AO 10
Rev. 1/2015

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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, Jr., Charles L.	Northern District of Alabama	09/30/2016
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. District Judge - Senior	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2015 **to** 12/31/2015
7. Chambers or Office Address		
United States Courthouse 101 Holmes Avenue Huntsville, Ala. 35801		

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.		
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.	1981	Judicial Retirement Fund of Alabama (Retirement fund of former employer, State of Alabama), no control
2.	1981	Madison County, Alabama Retirement Fund (Retirement fund of former employer, Madison County), no control
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.	2015	State of Alabama Judicial Retirement (Retirement Systems of Alabama)	$58,725.00
2.	2015	Madison County, Alabama Retirement	$19,142.00
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.	2015	Madison County, Alabama Retirement Fund (Retirement Systems of Alabama)
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.					
2.					
3.					
4.					
5.					

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, Jr., Charles L.	09/30/2016

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. 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. U.S. Savings Bonds-Series EE	A	Interest	J	T					
2. Regions Financial Corp. Common	A	Dividend	K	T					
3. Morgan Stanley Bank NA (formerly CitiBank Money Fund)	D	Interest	J	T					
4. Meadowbrook, Ltd. 4.75% Int. in limited partnership		None	J	U					
5. Farm: Madison County, Ala.	D	Rent (Crop)	P1	W					
6. Farm Rental House: Madison County, Ala.	D	Rent (House)	L	W					
7. Crown Life Ins. - Cash Value	A	Dividend	J	T					
8. Apple Computer, Inc. Common	B	Dividend	M	T					
9. Clorox Co. Common	B	Dividend	L	T					
10. Spouse's § 457(b) Deferred Comp Account (H):									
11. -- American Century Value Fund	C	Dividend	K	T	Sold (part)	02/04/15	J		
12. -- Fidelity Contrafund	D	Dividend	M	T	Sold (part)	02/04/15	K		
13. -- Nationwide Fixed Account	B	Interest	M	T	Sold (part)	02/04/15	L		
14. -- Nationwide Large Cap Growth Fund	D	Dividend	L	T	Sold (part)	02/04/15	K		
15. -- S & P 500 Index Fund	A	Dividend	J	T	Sold (part)	02/04/15	J		
16. -- Neuberger Berman Equity Trust	B	Dividend	K	T	Sold (part)	02/04/15	J		
17. Madison Co. AL Retirement Fund (Y)									

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, Jr., Charles L.	09/30/2016

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. 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. Am Family Broadcasting Corp (Retirement)		None	J	T					
19. PACT (Ala. Prepaid Affordable College Tuition plan)	A	Interest	K	T					
20. Scholars Choice (Section 529 Plan) - No Control	B	Dividend	J	T					
21. Education IRA No. 1 (H):									
22. -- Morgan Stanley Bank NA	A	Interest	J	T					
23. -- Adtran, Inc. Common	A	Dividend	J	T					
24. -- Facebook Common		None	J	T					
25. Education IRA No. 2 (H):									
26. -- Morgan Stanley Bank NA	A	Interest	J	T					
27. -- Adtran, Inc. Common	A	Dividend	J	T					
28. -- Overstock.Com, Inc. Common		None	J	T					
29. -- Facebook Common		None	J	T					
30. Education IRA No. 3 (H):									
31. -- Legg Mason Partners	A	Dividend			Sold	01/30/15	J	A	
32. -- Morgan Stanley Bank N.A.	A	Interest	J	T					
33. -- Adtran, Inc. Common	A	Dividend	J	T					
34. -- Facebook Common		None	J	T					

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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	
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35. Education IRA No. 4 (H):									
36. -- Morgan Stanley Bank NA	A	Interest	J	T					
37. -- Adtran, Inc. Common	A	Dividend	J	T					
38. -- Overstock.Com, Inc. Common		None	J	T					
39. -- Facebook Common		None	J	T					
40. Coca Cola Bottling Co. Common	A	Dividend	J	T					
41. Trust No. 1 (H):									
42. -- Morgan Stanley Bank NA	A	Interest	J	T					
43. -- Franklin Federal Tax Free Income FD Class A	A	Interest	K	T					
44. Vanguard Age-Based Aggressive Growth (Section 529 Plan aka Upromise)	A	Dividend	K	T					
45. Adtran, Inc. Common	A	Dividend	J	T					
46. Walt Disney Common	A	Dividend	K	T					
47. Education IRA No. 5 (H):									
48. -- Morgan Stanley Bank NA	A	Interest	J	T					
49. -- Facebook Common		None	J	T					
50. Trust No. 2 (H):									
51. -- Morgan Stanley Bank NA	A	Interest	K	T					

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
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52. -- Facebook Common		None	K	T					
53. Facebook Common		None	K	T					
54. Alabama College Counts 529 Plan (H)									
55. -- Vanguard Growth Index Fund	B	Dividend	L	T					
56. Educational IRA No. 6 (H):									
57. -- Morgan Stanley Bank NA (X)	A	Interest	J	T					
58. Roth IRA (H):									
59. -- Morgan Stanley Bank NA (X)	A	Interest	K	T	Sold (part)	12/15/15	J	D	Mandatory Distribution
60. -- Facebook, Inc. (X)		None	J	T					
61. -- Franklin Income A (X)	A	Interest	K	T					
62. Spouse's Traditional IRA (Rollover from Spouse's § 457(b) Plan) (H):									
63. -- Sterne Agee Insured Deposit Program (X)	A	Interest	K	T	Buy	02/24/15	K		
64. -- Valley View Place LLC (X)		None	M	T	Buy	02/24/15	M		
65. Bryant Bank Account (X)	A	Interest	M	T					
66. Regions Bank Account (X)		None	J	T					

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

The eBay, Inc. common stock listed in § VII, on line # 42, of the Financial Disclosure Report for Calendar Year 2014 actually had been sold on 05/15/2012 (with Value Code of "K" and Gain Code of "C"). That information was reported in the Financial Disclosure Report for Calendar Year 2012 report filed on 05/15/2013. Due to oversight, however, I failed to eliminate the listing for the stock in the Financial Disclosure Reports subsequently filed for calendar years 2013 and 2014. I have corrected that error in this report by deleting any reference in § VII to eBay, Inc..

Name of Person Reporting	Date of Report
Smith, Jr., Charles L.	09/30/2016

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/ Charles L. Smith, Jr.**

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
One Columbus Circle, N.E.
Washington, D.C. 20544