

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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, Thomas B.	2. Court or Organization District Court--Middle District of Florida	3. Date of Report 07/05/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) MJ--Full Time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address United States Courthouse 401 West Central Blvd. Suite 4550 Orlando, Florida 32801		
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. _____	_____
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. 2016	State of Florida Employee Pension Plan--No Control
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2016	State of Florida--Pension	\$48,936.00
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. 2016	Orlando Health--Hourly Wages
2. 2016	American Society of Clinical Pathologists--Cost Reimbursement and Speaking Fees
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. The Florida Bar	January 28 to January 29, 2016	Orlando, Florida	Attend Business Law Section Meetings	Transportation, Parking, Meals
2. The Florida Bar	June 15, 2016	Orlando, Florida	Attend Business Law Section Meetings and Dinner	Meal
3. The Florida Bar	September 2 to September 5, 2016	Naples, Florida	Attend Business Law Section Retreat	Transportation, Lodging, Parking, Meals
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.)*

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.		

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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. Federated Prime Obligations Trust SH Money Market	A	Int./Div.	J	T					
2. Oppenheimer Global FD Class A Mutual Fund	A	Dividend	M	T					
3. Oppenheimer Main Street Select Class A Mutual Fund	E	Dividend	M	T					
4. T Rowe Price Global Technology Mutual Fund	D	Dividend	L	T					
5. T Rowe Price International Stock Mutual Fund	B	Dividend	L	T					
6. Vanguard Dividend Growth Mutual Fund	E	Dividend	N	T					
7. Vanguard Global Equity Mutual Fund	C	Dividend	L	T					
8. MetLife Stable Value Symbol GAGI	C	Interest	K	T					
9. Valic Fixed Account Plus fixed income annuity	A	Int./Div.	K	T					
10. Principal Global Investors Large Cap S&P 500 Index R5 Fund	C	Dividend	K	T					
11. Principal Global Investors Small Cap S&P 600 Index R5 Fund	D	Dividend	L	T					
12. Capital Research and Mgmt. Co. Am Feds New Persp R3 Fund	A	Dividend	K	T					
13. American Funds Target Date Rtm 2020 R6 Fund	D	Dividend	M	T					
14. Country Life Insurance Company Life Policy single premium whole life	A	Dividend	J	T					
15. SunTrust Bank Account	A	Interest	N	T					
16. McCoy Federal Credit Union	A	Interest	K	T					
17. MetLife Stable Value Symbol GAGJ	A	Interest	J	T					

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)

18. West Asset Management U.S. Government Portfolio	A	Int./Div.	J	T					
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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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII. Line 13, the Principal Lifetime 2020 Fund now goes by the name American Funds Target Date Rtm 2020 R6 Fund.

Part VII. Line 8. On my 2015 report I listed MetLife Stable Value Symbol GAGI and on my 2016 report I listed Fidelity 403B. This is my wife's retirement asset through her employer, Orlando Health. The "Plan Details" for the Orlando Health 403B Retirement Savings Plan shows "Fidelity Investments" in the top right corner and the plan says it is "powered by" Fidelity Investments which is where I got that reference. But, the investment option within the plan which my wife chose is MetLife Stable Value which is a bond fund. Therefore, I have amended Line 8, consistent with the 2015 report because, while Fidelity has some role in the Orlando Health plan, my wife's investment is in the MetLife Stable Value fund.

Part VII. Line 17. On my 2015 report I listed MetLife Stable Value Symbol GAGJ and on my 2016 report I listed MetLife Universal Annuity. This is another of my wife's retirement vehicles through Orlando Health and again, I was in error. The investment was correctly listed as MetLife Stable Value Symbol GAGJ on the 2015 report and I have amended this report accordingly.

Part VII. Line 19. My 2016 report lists Brighthouse Financial Universal Annuity which was not on my 2015 report. Once again, this is my wife's investment. Between the filing of my 2015 and 2016 reports, the name changed from MetLife to Brighthouse Financial. But, the servicing agent (Voya Financial Advisors) and account number remained the same. The investment which is 1005 in the West Asset Management U.S. Government Portfolio also remained the same. Accordingly, I have deleted line 19 because the actual investment already appears at line 18. According to the statement, the plan type is "Tax Sheltered Annuity" and the product type is "Universal Annuity." According to the prospectus, it is a "variable" annuity.

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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/ **Thomas B. 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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