AO 10
Rev. 1/2017

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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, Jerry E.	Fifth Circuit Court of Appeals	11/30/2017
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. Circuit Judge (active)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2016 **to** 12/31/2016

7. Chambers or Office Address

12621 U.S. Courthouse
515 Rusk
Houston, TX 77002-2698

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.	Independent Executor	Estate # 1
2.	Independent Executor	Estate # 2
3.		
4.		
5.		

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

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
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.	2016	Lexis-Nexis Matthew Bender: writing and editing	$3,716.00
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.)*

	DATE	SOURCE AND TYPE
1.	2016	self-employed, political consulting
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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	American Law Institute	7/28-30/16	Santa Fe, NM	Seminar	Transportation, lodging, and meals
2.	Federalist Society for Law & Public Policy	11/17-20/16	Washington, DC	Convention	Transportation, lodging, and meals
3.	Federalist Society for Law & Public Policy	2/26-27/16	Charlottesville, VA	Convention	Transportation, lodging, and meas
4.	Universty of Chicago Law School	4/28/16	Chicago, IL	Moot court	Transportation, lodging, and meals
5.	Federalist Society of Law & Public Policy	8/11/16	Fort Worth, TX	Seminar	Lodging and meals

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, Jerry E.	11/30/2017

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. Invesco Money Market Fd -- Class AX (ACZXX)	A	Dividend	J	T					
2. 99% int. in Professional Audio-Video Corp. (see Part VIII)		None	J	T					
3. Wells Fargo Bank -- savings account	A	Interest	J	T					
4. Chase Bank -- checking account	A	Interest	J	T					
5. Compass Bank -- checking & IRA cash-equivalent	A	Interest	K	T					
6. Allegiance Bank, Brookshire, TX common stock(see Part VIII)		None	J	T					
7. Fidelity Security Life Ins. Co. -- IRA	A	Interest	J	T					
8. Templeton Growth Fd Inc. Class A (TEPLX)	A	Dividend	K	T					
9. Templeton Funds Inc. World Fd Class A (TEMWX)	A	Dividend	K	T					
10. Wells Fargo Bank -- bank deposit sweep	A	Int./Div.	J	T					
11. American Century Inter-term Tax Free Bond Fd (AXBIX)	A	Dividend	J	T					
12.									
13. JPMorgan Deposit Sweep (QCPCM)	A	Int./Div.	J	T	Sold (part)	02/05/16	J		
14.					Buy (add'l)	03/01/16	J		
15.					Buy (add'l)	03/17/16	J		
16.					Sold (part)	03/21/16	J		
17.					Buy (add'l)	07/26/16	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		

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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.)*

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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 (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)
18.					Sold (part)	07/28/16	J		
19.					Buy (add'l)	09/28/16	J		
20.									
21. BlackRock High Yield Bd Inst'l Fd (BHYIX)		None			Sold (part)	01/13/16	J		
22.					Sold	04/01/16	J		
23.									
24. BlackRock Index Fds. Inc. Int'l (BTMKX)	A	Dividend	J	T	Buy	02/02/16	J		
25.					Sold (part)	04/01/16	J		
26.					Sold (part)	07/25/16	J		
27.									
28. BlackRock Midcap Index Fd (BRMKX)	A	Dividend	J	T	Buy	01/22/16	J		
29.									
30. Deutsche X Trackers MSCI EAFE Hedged Equity (DBEF)		None			Sold	09/23/16	J		
31.									
32. Brown Advisory Fds WMC Strategic Europn Eqi (BAFHX)	A	Dividend	J	T					
33.									
34. Wisdom Tree Japan Hedged Equity Fd (DXJ)	A	Dividend	J	T					

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35.									
36. Dodge & Cox Funds Int'l Stock Fd (DODFX)	A	Dividend	J	T					
37.									
38. BlackRock Int'l Index Fd Inst'l Cl. (BRMIX)	A	Dividend	J	T					
39.									
40. JPMorgan Tr II Short-Inter Mun Bd Fd Inst'l (JIMIX)	A	Dividend	J	T	Buy (add'l)	01/13/16	J		
41.									
42. JP Morgan Tr II High Yield Fd Select Cl (OHYFX)	A	Dividend	J	T	Sold (part)	01/13/16	J		
43.					Buy (add'l)	04/01/16	J		
44.									
45. JP Morgan Tr I Mid Cap Equity Fd Select Cl (VSNGX)		None			Sold	02/02/16	J		
46.									
47.									
48.									
49.									
50. JP Morgan Tr I US Equity Fd Inst'l Cl (JMUEX)	A	Dividend	J	T	Sold (part)	03/16/16	J		
51.									

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52. JPMorgan Tr I Intermed Tax Free Bd Fd Inst'l Cl (JITIX)		None			Buy (add'l)	01/13/16	J		
53.					Sold	07/25/16	J		
54.									
55. MFS Ser. Tr. X Emerging Mkt. Debt Fd Cl I (MEDIX)	A	Dividend	J	T	Buy	07/25/16	J		
56.									
57.									
58. iShares MSCI Japan ETF Solicited (EWJ)	A	Dividend	J	T	Buy	07/25/16	J		
59.									
60.									
61. Vanguard 500 Index Fd Admiral Cl (VFIAX)	A	Dividend	J	T	Buy	09/23/16	J		
62.									
63.									
64. Vanguard Intermed.-Term Fd Admiral Cl (VWITX) (X)	A	Dividend	J	T					
65.									
66.									
67.									
68.									

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69. John Hancock Income Fd Cl I (JSTIX)	A	Dividend	J	T					
70.									
71. Mainstay High Yield Corp Bd Fd Cl I (MHYIX)	A	Dividend	J	T	Sold (part)	04/01/16	J		
72.									
73.									
74. Lord Abbett Short Duration Income Cl I (LLDYX)	A	Dividend	J	T	Buy	02/25/16	J		
75.					Buy (add'l)	04/01/16	J		
76.									
77.									
78. Oakmark Fd (OAKMX)	A	Dividend	J	T	Sold (part)	02/02/16	J		
79.					Sold (part)	07/25/16	J		
80.									
81. Mass. Investors Trust Cl I (MITIX)	A	Dividend	J	T					
82.									
83. MFS Research Int'l Fd Cl I (MRSIX)	A	Dividend	J	T					
84.									
85. SPDR ETF Trust (SPY)	A	Dividend	J	T	Buy (add'l)	02/02/16	J		

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86.					Buy (add'l)	03/16/16	J		
87.					Buy (add'l)	07/25/16	J		
88.									
89. PIMCO Inv Grade Corp Bond Fd Inst'l Cl (PIGIX)	A	Dividend	J	T	Buy	07/25/16	J		
90.									
91. PIMCO Total Return Fd Inst'l Cl (PTTRX)	A	Dividend	J	T	Buy	07/25/16	J		
92.									
93. PIMCO Low Duration Fd Inst'l Cl (PTLDX) (X)	A	Dividend	J	T					
94.									
95. Alliance Bernstein Intermed Div Mun Portfolio Advisor Cl (AIDYX) (X)	A	Dividend	J	T					
96.									
97. iShares MSCI EAFE ETF (EFA)		None			Sold	02/25/16	J		
98.									
99. PIMCO Low Duration Fd Inst'l Cl (PTLDX)	A	Dividend	J	T	Buy (add'l)	02/02/16	J		
100.					Sold (part)	02/25/16	J		
101.					Buy (add'l)	04/01/16	J		
102.									

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103. T Rowe Price Summit Mun Intermed Fd (PRSMX)	A	Dividend	J	T					
104.									
105.									
106.									
107. Estate #1 (H)									
108. -- First United Bank, Lubbock, TX -- checking acct.		None	M	T					
109. -- Working int., Bravo Land Co. #1 (see Part VIII)	A	Royalty	J	W					
110. -- Working int., North Timber Creek (see Part VIII)	B	Royalty	J	W					
111. -- Working int., CAT Federal (see Part VIII)	A	Royalty	J	W					
112. -- Working int., J.T. Federal #1A (see Part VIII)	A	Royalty	J	W					
113. -- Working int., J.T. Federal #3 (see Part VIII)	A	Royalty	J	W					
114. -- Working int., J.T. Federal #4 (see Part VIII)	B	Royalty	J	W					
115. -- Working int., J.T. Federal #5 (see Part VIII)	B	Royalty	J	W					
116. -- Working int., Quest Muddy Sand Unit (see Part VIII)	C	Royalty	J	W					
117. -- Working int., Leola Unit (see Part VIII)	A	Royalty	J	W					
118. -- Royalty int., various leases (see Part VIII)	D	Royalty	K	W					
119. -- Royalty int., various leases (see Part VIII)	A	Royalty	J	W					

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120. -- Royalty int., various leases (see Part VIII)	A	Royalty	J	W					
121. -- Royalty int., City of Lubbock Unit (see Part VIII)	D	Royalty	J	W					
122.									
123.									
124. Estate # 2 (H)									
125. -- First United Bank, Lubbock, TX -- checking acct.		None	J	T					
126.									
127. -- Working int., Bravo Land Co. #1 (see Part VIII)	A	Royalty	J	W					
128. -- Working int., North Timber Creek (see Part VIII)	B	Royalty	J	W					
129. -- Working int., CAT Federal (see part VIII)	A	Royalty	J	W					
130. -- Working int., J.T. Federal #1A (see Part VIII)	A	Royalty	J	W					
131. -- Working int., J.T. Federal #3 (see Part VIII)	A	Royalty	J	W					
132. -- Working int., J.T. Federal #4 (see Part VIII)	B	Royalty	J	W					
133. -- Working int., J.T. Federal #5 (see Part VIII)	B	Royalty	J	W					
134. -- Working int., Quest Muddy Sand Unit (see Part VIII)	C	Royalty	J	W					
135. -- Working int., Leola Unit (see Part VIII)	A	Royalty	J	W					
136. -- Royalty int., various leases (see Part VIII)	D	Royalty	K	W					

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
Smith, Jerry E.	11/30/2017

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)
137. -- Royalty int., various leases (see Part VIII)	A	Royalty	J	W					
138. -- Royalty int., various leases (see Part VIII)	A	Royalty	J	W					
139. -- Royalty int., City of Lubbock Unit (see Part VIII)	D	Royalty	J	W					
140.									
141.									
142.									
143.									
144.									
145.									
146.									
147.									
148.									
149.									
150.									
151.									

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.)*

Part VII, line 2: Victoria, TX (asset: video production equipment)

Part VII, line 6: Allegiance Bank is the new name for Enterprise Bank.

Part VII, lines 109 & 127: Duval County, TX; Payor: Chroma Operating, Inc., Houston, TX

Part VII, lines 110 & 128: Campbell County, WY; Payor: Eighty-Eight Oil LLC, Casper, WY

Part VII, lines 111 & 129: Campbell County, WY; Payor: Encana Oil & Gas, Inc., Denver, CO

Part VII, lines 112 & 130: Campbell County, WY; Payor: Encana Oil & Gas, Inc., Denver, CO

Part VII, lines 113 & 131: Campbell County, WY; Payor: Encana Oil & Gas, Inc., Denver, CO

Part VII, lines 114 & 132: Campbell County, WY; Payor: Encana Oil & Gas, Inc., Denver, CO

Part VII, lines 115 & 133: Campbell County, WY; Payor: Encana Oil & Gas, Inc., Denver, CO

Part VII, lines 116 & 134: Weson County, WY; Payors: Eighty-Eight Oil LLC, Casper, WY; Maxim Drilling & Exploration, Gillette, WY; Plains Marketing, L.P., Houston, TX

Part VII, lines 117 & 135: Campbell County, WY; Payor: Encana Oil & Gas, Inc., Denver, CO

Part VII, lines 118 & 136: La Plata County, CO; Payor: BP America Production Co., Tulsa, OK

Part VII, lines 119 & 137: Caddo County, OK; Payor: Mustang Fuel Corp., Oklahoma City, OK

Part VII, lines 120 & 138: La Plata County, CO; Payor: Red Willow Production Co., Ignacio, CO

Part VII, lines 121 & 139: Lubbock County, TX; Payor: Texland Petroleum, L.P., Fort Worth, TX

Name of Person Reporting	Date of Report
Smith, Jerry E.	11/30/2017

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/ Jerry E. 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