

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                      |                                                                  |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Smith, Ortrie D.                                                                                                                         | <b>2. Court or Organization</b><br><br>U.S.D.C. MO, Western District                                                                                                                                                                                                 | <b>3. Date of Report</b><br><br>4/13/2016                        |
| <b>4. Title (Article III judges indicate active or senior status;<br/>magistrate judges indicate full- or part-time)</b><br><br>District Court Judge (Senior)                                                 | <b>5a. Report Type (check appropriate type)</b><br><input type="checkbox"/> Nomination      Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2015<br>to<br>12/31/2015 |
| <b>7. Chambers or Office Address</b><br><br>Room 8552 U.S. Courthouse<br>400 East 9th Street<br>Kansas City, MO 64106                                                                                         |                                                                                                                                                                                                                                                                      |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts,<br/>checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                      |                                                                  |

## I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

|    | POSITION | NAME OF ORGANIZATION/ENTITY |
|----|----------|-----------------------------|
| 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.)

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

**FINANCIAL DISCLOSURE REPORT**

Page 2 of 7

Name of Person Reporting

Smith, Ortrle D.

Date of Report

4/13/2016

**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><br>(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.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u> |
|-------------|------------------------|
| 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.)*

| <u>SOURCE</u> | <u>DATES</u> | <u>LOCATION</u> | <u>PURPOSE</u> | <u>ITEMS PAID OR PROVIDED</u> |
|---------------|--------------|-----------------|----------------|-------------------------------|
| 1.            |              |                 |                |                               |
| 2.            |              |                 |                |                               |
| 3.            |              |                 |                |                               |
| 4.            |              |                 |                |                               |
| 5.            |              |                 |                |                               |

**FINANCIAL DISCLOSURE REPORT**

Page 3 of 7

Name of Person Reporting

Smith, Ortrie D.

Date of Report

4/13/2016

**V. GIFTS.** *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

4. \_\_\_\_\_

5. \_\_\_\_\_

# FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Smith, Ortrle D.

Date of Report

4/13/2016

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Microsoft Corp - Com Stk                                                                                                 | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. Cerner Corp.                                                                                                             |                                         | None                                          | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. Berkshire Hathaway, CL B                                                                                                 |                                         | None                                          | K                                               | T                                         | Sold<br>(part)                                  | 03/12/15                | J                               | A                              |                                                                   |
| 4. Duke Energy Holding                                                                                                      | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. Sunoco Logistics Ptnrs, LP                                                                                               | B                                       | Dividend                                      | K                                               | T                                         | Buy<br>(add'l)                                  | 12/14/15                | J                               |                                |                                                                   |
| 6. Amazon com. Inc.                                                                                                         |                                         | None                                          | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. Johnson & Johnson                                                                                                        | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. American Water Works                                                                                                     | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. Apple                                                                                                                    | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. Google                                                                                                                  |                                         | None                                          | L                                               | T                                         | Sold<br>(part)                                  | 02/06/15                | J                               | A                              |                                                                   |
| 11.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 09/08/15                | J                               |                                |                                                                   |
| 12.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 02/27/15                | K                               |                                |                                                                   |
| 13. NXP Semiconductors                                                                                                      |                                         | None                                          | J                                               | T                                         | Sold<br>(part)                                  | 03/12/15                | J                               | C                              |                                                                   |
| 14.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/08/15                | J                               |                                |                                                                   |
| 15.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/18/15                | J                               |                                |                                                                   |
| 16.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 10/02/15                | J                               | A                              |                                                                   |
| 17. Markel Corp.                                                                                                            |                                         | None                                          | K                                               | T                                         | Buy<br>(add'l)                                  | 09/08/15                | J                               |                                |                                                                   |

|                                                  |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|--------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A –\$1,000 or less<br>F –\$50,001 - \$100,000                                      | B –\$1,001 - \$2,500<br>G –\$100,001 - \$1,000,000   | C –\$2,501 - \$5,000<br>H1 –\$1,000,001 - \$5,000,000                                  | D –\$5,001 - \$15,000<br>H2 –More than \$5,000,000         | E –\$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J –\$15,000 or less<br>N –\$250,001 - \$500,000<br>P3 –\$25,000,001 - \$50,000,000 | K –\$15,001 - \$50,000<br>O –\$500,001 - \$1,000,000 | L –\$50,001 - \$100,000<br>P1 –\$1,000,001 - \$5,000,000<br>P4 –More than \$50,000,000 | M –\$100,001 - \$250,000<br>P2 –\$5,000,001 - \$25,000,000 |                        |
| 3. Value Method Codes<br>(See Column C2)         | Q –Appraisal<br>U –Book Value                                                      | R –Cost (Real Estate Only)<br>V –Other               | S –Assessment<br>W –Estimated                                                          | T –Cash Market                                             |                        |

# FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

Smith, Ortrle D.

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| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. Reaves Utility                                                                                                          | B                                       | Dividend                                      |                                                 |                                           | Sold                                            | 02/27/15                | K                               | B                              |                                                                   |
| 19. Brookfield Infrastructure                                                                                               | B                                       | Dividend                                      |                                                 |                                           | Buy<br>(add'l)                                  | 05/08/15                | J                               |                                |                                                                   |
| 20.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 10/05/15                | J                               | A                              |                                                                   |
| 21.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 12/14/15                | J                               | A                              |                                                                   |
| 22. Skyworks                                                                                                                | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 03/12/15                | J                               | B                              |                                                                   |
| 23.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 10/02/15                | J                               | B                              |                                                                   |
| 24. Enterprise Products Partners                                                                                            | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 02/10/15                | J                               |                                |                                                                   |
| 25.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 09/08/15                | J                               | A                              |                                                                   |
| 26. Allergan PLC                                                                                                            |                                         | None                                          | K                                               | T                                         | Buy                                             | 09/15/15                | J                               |                                |                                                                   |
| 27. Powershares QQQ                                                                                                         | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 05/08/15                | J                               |                                |                                                                   |
| 28. Cabela's                                                                                                                |                                         | None                                          | K                                               | T                                         | Buy                                             | 08/10/15                | J                               |                                |                                                                   |
| 29. Twitter                                                                                                                 |                                         | None                                          |                                                 |                                           | Buy                                             | 08/10/15                | J                               |                                |                                                                   |
| 30.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 09/08/15                | J                               | A                              |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

**FINANCIAL DISCLOSURE REPORT**

Page 6 of 7

Name of Person Reporting

Smith, Ortrie D.

Date of Report

4/13/2016

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

# FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Smith, Ortrie D.

Date of Report

4/13/2016

## 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  
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Washington, D.C. 20544