

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, Orric D.	2. Court or Organization U.S.D.C. MO, Western District	3. Date of Report 4/10/2012
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 01/01/2011 to 12/31/2011
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. 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.	Director	YMCA of the Rockies
2.	Director	Lawyers Encouraging Academic Performance (LEAP)
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.	Chris Gentile	Ticket - Masters Golf Tournament	\$900.00
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. Intel Corp - Com Stk	A	Dividend			Sold	03/03/11	J	D	
2. Microsoft Corp - Com Stk	A	Dividend	K	T					
3. Oracle Corp	A	Dividend	K	T	Sold (part)	01/03/11	J	A	
4.					Sold (part)	03/03/11	J	A	
5. Garmin Ltd.	B	Dividend	K	T					
6. Ishares MSCI	A	Dividend	J	T					
7. Vanguard 500 Index Fund	A	Dividend	K	T					
8. Cerner Corp.		None	K	T	Sold (part)	01/03/11	J	D	
9.					Sold (part)	03/03/11	J	C	
10. Berkshire Hathaway, CL B		None	K	T					
11. Russell Microcap Index	A	Dividend			Sold	9/13/11	J	A	
12. Ishares DJ US Energy Sector Index Fund	A	Dividend	K	T					
13. Ishares TR Russell 2000 Value Index Fund	A	Dividend			Sold	07/05/11	K	A	
14. Ishares TR Russell 2000 Index Fund	A	Dividend			Sold	11/15/11	K	A	
15. Ishares Trust S&P Smallcap 600 Index Fund	A	Dividend			Sold	11/15/11	K	A	
16. American International Group	A	Dividend			Sold	01/18/11	J	D	
17. Ishares Cohen & Steers Realty	A	Dividend			Sold	11/15/11	K	A	

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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)	F = \$50,001 - \$100,000 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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18. Ishares GS Natural Resources	A	Dividend			Sold	11/15/11	K	A	
19. Ishares MSCI & Merging Markets	A	Dividend			Sold	11/15/11	K	A	
20. Ishares Morningstar	A	Dividend			Sold	11/15/11	K	A	
21. Ishares TR DJ Basic Mat Index	A	Dividend			Sold	11/15/11	K	A	
22. Powershares QQQ Trust Series I	A	Dividend	K	T					
23. McDonalds Corp.	A	Dividend	K	T					
24. Southern Co.	A	Dividend	K	T	Sold (part)	01/03/11	J	A	
25.					Sold (part)	03/03/11	J	A	
26. Highwood Properties, Inc.	A	Dividend	J	T	Buy	11/15/11	J		
27. Invesco Mtg Capital, Inc.	B	Dividend	J	T	Buy	11/15/11	J		
28. Duke Energy Holding	B	Dividend	K	T	Buy	11/16/11	K		
29. Merck & Company, Inc.	B	Dividend	K	T	Buy	11/16/11	K		
30. PPL Corporation	B	Dividend	K	T	Buy	11/16/11	K		
31. Sunoco Logistics Ptnrs, LP	B	Dividend	K	T	Buy	11/16/11	K		
32. BSW Living Trust 2/1/94	D	Int./Div.	N	T					
33. -KCMO Spl Oblig Rfdg Rev Downtown Arena									
34. -PSI Energy, Inc., Deb.									

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	
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35. -TVA Strips Step Up									
36. -TVA Power Bond 1995 Series									
37. -FHLM Corp Multiclass Mtg Ser									
38. -FHLM Corp Multiclass Mtg Ser LL									
39. -FNMA Remic Pass Thru Ctfs LL									
40. -FHLM Corp Multiclass Mtg Ser LL									
41. -GNM Assn Ser									
42. -FNMA Remic Pass Thru Ctfs LL									
43. -FNMA Remic Pass Thru Ctfs BB									
44. -FHLM Corp Multiclass Mtg Ser LL									
45. -Insured Municipal Income Trust Ser No									
46. -Invesco Global 45 Dividend Ser									
47. -Missouri Insured Municipal Inc Tr Ser No									
48. -Missouri Insured Municipal Inc Tr Ser No									
49. -Missouri Insured Municipal Inc Tr Ser No									
50. -Missouri Insured Municipal Inc Tr Ser No									
51. -Wal-Mart Stores Inc									

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52. -Capital Income Builder Fund CL A									
53. -Lord Abbett Aff'd Fund CL A					Sold	10/18/11	L	A	
54. -Lord Abbett Bond Deb Fund CL A					Sold	10/18/11	K	A	
55. -Franklin MO Tax-Free Inc Fund CL A									
56. -Ferrellgas Partners LP									

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

Part VII, 32: The filer became Trustee of the BSW Living Trust on July 1, 2011.

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