

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                          |                                                                |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Smith, Thomas B.                                                                                                                                            | <b>2. Court or Organization</b><br><br>District Court--Middle District of Florida                                                                                                                                                                                                        | <b>3. Date of Report</b><br><br>05/15/2012                     |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>MJ--Full Time                                                                                        | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>1/1/2011<br>to<br>12/31/2011 |
| <b>7. Chambers or Office Address</b><br><br>United States Courthouse<br>207 NW 2nd Street<br>Ocala, Florida 34475                                                                                                                |                                                                                                                                                                                                                                                                                          |                                                                |
| <p><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the <b>NONE</b> box for each part where you have no reportable information. Insert signature on last page.</p> |                                                                                                                                                                                                                                                                                          |                                                                |

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

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

|                  |                                          |
|------------------|------------------------------------------|
| 1. Circuit Judge | State of Florida--Constitutional Officer |
| 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. 2011 | State of Florida Employee Pension Plan--No Control |
| 2.      |                                                    |
| 3.      |                                                    |

**FINANCIAL DISCLOSURE REPORT**

Page 2 of 7

Name of Person Reporting

Smith, Thomas B.

Date of Report

05/15/2012

**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><br>(yours, not spouse's) |
|-------------|---------------------------|----------------------------------------|
| 1. 2011     | State of Florida--Salary  | \$77,535.31                            |
| 2. 2011     | State of Florida--Pension | \$17,905.55                            |
| 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. 2011     | Lake Highland Preparatory School--Salary                                        |
| 2. 2011     | Orlando Regional Health Care System--Hourly Wages                               |
| 3. 2011     | American Society of Clinical Pathologists--Cost Reimbursement and Speaking Fees |
| 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--Business Law Section  | 9/1/2011--9/5/2011     | Naples, FL         | Attend annual Business Law Section Retreat        | Transportation, meals, hotel  |
| 2. Administrative Office of the US Courts | 9/21/2011--9/23/2011   | Sarasota, FL       | Attend annual Judges Meeting                      | Transportation, meals, hotel  |
| 3. Administrative Office of the US Courts | 10/23/2011--10/28/2011 | Washington, DC     | Attend Judicial Education                         | Transportation, meals, hotel  |
| 4. Administrative Office of the US Courts | 8/21/2011--8/26/2011   | San Antonio, TX    | Attend Judicial Education                         | Transportation, meals, hotel  |
| 5. The Sedona Conference                  | 4/28/2011--4/29/2011   | Ft. Lauderdale, FL | Attend meeting of Sedona Conference working group | Transportation, meals, hotel  |

**FINANCIAL DISCLOSURE REPORT**

Page 3 of 7

Name of Person Reporting

Smith, Thomas B.

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05/15/2012

**V. GIFTS.** *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

# FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Smith, Thomas B.

Date of Report

05/15/2012

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Rental Property #1, Orlando, Florida 2010 \$200,000                                                                      | D                                       | Rent                                          | M                                               | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. General Electric Company Common Stock                                                                                    | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. Federated Prime Obligations Trust SH Money Market                                                                        | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. Oppenheimer Main Street Select Class A Mutual Fund                                                                       | B                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. Oppenheimer Main Street Select Class A Mutual Fund                                                                       | A                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. T Rowe Price Global Technology Mutual Fund                                                                               | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. T Rowe Price International Stock Mutual Fund                                                                             | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. Vanguard Dividend Growth Mutual Fund                                                                                     | D                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. Vanguard Global Equity Fund                                                                                              | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. MetLife Stable Value Plus Account                                                                                       | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. Valic Fixed Account Plus                                                                                                | A                                       | Int./Div.                                     | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. Principal Global Investors Large Cap S&P 500 Index R5 Fund                                                              | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. Principal Global Investors Small Cap S&P 600 Index R5 Fund                                                              | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. Capital Research and Mgmt. Co. Am Fds New Persp R3 Fund                                                                 | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. Principal LifeTime 2020 R5 Fund                                                                                         | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 16. Country Life Insurance Company Life Policy                                                                              | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. SunTrust Bank Account                                                                                                   | A                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                       |                                                               |                                                                                   |                                                                                          |                                                              |                         |
|-----------------------|---------------------------------------------------------------|-----------------------------------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes: | A = \$1,000 or less<br>(See Columns B1 and D4)                | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000                              | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes        | F = \$50,001 - \$100,000<br>(See Columns C1 and D3)           | J = \$15,001 - \$50,000<br>K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes | N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | Q = Appraisal<br>(See Column C2)                                                  | R = Cost (Real Estate Only)<br>V = Other                                                 | S = Assessment<br>W = Estimated                              | T = Cash Market         |

# FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

Smith, Thomas B.

Date of Report

05/15/2012

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☐ NONE (No reportable income, assets, or transactions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code I<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                    |   |          |   |   |  |  |  |  |  |
|----------------------------------------------------|---|----------|---|---|--|--|--|--|--|
| 18. Central Florida Educators Federal Credit Union | A | Interest | J | T |  |  |  |  |  |
| 19. McCoy Federal Credit Union                     | A | Interest | J | T |  |  |  |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

Page 6 of 7

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Date of Report

05/15/2012

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

Estate Number 1 which appeared on my last report been probated and closed. Liabilities were paid and all assets have been distributed.

In preparing this report, I discovered I had reported an incorrect amount of income for my service as a Florida state court circuit judge in 2011.

In preparing this report, I realized that I had inadvertently omitted from Part VII, an account at McCoy Federal Savings & Loan Association and the Vanguard GLobal Equity Fund both of which appear on this report.

# FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Smith, Thomas B.

Date of Report

05/15/2012

## 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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Washington, D.C. 20544