

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) SmithJr, Milan D.	2. Court or Organization Ninth Circuit	3. Date of Report 05/01/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge-Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address United States Court of Appeals Suite 2325, 222 N Sepulveda Bl El Segundo, California 90245		
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.	Director	Western Justice Center
2.	Director	Ninth Judicial Circuit Historical Society
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2013	Self-employed, attorney
2. 2013	Gogian Foundation-Trustee
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. Cardozo School of Law/BMI	03/02/2013 to 03/03/2013	New York, NY	Judge BMI/Cardozo Moot Court Finals	Transportation, Food, Hotel
2. Santa Clara School of Law	04/04/2013 to 04/05/2013	Santa Clara, CA	Judge Moot Court Final Competition	Transportation, Food, Hotel
3. Utah Chapter of Federal Bar Association	09/20/2013 to 09/21/2013	Park City, UT	Give Keynote speech to Tri-State Seminar of Federal Bar Association	Transportation, Food, Hotel
4. American Academy of Appellate Lawyers	10/04/2013 to 10/05/2013	San Diego, CA	Participate in panel of judges addressing Fall meeting of AAAL	Transportation, Food, Hotel
5.				

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

☒ NONE *(No reportable gi[fts].)*

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. General Electric Co.	B	Dividend	L	T	Sold (part)	07/24/13	J	B	
2.					Buy (add'l)	09/24/13	K		
3.					Buy (add'l)	10/25/13	J		
4. Coca-Cola Company		None			Sold	07/24/13	J	A	
5. Intuitive Surgical Inc.	C	Distribution	K	T	Sold (part)	07/16/13	J	C	
6. Kinder Morgan energy Partners LP Unit Ltd Partnership	C	Distribution	L	T	Sold (part)	05/03/13	J	A	
7.					Sold (part)	07/24/13	J	C	
8. American Tower Corp CL A	A	Dividend	K	T	Sold (part)	05/02/13	J	B	
9.					Sold (part)	07/24/13	J	B	
10. Devon Energy Corp New	A	Dividend	K	T	Buy (add'l)	02/07/13	J		
11.					Sold (part)	02/07/13	J	A	
12.					Sold (part)	07/24/13	J	A	
13. Pepsico Incorporated	B	Dividend	K	T	Sold (part)	05/01/13	J	A	
14.					Sold (part)	07/24/13	J	B	
15. Canadian Natl Ry Co.	A	Dividend	K	T	Sold (part)	07/24/13	J	C	
16. Aetna Life Policy MetLife	A	Dividend	J	T					
17. Quanta SVCS Inc		None	K	T					

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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☐ 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 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. Dow Chemical Company 5.3000 3/15/13	A	Interest			Sold	03/15/13	J	A	
19. Goldman Sachs 5.250 10/15/13	A	Interest			Sold	10/15/13	J	A	
20. New York Tel Co. 7.000 6/15/13	A	Interest			Sold	06/15/13	J	A	
21. Oneok Inc New	B	Dividend	K	T	Sold (part)	08/16/13	J	B	
22. Century Tel., Inc. Cpn 5.000% Due 2/15/15	A	Interest	J	T					
23. Dean Witter Discover Odd Cpn Med Term Notes 7.07% 2/10/14	A	Interest	J	T					
24. Boeing Co. Global Notes Cpn 5.125% Due 2/15/13	A	Interest			Sold	02/15/13	J	A	
25. Marriott Int Inc Class A		None			Sold	07/24/13	J	A	
26. Money Mkt Oblig Trust Auto Cash Mgmt	A	Dividend	N	T					
27. American Capital Agency Corp	D	Dividend	K	T	Buy (add'l)	02/07/13	J		
28.					Buy (add'l)	10/15/13	J		
29.					Sold (part)	05/28/13	J	A	
30.					Sold (part)	06/25/13	J	A	
31.					Sold (part)	06/28/13	J	A	
32.					Sold (part)	07/08/13	K	D	
33. Williams Partners LP Com Unit Ltd Part Int	C	Distribution	K	T	Buy (add'l)	05/01/13	J		
34.					Sold (part)	05/01/13	J	A	

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	
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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. Ishares Trust Barclays 1-3 Yr. Treasury Bd FD	B	Dividend	N	T	Buy (add'l)	07/24/13	M		
36.					Buy (add'l)	08/15/13	M		
37.					Sold (part)	02/07/13	L	A	
38. Capstead Mtg Corp Com No Par	C	Dividend	K	T	Sold (part)	06/28/13	J	A	
39.					Sold (part)	07/19/13	J	A	
40.					Sold (part)	07/24/13	J	A	
41. MFA Mortgage Investments Inc. (MFA Financial Inc)	D	Dividend	K	T	Buy (add'l)	11/18/13	J		
42.					Sold (part)	07/12/13	J	A	
43.					Sold (part)	07/24/13	J	A	
44. Hatteras Financial Corp	C	Dividend			Sold (part)	05/28/13	J	A	
45.					Sold (part)	06/28/13	J	A	
46.					Sold (part)	07/16/13	J	A	
47.					Sold	07/24/13	K	A	
48. Putnam Managed Municipal Income Trust-SBI	A	Dividend	J	T	Sold (part)	02/06/13	J	A	
49. Putnam Municipal Opportunities Trust-SBI	B	Dividend	K	T	Buy (add'l)	05/01/13	J		
50.					Buy (add'l)	10/15/13	J		
51.					Sold (part)	01/04/13	K	D	

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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	
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52. Ishares Trust Iboxx \$ Investop Investment Grade Bond Fund	D	Dividend	M	T	Buy (add'l)	11/18/13	K		
53.					Sold (part)	02/26/13	J	A	
54.					Sold (part)	04/11/13	J	A	
55.					Sold (part)	05/01/13	J	A	
56.					Sold (part)	06/28/13	K	C	
57.					Sold (part)	07/02/13	J	A	
58.					Sold (part)	07/31/13	J	A	
59.					Sold (part)	08/16/13	J	A	
60. Ishares Barclays Intermediate Credit Bond Fund	D	Dividend	N	T	Buy (add'l)	02/07/13	J		
61.					Buy (add'l)	06/25/13	J		
62.					Buy (add'l)	11/18/13	J		
63.					Sold (part)	02/07/13	J	A	
64.					Sold (part)	05/02/13	J	A	
65.					Sold (part)	11/22/13	J	A	
66. Ishares Barclays MBS Bond Fund ETF	A	Dividend	K	T	Sold (part)	02/07/13	K	A	
67.					Sold (part)	05/01/13	J	A	
68.					Sold (part)	06/28/13	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	
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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69.					Sold (part)	08/16/13	J	A	
70. Ishares Barclays 1-3 YR Credit Bond Fund ETF	B	Dividend	N	T	Buy (add'l)	08/15/13	K		
71.					Sold (part)	02/07/13	J	A	
72. Annaly Capital Management Inc.	D	Dividend			Buy (add'l)	02/07/13	K		
73.					Sold (part)	06/28/13	K	A	
74.					Sold	07/24/13	J	A	
75. Linn Energy LLC	C	Distribution	K	T	Sold (part)	07/02/13	J	A	
76.					Sold (part)	07/12/13	J	A	
77. Copano Energy LLC	B	Distribution			Merged (with line 6)	05/02/13	J		
78. Ishares Trust Barclays Credit Bond Fund ETF	D	Dividend	M	T	Buy (add'l)	02/07/13	K		
79.					Buy (add'l)	06/25/13	J		
80.					Sold (part)	02/07/13	K	A	
81.					Sold (part)	02/26/13	J	A	
82.					Sold (part)	05/01/13	J	A	
83.					Sold (part)	06/28/13	K	A	
84.					Sold (part)	07/12/13	J	A	
85.					Sold (part)	11/18/13	K	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)	11/22/13	J	A	
87.					Sold (part)	12/06/13	J	A	
88. Ameren Corp	B	Dividend	L	T	Sold (part)	03/22/13	J	A	
89. Cenovus Energy Inc	A	Dividend	K	T	Sold (part)	05/01/13	J	A	
90.					Sold (part)	07/27/13	J	A	
91. Abbott Laboratories	A	Dividend	K	T	Buy (add'l)	02/07/13	K		
92.					Sold (part)	07/24/13	J	A	
93. Enterprise Products Partners LP	C	Distribution	L	T	Sold (part)	02/07/13	J	A	
94.					Sold (part)	04/11/13	J	A	
95.					Sold (part)	05/02/13	J	A	
96.					Sold (part)	06/28/13	J	A	
97.					Sold (part)	07/24/13	J	A	
98. Blackrock Income Trust Inc	D	Dividend	L	T	Sold (part)	02/07/13	J	A	
99.					Sold (part)	02/26/13	K	B	
100.					Sold (part)	03/05/13	J	A	
101.					Sold (part)	04/11/13	J	A	
102.					Sold (part)	05/01/13	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
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103.					Sold (part)	05/28/13	J	A	
104.					Sold (part)	06/28/13	J	A	
105.					Sold (part)	07/03/13	J	A	
106.					Sold (part)	07/24/13	K	A	
107. Gabelli Dividend & Income Fund	D	Dividend	M	T	Buy (add'l)	02/07/13	J		
108.					Buy (add'l)	06/25/13	J		
109.					Sold (part)	07/12/13	J	A	
110.					Sold (part)	07/24/13	J	C	
111.					Sold (part)	07/31/13	J	A	
112.					Sold (part)	11/22/13	J	A	
113. Ishares Trust Barclays 1-3 Yr Credit Bond Fund ETF	B	Dividend	M	T	Buy (add'l)	02/26/13	J		
114.					Buy (add'l)	08/16/13	K		
115.					Sold (part)	03/25/13	J	A	
116.					Sold (part)	06/25/13	J	A	
117.					Sold (part)	10/25/13	J	A	
118.					Sold (part)	11/22/13	J	A	
119. H J Heinz Co	A	Dividend			Sold (part)	02/26/13	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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Smith, Jr., Milan D.

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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)
120.					Sold (part)	03/20/13	J	A	
121.					Sold (part)	04/11/13	J	A	
122.					Sold (part)	05/21/13	J	A	
123.					Sold	06/10/13	K	D	
124. Eli Lilly & Co	B	Dividend	K	T	Buy (add'l)	05/28/13	J		
125.					Buy (add'l)	06/25/13	J		
126.					Sold (part)	03/25/13	J	A	
127. Statoil Asa Sponsored ADR	B	Dividend	K	T	Buy (add'l)	04/11/13	J		
128.					Buy (add'l)	05/21/13	J		
129.					Buy (add'l)	05/28/13	J		
130.					Buy (add'l)	07/12/13	J		
131.					Sold (part)	09/24/13	J	A	
132.					Sold (part)	10/25/13	J	A	
133. Windstream Corp	C	Dividend	K	T	Buy (add'l)	02/20/13	J		
134.					Sold (part)	02/07/13	J	A	
135.					Sold (part)	06/28/13	J	A	
136.					Sold (part)	07/24/13	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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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)
137. Schwab CA Muni Money Fund Cash Money Market Fund		None	J	T					
138. Western Asset Emerging Mkts Income Fd Inc	C	Dividend	K	T	Sold (part)	01/18/13	J	B	
139.					Sold (part)	02/07/13	J	A	
140.					Sold (part)	02/26/13	J	A	
141.					Sold (part)	02/14/13	J	A	
142.					Sold (part)	02/26/13	J	A	
143.					Sold (part)	03/25/13	J	A	
144.					Sold (part)	05/01/13	K	C	
145.					Sold (part)	05/28/13	J	A	
146.					Sold (part)	07/12/13	J	A	
147.					Sold (part)	07/24/13	J	A	
148. RBC Prime Money Market Cash Reserve	A	Dividend	L	T					
149. H & Q Healthcare Investors SBI	B	Dividend	K	T	Sold (part)	01/30/13	J	B	
150.					Sold (part)	02/06/13	J	C	
151.					Sold (part)	02/26/13	J	B	
152.					Sold (part)	04/30/13	J	D	
153.					Sold (part)	05/28/13	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 P1 = \$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.					Sold (part)	07/02/13	J	C	
155.					Sold (part)	07/12/13	J	B	
156. Ishares TR 2013 S&P AMT Free Municipal Ser FD	A	Dividend			Sold	08/21/13	K	A	
157. Ishares TR 2014 S&P AMT Free Municipal Ser FD	A	Dividend	K	T					
158. Managed Duration Invt Grade Mun FD	A	Dividend	J	T					
159. Ishares TR S&P Short Term Natl Amtfr	A	Dividend	J	T					
160. Textron Inc	A	Dividend	K	T	Buy (add'l)	05/01/13	J		
161. Vanguard Scottsdale Funds Vanguard Short Term Corp Bond ETF	D	Dividend	N	T	Buy (add'l)	02/07/13	K		
162.					Buy (add'l)	04/11/13	J		
163.					Sold (part)	05/02/13	K	A	
164.					Sold (part)	07/24/13	K	A	
165. BlackRock Credit Allocation	D	Dividend	M	T	Buy (add'l)	02/07/13	J		
166.					Buy (add'l)	02/26/13	J		
167.					Buy (add'l)	06/25/13	J		
168.					Buy (add'l)	10/25/13	J		
169.					Sold (part)	02/07/13	J	A	
170.					Sold (part)	02/26/13	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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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.					Sold (part)	07/12/13	J	A	
172.					Sold (part)	07/24/13	J	A	
173.					Sold (part)	07/31/13	J	A	
174. Ishares Trust S&P Global Info Technology Sector Index Fund	B	Dividend	M	T	Buy (add'l)	02/07/13	J		
175.					Buy (add'l)	03/05/13	K		
176.					Buy (add'l)	05/21/13	J		
177.					Buy (add'l)	05/28/13	J		
178.					Sold (part)	06/25/13	J	A	
179. Calamos Global Dynamic Income Fund	D	Dividend	L	T	Buy (add'l)	02/07/13	J		
180.					Buy (add'l)	02/12/13	J		
181.					Buy (add'l)	04/11/13	J		
182.					Sold (part)	06/25/13	J	A	
183.					Sold (part)	07/24/13	J	A	
184.					Sold (part)	07/31/13	J	A	
185. Corning Inc	A	Dividend	K	T	Buy	09/11/13	J		
186.					Buy (add'l)	09/24/13	J		
187.					Buy (add'l)	11/18/13	J		

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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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. Templeton Global Bond Fund Advisor CL	C	Dividend	M	T					
189. AES Corp	A	Dividend	K	T	Buy (add'l)	02/19/13	J		
190.					Buy (add'l)	11/12/13	J		
191.					Sold (part)	06/28/13	J	A	
192. Koninklijke Philips Electrs N V Sponsored ADR New 2000	B	Dividend	L	T	Buy (add'l)	04/11/13	J		
193.					Buy (add'l)	05/21/13	J		
194.					Sold (part)	02/07/13	J	C	
195.					Sold (part)	06/25/13	J	A	
196.					Sold (part)	07/24/13	J	C	
197.					Sold (part)	07/30/13	J	A	
198.					Sold (part)	08/16/13	J	A	
199.					Sold (part)	10/25/13	J	A	
200. Columbia Fds Ser TR IX Tax Exempt FD CL A	B	Dividend	K	T	Buy (add'l)	05/01/13	J		
201.					Sold (part)	07/24/13	J	A	
202. Ishares TR 2015 S&P AMT Free Municipal Ser Fd	A	Dividend	K	T					
203. Ishares TR 2016 S&P AMT Free Municipal Ser Fd	A	Dividend	K	T					
204. Ishares TR 2017 S&P AMT Free Municipal Ser Fd	A	Dividend	K	T					

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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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. Gabelli Healthcare & Wellness Trust	B	Dividend	L	T	Sold (part)	05/28/13	J	A	
206.					Sold (part)	07/03/13	J	A	
207.					Sold (part)	07/09/13	J	A	
208. BlackRock Strategic Equity Dividend Trust	A	Dividend	J	T	Buy (add'l)	02/07/13	J		
209.					Buy (add'l)	04/11/13	J		
210.					Buy (add'l)	10/25/13	J		
211.					Sold (part)	06/25/13	J	A	
212. BlackRock Equity Dividend Trust	C	Dividend	L	T	Buy (add'l)	02/07/13	J		
213.					Buy (add'l)	02/26/13	J		
214.					Buy (add'l)	04/11/13	J		
215.					Buy (add'l)	10/25/13	J		
216.					Sold (part)	06/25/13	J	A	
217. Centerpoint Energy Inc.	A	Dividend	J	T	Buy (add'l)	02/07/13	J		
218.					Sold (part)	04/11/13	J	A	
219. American Electric Power Co Inc	A	Dividend	J	T	Buy (add'l)	10/02/13	J		
220.					Sold (part)	06/25/13	J	A	
221. Ishares TR Dow Jones EPAC Select Dividend	B	Dividend	K	T	Buy (add'l)	02/12/13	J		

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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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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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)
222. Public Service Enterprise Group Inc		None			Sold	02/07/13	J	A	
223. Targa Resources Partners LP Unit Ltd Partnership Int	A	Distribution	J	T	Sold (part)	02/07/13	J	A	
224.					Sold (part)	04/11/13	J	A	
225.					Sold (part)	06/25/13	J	A	
226.					Sold (part)	07/02/13	J	A	
227. Invesco Mortgage Capital Inc	B	Dividend			Buy (add'l)	04/11/13	J		
228.					Buy (add'l)	06/25/13	J		
229.					Sold	07/30/13	J	A	
230. Pimco ETF TR Enhanced Short Maturity	C	Dividend	N	T	Buy (add'l)	02/26/13	L		
231.					Buy (add'l)	05/02/13	M		
232.					Buy (add'l)	07/30/13	J		
233.					Buy (add'l)	07/31/13	L		
234.					Buy (add'l)	08/01/13	K		
235.					Sold (part)	02/07/13	J	A	
236.					Sold (part)	02/26/13	K	A	
237.					Sold (part)	04/11/13	K	A	
238.					Sold (part)	10/25/13	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	
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)

239.					Sold (part)	11/22/13	K	A	
240.					Sold (part)	12/19/13	K	A	
241.					Sold (part)	12/31/13	K	A	
242. Southern Co	A	Dividend	J	T	Buy (add'l)	02/26/13	J		
243.					Sold (part)	02/12/13	J	A	
244. ConocoPhillips		None			Buy	11/21/13	J		
245.					Sold	12/18/13	J	A	
246. Ishares TR Dow Jones SEL Divid Index FD	A	Dividend	K	T					
247. Apollo Residential Mortgage Inc	B	Dividend			Sold	07/31/13	J	A	
248. American Capital Mortgage Investment Corp	A	Dividend	J	T	Buy (add'l)	11/18/13	J		
249. FirstEnergy Corp	A	Dividend			Buy (add'l)	03/22/13	J		
250.					Buy (add'l)	05/28/13	J		
251.					Buy (add'l)	11/18/13	J		
252.					Sold (part)	03/22/13	J	A	
253.					Sold (part)	05/28/13	J	A	
254.					Sold (part)	07/12/13	J	A	
255.					Sold	11/18/13	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

Smith, Jr., Milan D.

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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)

256. Sempra Energy	A	Dividend	K	T	Buy (add'l)	06/25/13	J		
257. Anworth Mortgage Asset Corp	C	Dividend			Buy (add'l)	02/07/13	K		
258.					Buy (add'l)	05/01/13	J		
259.					Sold (part)	06/25/13	J	A	
260.					Sold (part)	06/28/13	J	A	
261.					Sold (part)	07/10/13	J	A	
262.					Sold (part)	07/11/13	J	A	
263.					Sold	07/24/13	K	A	
264. Western Asset/Claymore Inflation LKD Opp & Inc Fund	A	Dividend			Buy (add'l)	02/07/13	J		
265.					Buy (add'l)	04/11/13	J		
266.					Buy (add'l)	04/12/13	J		
267.					Sold (part)	07/30/13	J	A	
268.					Sold (part)	08/06/13	J	A	
269.					Sold (part)	08/16/13	J	A	
270.					Sold	08/27/13	J	A	
271. Ishares TR JPMorgan USD Emerging Markets BD FD ETF	D	Dividend			Buy (add'l)	02/07/13	K		
272.					Buy (add'l)	02/26/13	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	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

Smith, Jr., Milan D.

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05/01/2014

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)

273.					Buy (add'l)	04/11/13	J		
274.					Buy (add'l)	04/12/13	J		
275.					Sold (part)	07/02/13	J	A	
276.					Sold (part)	07/03/13	K	A	
277.					Sold (part)	07/11/13	L	A	
278.					Sold (part)	07/16/13	K	A	
279.					Sold (part)	07/24/13	K	A	
280.					Sold	07/30/13	J	A	
281. Frontier Communications Corp	D	Dividend	L	T	Buy (add'l)	02/07/13	J		
282.					Buy (add'l)	02/26/13	J		
283.					Buy (add'l)	04/11/13	J		
284.					Buy (add'l)	05/02/13	J		
285.					Buy (add'l)	05/21/13	J		
286.					Buy (add'l)	07/30/13	J		
287.					Buy (add'l)	10/25/13	J		
288.					Sold (part)	02/07/13	J	A	
289.					Sold (part)	04/11/13	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	
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)
290.					Sold (part)	05/21/13	J	A	
291.					Sold (part)	06/25/13	J	A	
292.					Sold (part)	07/12/13	J	A	
293.					Sold (part)	07/24/13	J	A	
294.					Sold (part)	07/30/13	J	A	
295.					Sold (part)	08/15/13	J	A	
296.					Sold (part)	11/22/13	J	A	
297. Eaton Vance Risk Managed Global Diversified Equity Income	B	Dividend	K	T	Buy (add'l)	02/12/13	J		
298.					Sold (part)	07/31/13	J	A	
299. Eaton Vance Tax Managed Global Diversified Equity Income	C	Dividend	K	T	Sold (part)	05/01/13	J	A	
300. EMC Corp-Mass	A	Dividend	K	T	Buy (add'l)	02/28/13	J		
301.					Buy (add'l)	11/20/13	K		
302.					Sold (part)	05/28/13	J	A	
303.					Sold (part)	11/18/13	K	A	
304. Hollyfrontier Corporation	A	Dividend	J	T	Buy (add'l)	05/28/13	J		
305.					Buy (add'l)	08/23/13	J		
306.					Sold (part)	02/12/13	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	
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

Smith, Jr., Milan D.

Date of Report

05/01/2014

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)
307.					Sold (part)	03/04/13	J	A	
308.					Sold (part)	04/04/13	J	B	
309.					Sold (part)	07/12/13	J	A	
310. Intel Corp	A	Dividend	K	T	Buy	02/26/13	J		
311.					Buy (add'l)	04/11/13	J		
312.					Buy (add'l)	09/11/13	J		
313.					Sold (part)	06/25/13	J	A	
314. Ford Motor Co.	A	Dividend	K	T	Buy	09/11/13	K		
315.					Sold (part)	10/25/13	J	B	
316. Companhia Energetica DE Minas Gerais		None			Buy	05/02/13	K		
317.					Sold	07/02/13	K	A	
318. Abbvie Inc. (Spinoff of Abbott Laboratories)	A	Dividend	K	T	Spinoff (from line 91)	01/02/13	J		
319.					Buy (add'l)	05/01/13	J		
320.					Sold (part)	02/07/13	J	A	
321. Merck & Co. Inc.	B	Dividend	L	T	Buy	02/07/13	K		
322.					Buy (add'l)	03/05/13	K		
323.					Sold (part)	02/07/13	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	
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

Smith, Jr., Milan D.

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05/01/2014

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)

324. Air Lease Corporation	B	Dividend	K	T	Buy	01/23/13	J		
325.					Buy (add'l)	02/06/13	J		
326. Eaton Vance California Municipal Bond Fund		None	K	T	Buy	12/31/13	K		
327. Ishares 2018 AMT Free Muni Term ETF	A	Dividend	K	T	Buy	05/01/13	K		
328. Conagra Foods Inc.	A	Dividend	K	T	Buy	09/24/13	J		
329.					Buy (add'l)	11/18/13	K		
330.					Buy (add'l)	11/22/13	J		
331. Discover Financial Services	A	Dividend	J	T	Buy	10/25/13	J		
332.					Buy (add'l)	11/22/13	J		
333. Fidelity MSCI Consumer Discretionary Index ETF	A	Dividend	K	T	Buy	11/22/13	J		
334. Fidelity MSCI Industrials Index ETF	A	Dividend	K	T	Buy	11/22/13	K		
335. Ishares Core S&P Total US Stock Market ETF	A	Dividend	K	T	Buy	09/18/13	K		
336.					Buy (add'l)	10/25/13	J		
337. Chevron Corporation	A	Dividend			Buy	10/25/13	J		
338.					Sold (part)	10/25/13	J	A	
339.					Sold	11/20/13	J	A	
340. Citigroup Inc Com		None			Buy	08/16/13	J		

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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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

Smith, Jr., Milan D.

Date of Report

05/01/2014

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)
341.					Buy (add'l)	09/19/13	J		
342.					Sold	09/26/13	J	A	
343. Nuveen Diversified Currency Opportunities Fund	A	Dividend			Buy	04/11/13	J		
344.					Buy (add'l)	04/15/13	J		
345.					Buy (add'l)	05/21/13	J		
346.					Sold (part)	06/25/13	J	A	
347.					Sold (part)	07/30/13	J	A	
348.					Sold (part)	08/06/13	J	A	
349.					Sold (part)	08/16/13	J	A	
350.					Sold	08/27/13	J	A	
351. Neuberger Berman Real Estate Securities Income Fund	A	Dividend			Buy	03/05/13	K		
352.					Sold	07/12/13	K	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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Smith, Jr., Milan D.

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

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Smith, Jr., Milan D.

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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/ Milan D. Smith, Jr.**

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