

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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, Norman R.	2. Court or Organization United States Court of Appeals for the Ninth Circuit	3. Date of Report 04/05/2013
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 01/01/2012 to 12/31/2012
7. Chambers or Office Address 801 East Sherman Pocatello, Idaho 83201		
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. Adjunct Faculty Member	Idaho State University College of Business
2. Member of College of Business Advisory Board	Idaho State University
3. Member of Department of Paralegal Studies Advisory Board	Idaho State University
4. Emeritus Member of College of Law Advisory Council	University of Idaho College of Law
5. Member of Planning Committee	Idaho State Tax Institute
6. Treasurer/Member of Board of Directors	Appellate Judges Education Institute
7. Chair-Elect/Member of Executive Committee	Appellate Judges Conference of the American Bar Association

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. 1995	State of Idaho Retirement, no control
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

Smith, Norman R.

Date of Report

04/05/2013

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. 2012	Idaho State University, wages	\$18,750.00
2. 2012	State of Idaho, retirement	\$55,420.86
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. 2012	Idaho Public Employees Retirement System, retirement
2. 2012	Utah State Retirement Fund, retirement
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. Southern Methodist University	January 8-12, 2012	Dallas, Texas	Planning of Appellate Judges Educational Institute Summit/Judicial panel	Transportation, meals, lodging
2. Appellate Judges Conference of the American Bar Association	February 1-5, 2012	New Orleans, Louisiana	American Bar Association Mid Year Meeting/Board Meetings	Transportation, meals, lodging
3. Brigham Young University/J. Reuben Clark Law Society	February 16-18, 2012	Palo Alto, California	J. Reuben Clark Law Society Conference	Transportation, meals, lodging
4. Southern Methodist University	March 25-28, 2012	Dallas, Texas	Howie Sweeney Moot Court Competition	Transportation, meals, lodging

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

Smith, Norman R.

Date of Report

04/05/2013

5.	Brooklyn Law School	March 30-April 1, 2012	Brooklyn, New York	Prince Moot Court Competition	Transportation, meals, lodging
6.	Appellate Judges Conference of the American Bar Association	May 2-4, 2012	National Harbor, Maryland	Judicial Division Spring Planning Conference	Transportation, meals, lodging
7.	Appellate Judges Conference and Appellate Judges Education Institute	August 2-5, 2012	Chicago, Illinois	American Bar Association Annual Meeting Board Meetings	Transportation, meals, lodging
8.	Brigham Young University	October 28-29, 2012	Provo, Utah	Jurist in Residence program	Meals, lodging
9.	University of Idaho	November 2-3, 2012	Moscow, Idaho	Idaho Moot Court Competition	Transportation, meals, lodging

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Smith, Norman R.

Date of Report

04/05/2013

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

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

Smith, Norman R.

Date of Report

04/05/2013

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. Key Bank Checking Account	A	Interest	K	T					
2. SEI-US Employees Credit Union (account)	A	Interest	M	T					
3. PERSI Choice 401(k) Plan	A	Interest	J	T					
4. Principal Life Insurance - Universal Life Policy	A	Interest	J	T					
5. Principal Life Insurance - Universal Life Policy	C	Interest	K	T					
6. Trust #1 - Real Estate - Layton Utah	C	Rent	P1	W					
7. Ing USA Annuity and Life Insurance Company	D	Interest	M	T					
8. Western National Life Insurance Company	D	Distribution	M	T	Open	04/06/12	M		
9. Allianz Life Insurance Co.	D	Interest	M	T	Open	05/24/12	M		
10. Wells Fargo Bank, N.A. Checking Account	A	Interest	K	T	Open	04/06/12	K		
11.									
12.									
13.									
14.									
15.									
16.									
17.									

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		

FINANCIAL DISCLOSURE REPORT

Page 6 of 7

Name of Person Reporting

Smith, Norman R.

Date of Report

04/05/2013

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

None

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Smith, Norman R.

Date of Report

04/05/2013

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/ **Norman R. 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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