

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) SMITH, LISA M.	2. Court or Organization U.S.DISTRICT COURT, SDNY	3. Date of Report 05/15/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. MAGISTRATE JUDGE FULL TIM	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address UNITED STATES COURTHOUSE 300 QUARROPAS STREET WHITE PLAINS, NY 10601		
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. Insert signature on last page.		

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.	Custodian	On behalf of [REDACTED] #1's Fidelity Investment Accounts
2.	Custodian	On behalf of [REDACTED] #2's Fidelity Investment Accounts
3.	Custodian	On behalf of [REDACTED] #1's New York's College Savings Program
4.	Custodian	On behalf of [REDACTED] #2's New York's College Savings Program
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.	

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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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2011	Pace University School of Law for teaching	\$15,155.04
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2011	Wages from T J Co. LLC (Keeler's Hardware, Wilton CT)
2. 2011	Wages from Ridgefield Hardware Co., Ridgefield, CT
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.				
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.		
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. Fidelity NY Municipal Money Market Fund	A	Dividend	J	T					
2. Fidelity IRA (Puritan Fund)	A	Dividend	K	T					
3. Fidelity IRA (Fidelity Fund)	A	Dividend	J	T					
4. Fidelity IRA (Cash Reserves)	A	Dividend	J	T					
5. Webster Bank, Wilton CT -Savings account	A	Interest	J	T					
6. Webster Bank, Wilton CT -- Checking Account		None	M	T					
7. Fidelity Growth and Income Fund	A	Dividend	J	T					
8. Fidelity Dividend Growth Fund	A	Dividend	J	T					
9. HSBC IRA (T. Rowe Price Dividend Growth Fund)	A	Dividend	J	T					
10. HSBC, White Plains, NY		None	J	T					
11. Cisco Systems Common Stock	A	Dividend	J	T					
12. Century Link Communications Common Stock	A	Dividend	J	T					
13. Walt Disney Common Stock	A	Dividend	J	T					
14. Long Island Power Auth. N.Y. Elec. Systems Bonds		None	K	T					
15. Nassau Co. N.Y. Ind'l. Dev. Agency Bonds		None	K	T					
16. Municipal Assistance Corp. For City of Troy, N.Y. Bonds		None	K	T					
17. Long Island Power Auth. Bonds		None	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		

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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. Stifel Nicolaus IRA money market	A	Dividend	J	T					
19. Stifel Nicolaus investment account money market	A	Dividend	J	T					
20. Fidelity Custodial Acc't for [REDACTED] #1 (cash account)	A	Interest	K	T					
21. Fidelity Custodial Acc't for [REDACTED] #2 (cash account)	A	Interest	J	T					
22. General Electric common stock	A	Dividend	J	T					
23. Citigroup common stock	A	Dividend	J	T					
24. Pfizer common stock	A	Dividend	J	T					
25. Fidelity Unique Coll. Inv. Plan 2015		None	J	T					
26. Fidelity Unique Coll. Inv. Plan 2018		None	J	T					
27. NY College Savgs Prgrm A/C Mod Age Based Option: Conserv Gr		None	J	T					
28. NY College Savgs Prgrm A/C Mod Age Based Option: Mod Growth		None	J	T					
29. Capital One Financial Corp Common Stock	A	Dividend	J	T					
30. Citadel Broadcasting Corp. common stock		None	J	T					
31. Freeport McMoran Copper & Gold, Inc. Common Stock	A	Dividend	J	T					
32. Artisan Funds Mid Cap Value	A	Dividend	J	T	Sold (part)	06/20/11	J	A	Stifel Inv't a/c
33. Artisan Funds Mid Cap Value	A	Dividend	J	T	Buy	12/19/11	J		Stifel Inv't a/c
34. Artisan Funds Mid Cap Value	A	Distribution	J	T	Buy	12/19/11	J		Stifel Inv't a/c

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	

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☐ 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. Columbia Funds Marsico Growth Fund		None	J	T	Sold (part)	04/13/11	J	A	Stifel Inv't a/c
36. DWS Municipal Trust Strategic High Yield	A	Dividend	J	T	Buy (add'l)	12/27/11	J		Stifel Inv't a/c
37. DWS Municipal Trust Strategic High Yield	A	Distribution	J	T	Buy (add'l)	12/06/11	J		Stifel Inv't a/c
38. DWS Municipal Trust Managed Municipal Bond Fund	A	Distribution	J	T	Buy (add'l)	12/06/11	J		Stifel Inv't a/c
39. DWS Municipal Trust Managed Municipal Bond Fund	A	Dividend	J	T	Buy (add'l)	12/27/11	J		Stifel Inv't a/c
40. Davis NY Venture	A	Dividend	J	T	Sold (part)	06/20/11	J	A	Stifel Inv't a/c
41. Davis NY Venture	A	Dividend	J	T	Buy (add'l)	12/22/11	J		Stifel Inv't a/c
42. Dodge & Cox International Stock Fund	A	Dividend	J	T	Sold (part)	06/20/11	J	A	Stifel Inv't a/c
43. Dodge & Cox International Stock Fund	A	Dividend	J	T	Buy (add'l)	12/22/11	J		Stifel Inv't a/c
44. Federated Kaufman Fund		None			Sold (part)	06/20/11	J	A	Stifel Inv't a/c
45. Federated Kaufman Fund		None			Sold	08/12/11	J	A	Stifel Inv't a/c
46. Highmark funds Geneva Mid Cap Gr Fiduciary Class		None	J	T	Buy	08/12/11	J		Stifel Inv't a/c
47. Highmark funds Geneva Mid Cap Gr Fiduciary Class	A	Distribution	J	T	Buy	12/13/11	J		Stifel Inv't a/c
48. Keeley Funds Small Cap Value Fund		None	J	T	Sold (part)	06/20/11	J	A	Stifel Inv't a/c
49. MFS Ser Tr Intl Growth	A	Dividend	J	T	Sold (part)	06/20/11	J	A	Stifel Inv't a/c
50. MFS Ser Tr Intl Growth	A	Dividend	J	T	Buy (add'l)	12/19/11	J		Stifel Inv't a/c
51. Pioneer Ser Oak Ridge Small Cap Growth Fund		None	J	T	Sold (part)	04/13/11	J	A	Stifel Inv't a/c

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
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52. Pioneer Ser Oak Ridge Small Cap Growth Fund		None	J	T	Sold (part)	06/20/11	J	A	Stifel Inv't a/c
53. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Buy (add'l)	12/02/11	J		Stifel Inv't a/c
54. Aim Tax Exempt Van Kampen Intermediate Term Muni Income Fund	A	Dividend	J	T	Buy (add'l)	12/02/11	J		Stifel Inv't a/c
55. Artisan Funds Mid Cap Value	A	Dividend	J	T	Sold (part)	03/21/11	J	A	Part of Stifel IRA
56. Artisan Funds Mid Cap Value	A	Dividend	J	T	Sold (part)	09/21/11	J	A	Part of Stifel IRA
57. Artisan Funds Mid Cap Value	A	Distribution	J	T	Buy (add'l)	12/19/11	J		Part of Stifel IRA
58. Artisan Funds Mid Cap Value	A	Dividend	J	T	Buy (add'l)	12/19/11	J		Part of Stifel IRA
59. Columbia Funds Ser Trust Marsico Growth Fund Class A		None	J	T	Sold (part)	03/21/11	J	A	Part of Stifel IRA
60. Columbia Funds Ser Trust Marsico Growth Fund Class Z		None	J	T	Sold (part)	09/21/11	J	A	Part of Stifel IRA
61. Davis New York Venture Fund Class A	A	Dividend	J	T	Sold (part)	03/21/11	J	A	Part of Stifel IRA
62. Davis New York Venture Fund Class Y	A	Dividend	J	T	Buy (add'l)	09/21/11	J		Part of Stifel IRA
63. Davis New York Venture Fund Class Y	A	Dividend	J	T	Buy (add'l)	12/22/11	J		Part of Stifel IRA
64. Dodge & Cox Intl Stock Fund	A	Dividend	J	T	Buy (add'l)	03/22/11	J		Part of Stifel IRA
65. Dodge & Cox Intl Stock Fund	A	Dividend	J	T	Buy (add'l)	09/21/11	J		Part of Stifel IRA
66. Dodge & Cox Intl Stock Fund	A	Dividend	J	T	Buy (add'l)	12/22/11	J		Part of Stifel IRA
67. Federated Equity Fds Kaufman Fund Cl A		None			Buy (add'l)	03/21/11	J		Part of Stifel IRA
68. Federated Equity Fds Kaufman Fund Cl A		None			Sold	08/12/11	J	A	Part of Stifel IRA

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69. Harbor Fund Bond Fund	A	Dividend	J	T	Buy (add'l)	03/21/11	J		Part of Stifel IRA
70. Harbor Fund Bond Fund	A	Dividend	J	T	Buy (add'l)	04/01/11	J		Part of Stifel IRA
71. Harbor Fund Bond Fund	A	Dividend	J	T	Buy (add'l)	07/01/11	J		Part of Stifel IRA
72. Harbor Fund Bond Fund	A	Dividend	J	T	Sold (part)	09/21/11	J		Part of Stifel IRA
73. Harbor Fund Bond Fund	A	Dividend	J	T	Buy (add'l)	10/03/11	J		Part of Stifel IRA
74. Harbor Fund Bond Fund	A	Dividend	J	T	Buy (add'l)	12/20/11	J		Part of Stifel IRA
75. Harbor Fund Bond Fund	A	Distribution	J	T	Buy (add'l)	12/20/11	J		Part of Stifel IRA
76. Highmark funds Geneva Mid Cap Gr Fiduciary Class		None	J	T	Buy	08/12/11	J		Part of Stifel IRA
77. Highmark funds Geneva Mid Cap Gr Fiduciary Class		None	J	T	Sold (part)	09/21/11	J	A	Part of Stifel IRA
78. Highmark funds Geneva Mid Cap Gr Fiduciary Class	A	Distribution	J	T	Buy (add'l)	12/13/11	J		Part of Stifel IRA
79. Keeley funds Inc Small Cap Value Fund Class A		None	J	T	Sold (part)	03/21/11	J	A	Part of Stifel IRA
80. Keeley funds Inc Small Cap Value Fund Class I		None	J	T	Buy (add'l)	09/21/11	J		Part of Stifel IRA
81. MFS Ser Tr X Intl Growth Fd C1 I	A	Dividend	J	T	Buy (add'l)	03/21/11	J		Part of Stifel IRA
82. MFS Ser Tr X Intl Growth Fd C1 I	A	Dividend	J	T	Sold (part)	09/21/11	J		Part of Stifel IRA
83. MFS Ser Tr X Intl Growth Fd C1 I	A	Dividend	J	T	Buy (add'l)	12/19/11	J		Part of Stifel IRA
84. Pimco Fds Hi Yld C1 P	A	Dividend	J	T	Buy (add'l)	03/21/11	J		Part of Stifel IRA
85. Pimco Fds Hi Yld C1 P	A	Dividend	J	T	Buy (add'l)	01/04/11	J		Part of Stifel IRA

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86. Pimco Fds Hi Yld Cl P	A	Dividend	J	T	Buy (add'l)	02/02/11	J		Part of Stifel IRA
87. Pimco Fds Hi Yld Cl P	A	Dividend	J	T	Buy (add'l)	03/02/11	J		Part of Stifel IRA
88. Pimco Fds Hi Yld Cl P	A	Dividend	J	T	Buy (add'l)	04/04/11	J		Part of Stifel IRA
89. Pimco Fds Hi Yld Cl P	A	Dividend	J	T	Buy (add'l)	05/03/11	J		Part of Stifel IRA
90. Pimco Fds Hi Yld Cl P	A	Dividend	J	T	Buy (add'l)	06/02/11	J		Part of Stifel IRA
91. Pimco Fds Hi Yld Cl P	A	Dividend	J	T	Buy (add'l)	07/01/11	J		Part of Stifel IRA
92. Pimco Fds Hi Yld Cl P	A	Dividend	J	T	Buy (add'l)	08/01/11	J		Part of Stifel IRA
93. Pimco Fds Hi Yld Cl P	A	Dividend	J	T	Buy (add'l)	09/01/11	J		Part of Stifel IRA
94. Pimco Fds Hi Yld Cl P	A	Dividend	J	T	Sold (part)	09/21/11	J	A	Part of Stifel IRA
95. Pimco Fds Hi Yld Cl P	A	Dividend	J	T	Buy (add'l)	10/03/11	J		Part of Stifel IRA
96. Pimco Fds Hi Yld Cl P	A	Dividend	J	T	Buy (add'l)	11/01/11	J		Part of Stifel IRA
97. Pimco Fds Hi Yld Cl P	A	Dividend	J	T	Buy (add'l)	12/01/11	J		Part of Stifel IRA
98. Pimco Fds Hi Yld Cl P	A	Distribution	J	T	Buy (add'l)	12/08/11	J		Part of Stifel IRA
99. Pioneer Ser TR I Oak Ridge Small Cap Growth Fund Class A	A	Distribution	J	T	Buy (add'l)	11/29/11	J		Part of Stifel IRA
100. Pioneer Ser TR I Oak Ridge Small Cap Growth Fund Class A		None	J	T	Sold (part)	03/21/11	J	A	Part of Stifel IRA
101. Pioneer Ser TR I Oak Ridge Small Cap Growth Fund Class A		None	J	T	Sold (part)	09/21/11	J	A	Part of Stifel IRA

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	

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Name of Person Reporting

SMITH, LISA M.

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

For Part VII (Investments and Trusts)

Entry # 12, Century Link Communications bought Quest Communications (which was reported as common stock owned in prior year reports) during the reporting period.

Entry #25 and 26 for Fidelity Unique College Investment Plans (2015 and 2018), the program uses Fidelity mutual funds. The abbreviation in the prior reporting of muni securities was incorrect.

Entry #59 and 60, shares in the Columbia Marsico Growth Fund were exchanged on 6/8/2011 as part of a share class change from an A share at net asset value (no load) to a Z share Advisor Class (no load) share.

Entry #61, 62 and 63, shares in the Davis New York Venture Fund were exchanged on 7/19/2011 as part of a share class change from an A share at net asset value (no load) to a Y share Advisor Class (no load) share.

Entry #79 and 80, shares in the Keeley Funds Small Cap Value funds were exchanged on 5/23/2011 as part of a share class change from an A share at net asset value (no load) to an I share Advisor Class (no load) share.

Entry #81, 82, and 83, shares in the MFS Intl Growth Fund were exchanged on 1/25/2011 as part of a share class change from an A share at net asset value (no load) to an I share Advisor Class (no load) share.

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Name of Person Reporting

SMITH, LISA M.

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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/ LISA M. 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
Administrative Office of the United States Courts
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Washington, D.C. 20544