

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) Smith, D. Brooks	2. Court or Organization Third Circuit Court of Appeals	3. Date of Report 05/02/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) 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 US Court of Appeals, Ste 203 1798 Old Route 220N Duncansville, PA 16635		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Board of Counselors	Penn State University - Dickinson School of Law
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.	
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2013	The Pennsylvania State University-Dickinson School of Law-Adjunct Professor Fall Semester- See Part VIII	\$23,563.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, complete this section.*(Dollar amount not required except for honoraria.)*☐ NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE
1. 2013	Reliance Bank - Vice President, Business Banker - Salary
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Penn State University Dickinson School of Law	06/30/2013-07/13/2013	Istanbul, Turkey	Speaker for education program	Travel, food and lodging
2. Federalist Society, University of Pennsylvania Law School Chapter	02/05/2013-02/06/2013	Philadelphia, PA	Speaker for education program	Travel, food and lodging
3. Lewis & Clark Law School	02/15/2013-02/18/2013	Portland, OR	Moot Court Competition	Travel, food and lodging
4. Federalist Society, University of Chicago Law School Chapter	03/28/2013-03/29/2013	Chicago, IL	Speaker for education program	Travel, food and lodging

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5.	Federalist Society, University of Alabama School of Law	04/02/2013-04/03/2013	Tuscaloosa, AL	Speaker for education program	Travel, food and lodging
6.	New York Intellectual Property Law Assoc.	03/22/2013-03/24/2013	New York, NY	Activity of Professional Association	Travel, food and lodging
7.	Gwynedd Mercy College	04/12/2013-04/14/2013	Gwynedd Valley, PA	Speaker for education program	Lodging
8.	Drexel Law School, American Constitution Society Chapter	09/19/2013-09/19/2013	Philadelphia, PA	Speaker for education program	Travel
9.	New York Law School	09/21/2013-09/22/2013	New York, NY	Moot Court Competition	Travel, food and lodging
10.	Penn State University Dickinson School of Law	09/22/2013-09/23/2013	State College, PA	Speaker for education program	Lodging
11.	Florida State University, College of Law	10/01/2013-10/03/2013	Tallahassee, FL	Speaker for education program	Travel, food and lodging
12.	Penn State University Dickinson School of Law	10/08/2013-10/09/2013	Carlisle, PA	Educational Activity	Lodging
13.	Federalist Society, Brigham Young University Law School Chapter	10/28/2013-10/30/2013	Provo, UT	Speaker for education program	Travel, food and lodging
14.	The Aspen Institute	11/07/2013-11/08/2013	Washington, DC	Educational seminar	Travel

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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.

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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 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)

1. FNB Corp (common)	A	Dividend	J	T					
2. Fifth Third Bancorp	A	Dividend	J	T					
3. M&T Bank (common)	C	Dividend	M	T					
4. Principal Global Investors (1) Bond & Mortgage	A	Int./Div.	K	T					
5. Principal Real Estate Inv (1) Principal US Property	A	Int./Div.	J	T					
6. Principal Global Investors (1) Prin LargeCap S&P 500 Inde	C	Int./Div.	K	T					
7. Principal Global/Barrow Hanley (1) MidCap Value III	A	Int./Div.	J	T					
8. Principal Global Investors/DFA (1) International SmallCap	B	Int./Div.	K	T					
9. Northwestern Mutual Life Ins(Universal Life Policies)	D	Dividend	M	T					
10. Reliance Bank IRA	A	Interest	K	T					
11. Reliance Bank IRA (2)	A	Interest	J	T	Distributed (part)	09/26/13	L	A	
12.					Distributed (part)	11/25/13	K	A	
13. Reliance Bank-Checking Account	A	Interest	K	T					
14. Reliance Bank-Checking Account	A	Interest	J	T					
15. AllianceBernstein/CCI/Brown SmallCap Growth (1)	B	Int./Div.	K	T					
16. AST Preservation Asset Allocation (1)	A	Int./Div.	M	T					
17. AST Advanced Strategies Portfolio (1)	A	Int./Div.	K	T					

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

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

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

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

18. Reliance Bank-Savings Account	A	Interest	J	T					
19. Principal Stable Value Fund (1)	A	Interest	L	T					
20. Reliance Bank-Savings Account	A	Interest	J	T					
21.									
22.									
23.									
24.									
25.									
26.									
27.									
28.									
29.									
30.									
31.									
32.									
33.									
34.									

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35.									
36.									
37.									

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

Part IIIA: Represents services for the year 2013

Part VII:

1) Held in Reliance Bank 401(k)

2) Self directed IRA

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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/ **D. Brooks 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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