividend | L | T | Buy | 12/11/23 | L | | |
| 83. -- Franklin Growth Allocation Class A Mut. Fund | C | Dividend | L | T | Buy (add'l) | 06/15/23 | J | | |
| 84. | | | | | Buy (add'l) | 06/30/23 | J | | |
| 85. | | | | | Buy (add'l) | 09/29/23 | J | | |

| | | | | | |
|---|---|---|---|---|---|
| 1. Income Gain Codes: (See Columns B1 and D4) | 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 |
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| 2. Value Codes (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | |
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|---|---|---|---|---|---|---|---|---|---|
| 86. | | | | | Buy (add'l) | 12/28/23 | J | | |

1. Income Gain Codes: (See Columns B1 and D4) 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; 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 (See Columns C1 and D3) J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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 (See Column C2) Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

| Name of Person Reporting | Date of Report |
|---|---|
| **Simon, Michael H.** | 4/23/2024 |

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

| Name of Person Reporting | Date of Report |
|---|---|
| **Simon, Michael H.** | 4/23/2024 |

## 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. § 13141 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. § 13106)**

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544