

**FINANCIAL DISCLOSURE
FOR CALENDAR YEAR**

1. Person Reporting (last name, first, middle initial) Smith, Jr., Milan D.	2. Court or Office Ninth Circuit
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge	5a. Report Type ☐ Nominating ☐ Initial 5b. ☐ A
7. Chambers or Office Address United States Court of Appeals Suite 2325, 222 N Sepulveda Bl El Segundo, California 90245	
IMPORTANT NOTES: <i>The instructions accompanying this form require checking the NONE box for each part w</i>	

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



NONE *(No reportable positions.)*

POSITION

1.

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Name of Person

Smith, Jr.,

III. NON-INVESTMENT INCOME. *(Reporting individual and*

A. Filer's Non-Investment Income



NONE *(No reportable non-investment income.)*

DATE

SOURCE

1.

2.

3.

4.

B. Spouse's Non-Investment Income – *If you were married during any portion*

(Dollar amount not required except for honoraria.)



NONE *(No reportable non-investment income.)*

DATE

SOURCE

FINANCIAL DISCLOSURE REPORT

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Name of Person

Smith, Jr.,

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*



NONE *(No reportable gifts.)*

SOURCE

DESCRIPTION

1.

2.

3.

4.

5.

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 28-31 of filing instructions.)*



NONE *(No reportable liabilities.)*

CREDITOR

DESCRIPTION

1.

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Name of Person

Smith, Jr.,

VII. INVESTMENTS and TRUSTS – income, value, transaction

☐

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		Gross of rep
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)

1.	General Electric Co.	B	Dividend	K
2.	Intuitive Surgical Inc.		None	K
3.				
4.				
5.	American Tower Corp CL A	A	Dividend	K
6.	Devon Energy Corp New		None	
7.	Pepsico Incorporated	B	Dividend	K

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Name of Person

Smith, Jr.,

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	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)

18.			
19. AGNC Investment Corp (Formerly American Capital Agency Corp)	D	Dividend	
20.			
21.			
22. Williams Partners LP Com Unit Ltd Part Int	B	Distribution	K
23. Ishares Trust Barclays 1-3 Yr. Treasury Bd FD	B	Dividend	N
24.			

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Name of Person Reporting

Smith, Jr., Milan D.

Date of Report

05/04/2017

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		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)

35.					Buy (add'l)	07/16/16	J		
36. Ishares Barclays 1-3 YR Credit Bond Fund ETF	C	Dividend	N	T	Buy (add'l)	06/30/16	J		
37.					Buy (add'l)	07/19/16	J		
38. Ishares Core US Credit Bond (FKA Ishares Trst Barclay Credit Bond ETF)	C	Dividend	L	T	Sold (part)	03/04/16	J	A	
39.					Sold (part)	06/24/16	K	C	
40.					Sold (part)	09/14/16	J	A	
41.					Sold (part)	10/13/16	J	A	
42.					Sold (part)	12/02/16	K	B	
43. Ameren Corp	B	Dividend	K	T	Sold (part)	02/24/16	J	B	
44.					Sold (part)	06/24/16	J	C	
45. Abbott Laboratories	A	Dividend	K	T	Sold (part)	06/24/16	J	A	
46. Enterprise Products Partners LP	B	Dividend	K	T					
47. Blackrock Income Trust Inc	B	Dividend	K	T	Sold (part)	12/02/16	J	A	
48. Gabelli Dividend & Income Fund	D	Dividend	M	T	Sold (part)	04/28/16	J	A	
49. Eli Lilly & Co	A	Dividend	K	T	Sold (part)	03/17/16	J	A	
50.					Sold (part)	04/13/16	J	A	
51.					Sold (part)	10/13/16	J	A	

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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. H & Q Healthcare Investors SBI	B	Dividend	K	T					
53. Managed Duration Invst Grade Mun FD	B	Dividend	K	T					
54. Ishares TR S&P Short Term Natl Amtfr	A	Dividend	L	T	Buy (add'l)	10/13/16	K		
55. Textron Inc	A	Dividend	J	T	Buy (add'l)	03/17/16	J		
56.					Sold (part)	01/27/16	J	A	
57. Vanguard Scottsdale Funds Vanguard Short Term Corp Bond ETF	D	Dividend	N	T	Buy (add'l)	03/04/16	L		
58.					Buy (add'l)	10/13/16	J		
59.					Sold (part)	05/05/16	J	A	
60. BlackRock Credit Allocation	D	Dividend	L	T	Sold (part)	02/24/16	J	A	
61.					Sold (part)	05/31/16	J	A	
62.					Sold (part)	09/13/16	J	A	
63.					Sold (part)	11/01/16	J	A	
64.					Sold (part)	11/10/16	J	A	
65. Ishares Trust S&P Global Info Technology Sector Index Fund	B	Dividend	M	T	Sold (part)	01/12/16	J	A	
66.					Sold (part)	02/24/16	J	B	
67.					Sold (part)	03/04/16	J	A	
68.					Sold (part)	11/01/16	J	A	

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69. Calamos Global Dynamic Income Fund	D	Dividend	L	T	Buy (add'l)	05/05/16	K		
70.					Sold (part)	05/05/16	K	A	
71.					Sold (part)	11/10/16	J	A	
72. Corning Inc	B	Dividend	L	T	Sold (part)	04/13/16	J	A	
73.					Sold (part)	05/31/16	J	A	
74.					Sold (part)	08/16/16	J	A	
75.					Sold (part)	11/08/16	J	A	
76. Koninklijke Philips Electrs N V Sponsored ADR New 2000	B	Dividend	K	T	Sold (part)	06/24/16	J	A	
77.					Sold (part)	08/16/16	J	A	
78.					Sold (part)	10/12/16	J	A	
79. Columbia Fds Ser TR IX Tax Exempt FD CL A	B	Dividend	K	T					
80. Ishares TR 2016 S&P AMT Free Municipal Ser Fd	A	Dividend			Sold	05/03/16	K	A	
81. Ishares TR 2017 S&P AMT Free Municipal Ser Fd	A	Dividend	K	T					
82. Gabelli Healthcare & Wellness Trust	C	Dividend	K	T	Sold (part)	01/12/16	J	A	
83.					Sold (part)	04/13/16	J	A	
84. BlackRock Equity Dividend Trust	C	Dividend	L	T	Sold (part)	01/12/16	J	A	
85.					Sold (part)	03/18/16	J	A	

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 \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
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86.					Sold (part)	09/13/16	J	A	
87. Centerpoint Energy Inc.	A	Dividend	J	T	Buy (add'l)	03/17/16	J		
88.					Sold (part)	03/11/16	J	A	
89. American Electric Power Co Inc	A	Dividend	J	T	Sold (part)	03/02/16	J	A	
90.					Sold (part)	03/17/16	J	A	
91.					Sold (part)	04/13/16	J	A	
92.					Sold (part)	07/07/16	J	A	
93. Pimco ETF TR Enhanced Short Maturity	C	Dividend	N	T	Buy (add'l)	03/11/16	K		
94.					Sold (part)	04/13/16	J	A	
95. Southern Co	A	Dividend	K	T	Sold (part)	05/31/16	J	A	
96. Ishares TR Dow Jones SEL Divid Index FD	A	Dividend	K	T					
97. FirstEnergy Corp	A	Dividend	J	T	Sold (part)	07/20/16	J	A	
98. Sempra Energy	A	Dividend	K	T	Sold (part)	05/31/16	J	A	
99.					Sold (part)	07/07/16	J	A	
100. Anworth Mortgage Asset Corp	D	Dividend	L	T	Buy	02/02/16	J		
101.					Buy (add'l)	02/05/16	K		
102.					Buy (add'l)	02/24/16	K		

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103.					Buy (add'l)	05/05/16	J		
104.					Buy (add'l)	06/24/16	J		
105. Frontier Communications Corp	C	Dividend	K	T	Buy (add'l)	03/17/16	J		
106.					Buy (add'l)	11/08/16	J		
107.					Buy (add'l)	11/10/16	J		
108.					Sold (part)	03/02/16	J	A	
109.					Sold (part)	08/16/16	J	A	
110. Eaton Vance Risk Managed Global Diversified Equity Income	B	Dividend	K	T	Buy (add'l)	07/19/16	J		
111. Eaton Vance Tax Managed Global Diversified Equity Income		None	K	T					
112. Hollyfrontier Corporation		None			Sold	02/03/16	J	A	
113. Intel Corp	B	Dividend	L	T	Sold (part)	10/12/16	J	A	
114. Abbvie Inc. (Spinoff of Abbott Laboratories)	B	Dividend	K	T	Sold (part)	03/17/16	J	A	
115.					Sold (part)	08/16/16	J	A	
116.					Sold (part)	08/19/16	J	A	
117. Merck & Co. Inc.	B	Dividend	L	T	Sold (part)	06/24/16	J	A	
118.					Sold (part)	08/19/16	J	A	
119. Air Lease Corporation	A	Dividend	K	T	Sold (part)	01/20/16	J	A	

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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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120. Eaton Vance California Municipal Bond Fund	C	Dividend	K	T	Sold (part)	02/24/16	J	A	
121.					Sold (part)	05/02/16	J	A	
122.					Sold (part)	08/19/16	J	A	
123.					Sold (part)	09/14/16	J	A	
124. Ishares 2018 AMT Free Muni Term ETF	A	Dividend	K	T					
125. Conagra Foods Inc.	A	Dividend	K	T	Sold (part)	03/17/16	J	A	
126.					Sold (part)	04/13/16	J	A	
127.					Sold (part)	05/31/16	J	A	
128.					Sold (part)	10/31/16	J	A	
129. Discover Financial Services		None			Sold	01/20/16	J	A	
130. Citigroup Inc Com	A	Dividend	J	T	Buy (add'l)	12/07/16	J		
131.					Sold (part)	02/05/16	J	A	
132. Neuberger Berman Real Estate Securities Income Fund	B	Dividend	K	T	Sold (part)	01/12/16	J	A	
133.					Sold (part)	09/13/16	J	A	
134. Sunedison Inc		None			Sold (part)	01/12/16	J	A	
135.					Sold	01/15/16	J	A	
136. Money Mkt Obligs Tr Federated Prime Obligs FD	A	Dividend			Closed	09/30/16	O		

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137. Ishares 3 to 7 Year Treasury Bond ETF	C	Dividend	N	T	Buy (add'l)	08/30/16	J		
138.					Sold (part)	05/05/16	J	A	
139.					Sold (part)	06/24/16	J	A	
140.					Sold (part)	07/19/16	J	A	
141. Ishares US ETF Tr Short Term Maturity Bond ETF	C	Dividend	N	T	Buy (add'l)	05/31/16	L		
142.					Buy (add'l)	06/24/16	L		
143. One Gas Inc.	A	Dividend	K	T	Sold (part)	01/20/16	J	A	
144.					Sold (part)	02/24/16	J	B	
145. Ishares Tr 0-5 Yr Invnt Grade Corp Bd ETF	A	Dividend	L	T					
146. SPDR Nuveen Barclays California Municipal Bond ETF	B	Dividend			Sold	09/02/16	L	C	
147. Nuveen California AMT Free Municipal Income Fund	B	Dividend	K	T					
148. SPDR Nuveen Barclays Short Term Municipal Bond ETF	A	Dividend	K	T	Buy	03/04/16	L		
149.					Sold (part)	03/16/16	J	A	
150. Ishares Gold Trust		None	K	T	Buy	09/21/16	J		
151.					Buy (add'l)	09/30/16	J		
152.					Buy (add'l)	10/31/16	J		
153.					Buy (add'l)	12/21/16	K		

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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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)
154. Central Fund of Canada LTD CL-A Non Voting Shares	A	Dividend	K	T	Buy (add'l)	02/24/16	J		
155.					Buy (add'l)	03/17/16	J		
156.					Buy (add'l)	04/13/16	J		
157.					Buy (add'l)	05/02/16	J		
158.					Buy (add'l)	05/31/16	J		
159.					Buy (add'l)	08/19/16	J		
160.					Sold (part)	12/21/16	K	A	
161. Pimco Intermediate Municipal Bond Active Exchange Traded Fund	A	Dividend	K	T	Buy (add'l)	06/30/16	J		
162. Alps ETF TR Alerian MLP	A	Dividend	J	T	Buy	08/11/16	J		
163.					Buy (add'l)	12/07/16	J		
164. Pattern Energy Group Inc Class A	A	Dividend	J	T	Buy	04/28/16	J		
165.					Buy (add'l)	05/05/16	J		
166.					Buy (add'l)	06/24/16	J		
167.					Buy (add'l)	07/06/16	J		
168.					Buy (add'l)	10/12/16	J		
169.					Sold (part)	12/02/16	K	A	
170. Kinder Morgan Inc		None			Sold	01/12/16	J	A	

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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Name of Person Reporting

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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)
171. Centurylink Inc	B	Dividend	K	T	Buy (add'l)	05/05/16	J		
172. Northern Tier Energy LP	A	Dividend			Buy (add'l)	02/24/16	J		
173.					Sold (part)	03/11/16	J	A	
174.					Sold	04/06/16	K	A	
175. Communications Sales & Leasing Inc Com (Spinoff of Windstream Corp)	B	Dividend	K	T	Buy	04/28/16	J		
176.					Buy (add'l)	05/05/16	J		
177.					Buy (add'l)	06/24/16	J		
178.					Buy (add'l)	07/06/16	J		
179.					Buy (add'l)	12/02/16	J		
180.					Sold (part)	12/02/16	J	A	
181. Bank of Nova Scotia	A	Dividend	J	T	Sold (part)	04/28/16	J	A	
182.					Sold (part)	08/30/16	J	A	
183. Annaly Capital Management Inc		None			Buy	07/06/16	J		
184.					Sold (part)	07/18/16	J	A	
185.					Sold	12/15/16	J	A	
186. Vanguard Calif Tax Free Intermediate Term Tax Exempt Fund	B	Dividend	K	T	Buy (add'l)	01/12/16	K		
187.					Buy (add'l)	03/17/16	K		

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 \$5,000,000	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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Name of Person Reporting

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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)
188.					Sold (part)	12/28/16	K	A	
189. Eaton Corporation	A	Dividend	J	T	Buy	03/17/16	J		
190. Vanguard Short Term Government Bond ETF	B	Dividend	N	T	Buy (add'l)	02/24/16	M		
191.					Buy (add'l)	03/02/16	K		
192.					Buy (add'l)	05/05/16	L		
193.					Buy (add'l)	07/20/16	K		
194.					Buy (add'l)	08/19/16	L		
195.					Sold (part)	12/28/16	K	A	
196. US Govt Money Market Fund RBS Reserve Class	A	Dividend	M	T					
197. Transamerica Advisors: Whole Life Insurance Policy		None	K	T					
198. Aurora National Life Assurance: Whole Life Insurance Policy		None	K	T					
199. Metlife: Whole Life Insurance Policy	A	Dividend	J	T					
200. Lamb Weston Holdings Inc Common Stock (Spinoff of Conagra Foods Inc.)	A	Dividend	J	T	Spinoff (from line 125)	11/10/16	J		
201.					Sold (part)	11/10/16	J	A	
202. Orbital Atk Inc Com	A	Dividend	J	T	Buy	10/13/16	J		
203.					Buy (add'l)	12/07/16	J		
204. Tsakos Energy Navig USD1	A	Dividend	J	T	Buy	05/31/16	J		

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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Name of Person Reporting

Smith, Jr., Milan D.

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05/04/2017

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		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)
205.					Buy (add'l)	06/01/16	J		
206.					Buy (add'l)	06/30/16	J		
207.					Buy (add'l)	08/30/16	J		
208.					Sold (part)	09/13/16	J	A	
209. Vaneck Vectors ETF TR Gold Miners ETF		None	J	T	Buy	12/20/16	J		
210. Alps ETF TR Sprott Gold Miners ETF	A	Dividend	K	T	Buy	02/05/16	J		
211.					Buy (add'l)	02/24/16	J		
212.					Buy (add'l)	03/17/16	J		
213.					Buy (add'l)	04/13/16	J		
214.					Buy (add'l)	05/05/16	J		
215.					Buy (add'l)	06/30/16	J		
216.					Sold (part)	12/20/16	J	A	
217. Euronav NV	B	Dividend	K	T	Buy	05/31/16	J		
218.					Buy (add'l)	06/01/16	J		
219.					Buy (add'l)	06/24/16	J		
220.					Buy (add'l)	07/06/16	J		
221.					Buy (add'l)	08/19/16	J		

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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Name of Person

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VII. INVESTMENTS and TRUSTS – income, value, transaction

☐

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		Gross of rep
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)
222.			
223.			
224. Vanguard Scottsdale Funds Vanguard Intermediate-Term	A	Dividend	
225.			
226. SPDR Ser TR S&P Biotech ETF	A	Dividend	J
227.			
228. Franco-Nevada Corporation		None	J

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Name of Person

Smith, Jr.,

VIII. ADDITIONAL INFORMATION OR EXPLANATION

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Name of Person

Smith, Jr.,

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and dependent children) is accurate, true, and complete to the best of my knowledge and belief, and that I am not aware of any facts or information which would make the foregoing statements false or misleading, and that I am not aware of any provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria are disclosed in accordance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and any other applicable laws.

Signature

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR MISREPRESENTS INFORMATION ON THIS REPORT IS SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)