

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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, LISA M.	2. Court or Organization U.S.DISTRICT COURT, SDNY	3. Date of Report 06/13/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. MAGISTRATE JUDGE FULL TIME	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address UNITED STATES COURTHOUSE 300 QUARROPAS STREET WHITE PLAINS, NY 10601		
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.	Custodian	On behalf of minor child #1's Stifel Nicolaus Investment Account
2.	Custodian	On behalf of minor child #2's Stifel Nicolaus Investment Account
3.	Custodian	On behalf of minor child #2's New York's College Savings Program
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

SMITH, LISA M.

Date of Report

06/13/2018

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. 2017	Pace University School of Law - Teaching	\$12,235.04
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. 2017	Wages from Ridgefield Hardware Co., Ridgefield, CT
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 11

Name of Person Reporting

SMITH, LISA M.

Date of Report

06/13/2018

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

SMITH, LISA M.

Date of Report

06/13/2018

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. Chase Cash accounts		None	J	T					
2. TD Bank		None	K	T	Open	10/02/17	J		
3. Fidelity NY Municipal Money Market Fund	A	Dividend	J	T					
4. Fidelity IRA (Puritan Fund)	A	Dividend	K	T					
5. Fidelity IRA (Fidelity Fund)	A	Dividend	J	T					
6. Fidelity IRA (Cash Reserves)	A	Dividend	J	T					
7. Webster Bank, Wilton CT -- Checking Account		None	K	T					
8. Fidelity Growth and Income Fund	A	Dividend	J	T					
9. Fidelity Dividend Growth Fund	A	Dividend	K	T					
10. HSBC IRA (T. Rowe Price Dividend Growth Fund)	A	Dividend	K	T					
11. HSBC, White Plains, NY		None	J	T					
12. Cisco Systems Common Stock	A	Dividend	J	T					
13. Century Link Communications Common Stock	A	Dividend	J	T					
14. Walt Disney Common Stock	A	Dividend	J	T					
15. Municipal Assistance Corp. For City of Troy, N.Y. Bonds		None			Matured	01/17/17	K		
16. Long Island Power Auth. Bonds		None	J	T					
17. Stifel Nicolaus IRA money market	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 = \$250,000.01 - \$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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

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	(1) Amount Code I (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. Stifel Nicolaus investment account money market	A	Interest	J	T					
19. Stifel Nicolaus Custodial Acc't for minor child #1 (cash account)	A	Interest	K	T					
20. Stifel Nicolaus Custodial Acc't for minor child #2 (cash account)	A	Interest	J	T					
21. General Electric common stock	A	Dividend	J	T					
22. Citigroup common stock	A	Dividend	J	T					
23. Pfizer common stock	A	Dividend			Sold	11/14/17	J		
24. Fidelity Unique Coll. Inv. Plan 2018		None			Sold	07/11/17	J	B	
25. NY College Savgs Prgrm A/C Mod Age Based Option:Mod Growth		None			Sold	07/11/17	J	B	
26. Capital One Financial Corp Common Stock	A	Dividend	J	T					
27. Freeport McMoran Copper & Gold, Inc. Common Stock		None	J	T					
28. Invesco Intermediate Term Muni Income Fund Class Y	A	Dividend	K	T	Buy (add'l)	01/20/17	J		Stifel Inv't a/c
29. Invesco Intermediate Term Muni Income Fund Class Y	A	Dividend	K	T	Sold (part)	07/21/17	J	A	Stifel Inv't a/c
30. Artisan Funds Mid Cap Value -- Investor Class	A	Dividend	J	T	Sold (part)	01/20/17	J	A	Stifel Inv't a/c
31. Artisan Funds Mid Cap Value-- Advisor Class	A	Dividend	J	T	Sold (part)	07/21/17	J	A	Stifel Inv't a/c
32. Blackrock Equity Dividend Fund	A	Dividend	J	T	Buy (add'l)	01/20/17	J		Stifel Inv't a/c
33. Blackrock Equity Dividend Fund	A	Dividend	J	T	Sold (part)	07/21/17	J		Stifel Inv't a/c
34. Columbia Contrarian Core	A	Dividend	J	T	Buy (add'l)	10/20/17	J		Stifel Inv't a/c

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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FINANCIAL DISCLOSURE REPORT

Page 6 of 11

Name of Person Reporting

SMITH, LISA M.

Date of Report

06/13/2018

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	(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. Columbia Contrarian Core	A	Dividend	J	T	Sold (part)	01/20/17	J	A	Stifel Inv't a/c
36. American Beacon International Equity	A	Dividend	J	T	Sold (part)	01/20/17	J	A	Stifel Inv't a/c
37. Fidelity Advisor New Insights Instl Cl		None	J	T	Sold (part)	01/20/17	J	A	Stifel Inv't a/c
38. Fidelity Advisor New Insights Instl Cl		None	J	T	Buy (add'l)	07/21/17	J		Stifel Inv't a/c
39. Janus Henderson International Oppty	A	Dividend	J	T	Buy (add'l)	07/21/17	J		Stifel Inv't a/c
40. Janus Henderson International Oppty	A	Dividend	J	T	Sold (part)	07/14/17	J	A	Stifel Inv't a/c
41. Nationwide Geneva Mid Cap Gr Instl Svc Class		None	J	T	Buy (add'l)	01/20/17	J		Stifel Inv't a/c
42. MFS Intl Growth	A	Dividend	J	T	Buy (add'l)	01/20/17	J		Stifel Inv't a/c
43. MFS Intl Growth	A	Dividend	J	T	Sold (part)	07/14/17	J	A	Stifel Inv't a/c
44. Oppenheimer Developing Markets Cl Y	A	Dividend	J	T	Buy (add'l)	01/20/17	J		Stifel Inv't a/c
45. Oppenheimer Developing Markets Cl Y	A	Dividend	J	T	Buy (add'l)	07/21/17	J		Stifel Inv't a/c
46. Oppenheimer Developing Markets Cl Y	A	Dividend	J	T	Buy (add'l)	10/20/17	J		Stifel Inv't a/c
47. Oak Ridge Small Cap Growth Fund		None			Sold	01/20/17	J	A	Stifel Inv't a/c
48. Pimco High Yield	A	Dividend			Buy (add'l)	01/20/17	J		Stifel Inv't a/c
49. Pimco High Yield	A	Dividend			Sold	10/20/17	J	A	Stifel Inv't a/c
50. Wells Fargo Small Cap Value	A	Dividend	J	T	Sold (part)	01/20/17	J	A	Stifel Inv't a/c
51. Wells Fargo Small Cap Value	A	Dividend	J	T	Sold (part)	07/21/17	J	A	Stifel Inv't a/c

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
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FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person Reporting

SMITH, LISA M.

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52. Meridian Small Cap Growth		None	J	T	Buy	01/20/17	J		Stifel Inv't a/c
53. Meridian Small Cap Growth		None	J	T	Sold (part)	07/21/17	J	A	Stifel Inv't a/c
54. Thornburg Ltd Term Muni	A	Dividend	J	T	Buy	07/21/17	J		Stifel Inv't a/c
55. American Beacon International Equity	A	Dividend	J	T	Sold (part)	01/20/17	J	A	Part of Stifel IRA
56. American Beacon International Equity	A	Dividend	J	T	Sold (part)	10/20/17	J	A	Part of Stifel IRA
57. Artisan Funds Mid Cap Value -- Advisor Class	A	Dividend	J	T	Sold (part)	01/20/17	J	A	Part of Stifel IRA
58. Artisan Funds Mid Cap Value -- Investor Class	A	Dividend	J	T	Buy (add'l)	10/20/17	J		Part of Stifel IRA
59. Blackrock Equity Dividend Fund	A	Dividend	J	T	Sold (part)	01/20/17	J	A	Part of Stifel IRA
60. Blackrock Equity Dividend Fund	A	Dividend	J	T	Sold (part)	07/21/17	J	A	Part of Stifel IRA
61. Blackrock Equity Dividend Fund	A	Dividend	J	T	Sold (part)	10/20/17	J	A	Part of Stifel IRA
62. Columbia Contrarian Core Fund Class Z	A	Dividend	J	T	Sold (part)	01/20/17	J	A	Part of Stifel IRA
63. Columbia Contrarian Core Fund Class Z	A	Dividend	J	T	Buy (add'l)	10/20/17	J		Part of Stifel IRA
64. Fidelity Advisor New Insight Mutual Fund Institutional Class	A	Dividend	J	T	Buy (add'l)	01/20/17	J		Part of Stifel IRA
65. Fidelity Advisor New Insight Mutual Fund Institutional Class	A	Dividend	J	T	Buy (add'l)	07/21/17	J		Part of Stifel IRA
66. Fidelity Advisor New Insight Mutual Fund Institutional Class	A	Dividend	J	T	Sold (part)	10/20/17	J	A	Part of Stifel IRA
67. Oppenheimer Developing Markets Class Y	A	Dividend	J	T	Buy (add'l)	01/20/17	J		Part of Stifel IRA
68. Oppenheimer Developing Markets Class Y	A	Dividend	J	T	Buy (add'l)	07/21/17	J		Part of Stifel IRA

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FINANCIAL DISCLOSURE REPORT

Page 8 of 11

Name of Person Reporting

SMITH, LISA M.

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69. Oppenheimer Developing Markets Class Y	A	Dividend	J	T	Buy (add'l)	10/20/17	J		Part of Stifel IRA
70. Harbor Fund Bond Fund	A	Dividend	J	T	Sold (part)	10/20/17	J		Part of Stifel IRA
71. Janus Henderson International Oppty	A	Dividend	J	T	Sold (part)	01/20/17	J		Part of Stifel IRA
72. Janus Henderson International Oppty	A	Dividend	J	T	Buy	07/21/17	J		Part of Stifel IRA
73. Janus Henderson International Oppty	A	Dividend	J	T	Buy	10/20/17	J		Part of Stifel IRA
74. Meridian Sm Cap Gr Investor Class	A	Distribution	J	T	Buy	01/20/17	J		Part of Stifel IRA
75. Nationwide Mutual New Geneva Mid Cap Growth Instl Svc Class	A	Distribution	J	T	Buy	01/20/17	J		Part of Stifel IRA
76. Nationwide Mutual New Geneva Mid Cap Growth Instl Svc Class	A	Distribution	J	T	Sold (part)	10/20/17	J	A	Part of Stifel IRA
77. MFS Intl Growth Fd C1 I	A	Dividend	J	T	Sold (part)	01/20/17	J	A	Part of Stifel IRA
78. MFS Intl Growth Fd C1 I	A	Dividend	J	T	Sold (part)	10/20/17	J	A	Part of Stifel IRA
79. Pimco Fds Hi Yld C1 P	A	Dividend			Buy	01/20/17	J		Part of Stifel IRA
80. Pimco Fds Hi Yld C1 P	A	Dividend			Sold	10/20/17	J	A	Part of Stifel IRA
81. Oak Ridge Small Cap Growth Fund Class Y		None			Sold	01/20/17	J		Part of Stifel IRA
82. Wells Fargo Govt Securities Admin Class	A	Dividend	J	T	Buy (add'l)	01/20/17	J		Part of Stifel IRA
83. Wells Fargo Govt Securities Admin Class	A	Dividend	J	T	Buy (add'l)	10/20/17	J		Part of Stifel IRA
84. Wells Fargo Special Small Cap Value	A	Dividend	J	T	Sold (part)	01/20/17	J	A	Part of Stifel IRA
85. Wells Fargo Special Small Cap Value	A	Dividend	J	T	Sold (part)	07/21/17	J	A	Part of Stifel IRA

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FINANCIAL DISCLOSURE REPORT

Page 9 of 11

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86. Wells Fargo Special Small Cap Value	A	Dividend	J	T	Sold (part)	10/20/17	J	A	Part of Stifel IRA
87. Inherited IRA									Stifel Inherited IRA
88. -- Stifel Insured Bank Program	A	Interest	J	T					Stifel Inherited IRA
89. -- Verizon (VZ)	A	Dividend	J	T	Buy (add'l)	11/15/17	J		Stifel Inherited IRA
90. -- Franklin Income Fund, Class C (FCISX)	A	Dividend			Sold	11/14/17	J	A	Stifel Inherited IRA
91. -- John Hancock Income Fund, Cl A (JHFIX)	A	Dividend			Sold	01/11/17	J		Stifel Inherited IRA
92. -- Ishares S&P Mid Cap 400 Growth ETF (IJK)	A	Dividend	J	T	Buy	01/12/17	J		Stifel Inherited IRA
93. -- Ishares S&P Small Cap 600 Growth ETF (IJT)	A	Dividend	J	T	Buy	01/12/17	J		Stifel Inherited IRA
94. Stifel Individual Brokerage Acct									Stifel Individual Account
95. -- Stifel Insured Bank Program	A	Interest	J	T					Stifel Individual Account
96. -- Franklin NY Tax Free Income, Cl A (FNYTX)	A	Dividend	K	T	Sold (part)	01/11/17	K		Stifel Individual Account
97. -- Franklin NY Tax Free Income, Cl A (FNYTX)	A	Dividend	K	T	Sold (part)	11/14/17	K		Stifel Individual Account
98. -- Lord Abbett Value Opptys Fund, Class C	A	Distribution	K	T	Buy	01/12/17	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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

SMITH, LISA M.

Date of Report

06/13/2018

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

1. Rows 39-40, 71-73: Henderson International Oppty Class I became Janus Henderson International Class I and existing Henderson shares were exchanged for new Janus Henderson shares.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

SMITH, LISA M.

Date of Report

06/13/2018

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/ LISA M. 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