AO 10
Rev. 1/2014

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)	2. Court or Organization	3. Date of Report
Smith, Norman R.	United States Court of Appeals for the Ninth Circuit	04/24/2014
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**
Circuit Judge - Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2013 **to** 12/31/2013
7. Chambers or Office Address		
801 East Sherman Pocatello, Idaho 83201		

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.	Adjunct Faculty Member	Idaho State University College of Business
2.	Member of College of Business Advisory Board	Idaho State University
3.	Member of Department of Paralegal Studies Advisory Board	Idaho State University
4.	Emeritus Member of College of Law Advisory Council	University of Idaho College of Law
5.	Member of Planning Committee	Idaho State Tax Institute
6.	Treasurer/Chair-Elect/Member of Board of Directors	Appellate Judges Education Institute
7.	Chair/Member of Executive Committee	Appellate Judges Conference of the American Bar Association
8.	Chair	American Bar Association Judicial Division Ethics and Professionalism Committee
9.	Member	American Bar Association Judicial Division Council
10.	Member of Quadrennial Conference Committee	Federal Judges Association

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

☐ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.	1995	State of Idaho Retirement, no control

2.

3.

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.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.	2013	Idaho State University, wages	$20,000.00
2.	2013	State of Idaho, retirement	$56,248.68
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.)*

	DATE	SOURCE AND TYPE
1.	2013	Idaho Public Employees Retirement System, retirement
2.	2013	Utah State Retirement Fund, retirement
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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	Southern Methodist University	January 15-17, 2013	Dallas, Texas	Planning of Appellate Judges Educational Institute Summit/Judicial panel	Transportation, meals, lodging
2.	Appellate Judges Conference of the American Bar Association	February 8-10, 2013	Dallas, Texas	American Bar Association Mid Year Meeting/Board Meetings	Transportation, meals, lodging
3.	Idaho State Bar Association	February 28, 2013 to March 2, 2013	Boise, Idaho	Bar Association Trial Skills Academy Speaker	Transportation, meals, lodging
4.	Oregon State Bar Association	April 11-13, 2013	Vancouver, Washington	26th Annual Northwest Bankruptcy Institute Speaker	Transportation, meals, lodging

5.	Appellate Judges Conference of the American Bar Association	April 24-28, 2013	Washington, D.C.	American Bar Association Judicial Division Spring Planning Meeting	Transportation, meals, lodging
6.	Idaho Law Foundation	September 10, 2013	Boise, Idaho	Idaho Fourth District Citizens Law Academy Speaker	Transportation, meals, lodging
7.					
8.					
9.					

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.			

Name of Person Reporting	Date of Report
Smith, Norman R.	04/24/2014

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 (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)	D. (5) Identity of buyer/seller (if private transaction)
1. Key Bank Checking Account	A	Interest	K	T					
2. SEI-US Employees Credit Union (account)	A	Interest	M	T					
3. PERSI Choice 401(k) Plan	A	Interest	J	T					
4. Principal Life Insurance - Universal Life Policy	A	Interest	J	T					
5. Principal Life Insurance - Universal Life Policy	C	Interest	K	T					
6. Trust #1 - Real Estate - Layton Utah	D	Rent	P2	W					
7. Ing USA Annuity and Life Insurance Company Fund	D	Interest	M	T					
8. Allianz Life Insurance Co. Annuity	D	Interest	M	T					
9. Wells Fargo Bank, N.A. Checking Account	A	Interest	K	T					
10. American General Life Insurance Co LLC Fund	E	Distribution	J	T					
11.									
12.									
13.									
14.									
15.									
16.									
17.									

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		

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

None

Name of Person Reporting	Date of Report
Smith, Norman R.	04/24/2014

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/ Norman R. Smith**

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
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