

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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, Orric D.	2. Court or Organization U.S.D.C. MO, Western District	3. Date of Report 03/27/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Court Judge (Senior)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address Room 8552 U.S. Courthouse 400 East 9th Street Kansas City, MO 64106		
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Director	YMCA of the Rockies
2.		
3.		
4.		
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.)*DATESOURCE AND TYPEINCOME
(yours, not spouse's)

1. _____

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.)*DATESOURCE AND TYPE

1. _____

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

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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Name of Person Reporting

Smith, Ortrio D.

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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. Microsoft Corp - Com Stk	A	Dividend	K	T					
2. Oracle Corp	A	Dividend	K	T					
3. Garmin Ltd.	B	Dividend	K	T	Sold (part)	07/27/12	J	D	
4. Ishares MSCI	A	Dividend			Sold	03/27/12	K	C	
5. Vanguard 500 Index Fund	A	Dividend	K	T					
6. Cerner Corp.		None	K	T					
7. Berkshire Hathaway, CL B		None	K	T					
8. Ishares DJ US Energy Sector Index Fund	A	Dividend			Sold	06/20/12	J	C	
9. Powershares QQQ Trust Series I	A	Dividend	K	T					
10. McDonalds Corp.	A	Dividend	K	T					
11. Southern Co.	B	Dividend	K	T					
12. Highwood Properties, Inc.	A	Dividend	J	T					
13. Invesco Mtg Capital, Inc.	B	Dividend	J	T					
14. Duke Energy Holding	B	Dividend	K	T					
15. Merck & Company, Inc.	B	Dividend	K	T					
16. PPL Corporation	B	Dividend	K	T					
17. Sunoco Logistics Ptnrs, LP	B	Dividend	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 = \$250,001 - \$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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Smith, Ortrio D.

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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 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. BSW Living Trust 2/1/94	D	Int./Div.	N	T					
19. -KCMO Spl Oblig Rfdg Rev Downtown Arena									
20. -PSI Energy, Inc., Deb.									
21. -TVA Strips Step Up					Redeemed	04/16/12	J	A	
22. -TVA Power Bond 1995 Series B									
23. -FHLM Corp Multiclass Mtg Ser [REDACTED]									
24. -FHLM Corp Multiclass Mtg Ser [REDACTED]					Redeemed (part)	01/15/12	J	A	
25.					Redeemed (part)	07/16/12	J	A	
26.					Redeemed (part)	08/15/12	J	A	
27. -FNMA Remic Pass Thru Ctfs [REDACTED] LL					Redeemed (part)	10/18/12	J	A	
28. -FHLM Corp Multiclass Mtg Ser [REDACTED]					Redeemed	08/15/12	J	A	
29. -GNM Assn Ser [REDACTED]									
30. -FNMA Remic Pass Thru Ctfs [REDACTED]					Redeemed (part)	01/25/12	J	A	
31.					Redeemed (part)	02/27/12	J	A	
32. -FNMA Remic Pass Thru Ctfs [REDACTED]					Redeemed (part)	05/25/12	J	A	
33. -FHLM Corp Multiclass Mtg Ser [REDACTED]									
34. -Insured Municipal Income Trust Ser [REDACTED]									

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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35. -Invesco Global 45 Dividend Ser No [REDACTED]									
36. -Missouri Insured Municipal Inc Tr Ser No [REDACTED]					Redeemed	09/11/12	J	A	
37. -Missouri Insured Municipal Inc Tr Ser No [REDACTED]					Redeemed	09/11/12	J	A	
38. -Missouri Insured Municipal Inc Tr Ser No [REDACTED]					Redeemed	09/11/12	J	A	
39. -Missouri Insured Municipal Inc Tr Ser No [REDACTED]					Redeemed	09/11/12	J	A	
40. -Wal-Mart Stores Inc									
41. -Capital Income Builder Fund CL A					Sold (part)	03/01/12	J	C	
42.					Sold (part)	08/01/12	K	D	
43. -Franklin MO Tax-Free Inc Fund CL A									
44. -Ferrellgas Partners LP									
45. -Chevron Corp	B	Dividend	K	T	Buy	07/23/12	K		
46. -CocaCola Co	B	Dividend	K	T	Buy	07/23/12	K		
47. -Invesco Global 4S Div. Ser No [REDACTED]	A	Dividend	J	T	Buy	04/05/12	J		
48. -Conoco Phillips	B	Dividend	K	T	Buy	07/23/12	K		
49. -DTE Energy	A	Dividend	K	T	Buy	08/01/12	J		
50. -GlaxoSmithKline	A	Dividend	K	T	Buy	08/01/12	J		
51. -Merck & Co	A	Dividend	K	T	Buy	07/23/12	K		

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52. -Microsoft Corp	A	Dividend	J	T	Buy	07/23/12	J		
53. -PIMCO Total Ret Fund CL A	B	Dividend	K	T	Buy	04/16/12	K		
54. BSW-Power of Attorney 3/29/11	C	Dividend	M	T					
55. -Invesco New World Leaders #7	A	Dividend	J	T	Buy	11/21/12	J		
56. -Invesco New World Leaders #5	A	Dividend	K	T	Buy	03/19/12	K		
57. -Capital Income Builders Fund A	B	Dividend	K	T	Buy	03/19/12	K		
58. -Invesco Diversified Div. Fund A	B	Dividend	K	T	Buy	03/19/12	K		
59. -Ivy High Income Fund CL A	A	Dividend	K	T	Buy	03/19/12	K		
60. -PIMCO Total Return Fund CL A	B	Dividend	K	T	Buy	03/19/12	K		

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

Part VII, 54: The filer began acting for the benefit of BSW under the terms of a Power of Attorney dated 3/29/11. Prior to 3/19/12, BSW managed these assets unassisted by filer.

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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/ Ortrie D. 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
Suite 2-301
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Washington, D.C. 20544