

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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, Jr., Milan D.	2. Court or Organization Ninth Circuit	3. Date of Report 07/29/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2014

Self employed attorney

2. 2014

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

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

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*

☒ NONE *(No reportable liabilities.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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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	Buy (add'l)	05/27/14	J		
2.					Buy (add'l)	08/07/14	J		
3.					Buy (add'l)	11/24/14	J		
4.					Buy (add'l)	12/30/14	J		
5.					Sold (part)	01/22/14	J	A	
6.					Sold (part)	06/20/14	J	A	
7.					Sold (part)	09/10/14	J	A	
8.					Sold (part)	10/15/14	J	A	
9.					Sold (part)	11/25/14	J	A	
10. Intuitive Surgical Inc.		None	K	T					
11. Kinder Morgan energy Partners LP Unit Ltd Partnership	C	Distribution			Sold	08/11/14	L	F	
12. American Tower Corp CL A	A	Dividend	K	T	Sold (part)	07/30/14	J	C	
13. Devon Energy Corp New	A	Dividend	K	T	Buy (add'l)	01/07/14	J		
14.					Sold (part)	07/29/14	J	B	
15. Pepsico Incorporated	B	Dividend	K	T	Sold (part)	10/22/14	J	C	
16.					Sold (part)	12/30/14	J	A	
17. Canadian Natl Ry Co.	A	Dividend	K	T	Sold (part)	05/20/14	J	D	

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 H ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 I ~\$15,001 - \$50,000	E ~\$15,001 - \$50,000 F ~\$50,001 - \$100,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P ~\$250,001 - \$500,000	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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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.					Sold (part)	07/15/14	J	D	
19. Aetna Life Policy MetLife	A	Dividend	J	T					
20. Quanta SVCS Inc		None	K	T					
21. Oneok Inc New	B	Dividend	K	T	Sold (part)	01/06/14	J	C	
22.					Sold (part)	07/22/14	J	C	
23.					Sold (part)	09/04/14	J	C	
24. Century Tel., Inc. Cpn 5.000% Due 2/15/15	A	Interest	J	T					
25. Dean Witter Discover Odd Cpn Med Term Notes 7.07% 2/10/14	A	Interest			Sold	02/10/14	J	A	
26. Money Mkt Oblig Trust Auto Cash Mgmt	A	Dividend	N	T					
27. American Capital Agency Corp	C	Dividend	K	T	Buy (add'l)	01/06/14	K		
28.					Buy (add'l)	01/07/14	J		
29.					Sold (part)	01/07/14	K	B	
30.					Sold (part)	07/29/14	J	B	
31. Williams Partners LP Com Unit Ltd Part Int	C	Distribution	K	T					
32. Ishares Trust Barclays 1-3 Yr. Treasury Bd FD	A	Dividend	M	T	Sold (part)	01/07/14	K	A	
33.					Sold (part)	01/08/14	M	A	
34.					Sold (part)	12/18/14	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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☐ 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)

35. Capstead Mtg Corp Com No Par	C	Dividend	K	T	Buy (add'l)	01/06/14	J		
36.					Buy (add'l)	01/07/14	J		
37. MFA Mortgage Investments Inc. (MFA Financial Inc)	C	Dividend	K	T	Buy (add'l)	01/06/14	J		
38. Putnam Managed Municipal Income Trust- SBI	A	Dividend	J	T					
39. Putnam Municipal Opportunities Trust-SBI	B	Dividend	K	T					
40. Ishares Trust Iboxx \$ Investop Investment Grade Bond Fund	D	Dividend	M	T	Buy (add'l)	01/06/14	K		
41.					Buy (add'l)	01/22/14	J		
42.					Buy (add'l)	06/20/14	J		
43.					Buy (add'l)	08/07/14	J		
44.					Buy (add'l)	08/14/14	J		
45.					Sold (part)	09/10/14	J	A	
46.					Sold (part)	11/25/14	J	A	
47. Ishares Barclays Intermediate Credit Bond Fund	D	Dividend	N	T	Buy (add'l)	01/07/14	J		
48.					Buy (add'l)	08/07/14	J		
49.					Buy (add'l)	08/14/14	J		
50.					Buy (add'l)	08/15/14	J		
51.					Buy (add'l)	10/22/14	J		

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

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52.					Sold (part)	01/22/14	J	A	
53.					Sold (part)	05/20/14	J	A	
54.					Sold (part)	09/10/14	J	A	
55.					Sold (part)	11/25/14	J	A	
56. Ishares Barclays MBS Bond Fund ETF	A	Dividend			Sold	01/06/14	K	A	
57. Ishares Barclays 1-3 YR Credit Bond Fund ETF	C	Dividend	N	T	Buy (add'l)	05/27/14	J		
58.					Buy (add'l)	08/07/14	J		
59.					Buy (add'l)	08/14/14	J		
60.					Buy (add'l)	08/15/14	J		
61.					Buy (add'l)	09/10/14	J		
62.					Buy (add'l)	10/22/14	J		
63.					Sold (part)	03/28/14	L	A	
64.					Sold (part)	05/20/14	J	A	
65.					Sold (part)	06/20/14	J	A	
66.					Sold (part)	08/06/14	J	A	
67.					Sold (part)	09/10/14	J	A	
68.					Sold (part)	11/25/14	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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69. Linn Energy LLC	C	Distribution			Buy (add'l)	01/07/14	J		
70.					Buy (add'l)	05/20/14	J		
71.					Sold (part)	05/21/14	J	A	
72.					Sold (part)	07/29/14	J	A	
73.					Sold	11/04/14	K	B	
74. Ishares Core US Credit Bond (FKA Ishares Trst Barclay Credit Bond ETF)	D	Dividend	M	T	Buy (add'l)	08/15/14	J		
75.					Buy (add'l)	10/22/14	J		
76.					Sold (part)	01/22/14	J	A	
77.					Sold (part)	08/07/14	J	A	
78.					Sold (part)	08/14/14	J	A	
79.					Sold (part)	10/30/14	J	A	
80. Ameren Corp	B	Dividend	L	T	Sold (part)	03/28/14	J	B	
81.					Sold (part)	12/30/14	J	B	
82. Cenovus Energy Inc	A	Dividend	J	T	Sold (part)	10/22/14	J	B	
83.					Sold (part)	07/30/14	J	A	
84. Abbott Laboratories	A	Dividend	K	T	Buy (add'l)	08/15/14	J		
85.					Buy (add'l)	10/22/14	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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86.					Sold (part)	07/30/14	J	A	
87. Enterprise Products Partners LP	B	Distribution	K	T	Sold (part)	01/22/14	J	A	
88.					Sold (part)	05/22/14	J	A	
89.					Sold (part)	07/22/14	J	D	
90.					Sold (part)	08/07/14	J	C	
91. Blackrock Income Trust Inc	D	Dividend	L	T	Buy (add'l)	01/06/14	K		
92.					Sold (part)	08/14/14	J	A	
93. Gabelli Dividend & Income Fund	D	Dividend	M	T	Buy (add'l)	05/27/14	J		
94.					Buy (add'l)	06/20/14	J		
95.					Buy (add'l)	08/07/14	J		
96.					Buy (add'l)	08/15/14	J		
97.					Buy (add'l)	10/22/14	J		
98.					Sold (part)	11/22/14	J	A	
99.					Sold (part)	01/22/14	J	A	
100.					Sold (part)	06/19/14	J	A	
101.					Sold (part)	07/15/14	J	A	
102.					Sold (part)	09/10/14	J	A	

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103.					Sold (part)	11/25/14	J	A	
104.					Sold (part)	12/30/14	J	A	
105. Ishares Trust Barclays 1-3 Yr Credit Bond Fund ETF	B	Dividend			Merged (with line 57)	02/26/14	J		
106. Eli Lilly & Co	B	Dividend	K	T	Buy (add'l)	06/20/14	J		
107.					Buy (add'l)	08/15/14	J		
108.					Buy (add'l)	09/10/14	J		
109.					Buy (add'l)	10/22/14	J		
110.					Sold (part)	01/22/14	J	A	
111.					Sold (part)	08/06/14	J	A	
112.					Sold (part)	11/25/14	J	A	
113.					Sold (part)	12/30/14	J	C	
114. Statoil Asa Sponsored ADR	B	Dividend	K	T	Buy (add'l)	08/15/14	J		
115.					Buy (add'l)	10/22/14	J		
116.					Buy (add'l)	11/14/14	J		
117.					Buy (add'l)	11/25/14	J		
118.					Buy (add'l)	12/17/14	J		
119.					Buy (add'l)	12/18/14	J		

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2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$50,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
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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)	10/30/14	J	A	
121.					Sold (part)	12/09/14	J	A	
122.					Sold (part)	12/31/14	K	A	
123. Windstream Corp	C	Dividend	K	T	Buy (add'l)	01/06/14	K		
124.					Sold (part)	05/20/14	J	A	
125.					Sold (part)	07/29/14	J	B	
126. Schwab CA Muni Money Fund Cash Money Market Fund	A	Int./Div.			Closed	12/30/14	J		
127. Western Asset Emerging Mkts Income Fd Inc	C	Dividend	K	T	Buy (add'l)	01/07/14	K		
128.					Sold (part)	03/28/14	K	A	
129.					Sold (part)	08/06/14	J	A	
130. RBC Prime Money Market Cash Reserve	A	Dividend	K	T					
131. H & Q Healthcare Investors SBI	B	Dividend	K	T					
132. Ishares TR 2014 S&P AMT Free Municipal Ser FD	A	Dividend			Sold	08/21/14	K	A	
133. Managed Duration Invt Grade Mun FD	A	Dividend			Sold	08/21/14	K	A	
134. Ishares TR S&P Short Term Natl Amtr	A	Dividend	K	T	Buy (add'l)	03/28/14	K		
135.					Sold (part)	02/13/14	K	A	
136. Textron Inc	A	Dividend	J	T	Buy (add'l)	08/15/14	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 \$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)
137.					Buy (add'l)	10/22/14	J		
138.					Sold (part)	02/21/14	K	E	
139. Vanguard Scottsdale Funds Vanguard Short Term Corp Bond ETF	D	Dividend	N	T	Buy (add'l)	03/18/14	J		
140.					Buy (add'l)	05/27/14	J		
141.					Buy (add'l)	08/07/14	J		
142.					Buy (add'l)	08/15/14	J		
143.					Buy (add'l)	10/22/14	J		
144.					Buy (add'l)	12/31/14	J		
145.					Sold (part)	03/20/14	J	A	
146.					Sold (part)	01/22/14	J	A	
147.					Sold (part)	11/25/14	J	A	
148. BlackRock Credit Allocation	D	Dividend	M	T	Buy (add'l)	01/22/14	J		
149.					Buy (add'l)	02/12/14	J		
150.					Buy (add'l)	05/27/14	J		
151.					Buy (add'l)	06/20/14	J		
152.					Buy (add'l)	08/15/14	J		
153.					Buy (add'l)	10/22/14	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 \$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)
154.					Buy (add'l)	12/30/14	J		
155.					Sold (part)	05/21/14	J	A	
156.					Sold (part)	06/19/14	J	B	
157.					Sold (part)	08/13/14	J	A	
158.					Sold (part)	09/10/14	J	A	
159.					Sold (part)	11/25/14	J	A	
160. Ishares Trust S&P Global Info Technology Sector Index Fund	B	Dividend	M	T	Buy (add'l)	02/11/14	J		
161.					Buy (add'l)	08/15/14	J		
162.					Buy (add'l)	09/10/14	J		
163.					Buy (add'l)	10/22/14	J		
164.					Sold (part)	01/22/14	J	A	
165.					Sold (part)	06/20/14	J	A	
166.					Sold (part)	07/29/14	J	D	
167.					Sold (part)	08/06/14	J	A	
168.					Sold (part)	10/22/14	J	A	
169.					Sold (part)	11/25/14	J	A	
170. Calamos Global Dynamic Income Fund	D	Dividend	L	T	Buy (add'l)	01/07/14	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 \$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.					Buy (add'l)	03/31/14	J		
172.					Buy (add'l)	04/14/14	J		
173.					Buy (add'l)	06/20/14	J		
174.					Buy (add'l)	08/15/14	J		
175.					Buy (add'l)	10/22/14	J		
176.					Sold (part)	02/15/14	J	A	
177.					Sold (part)	05/21/14	J	A	
178.					Sold (part)	07/30/14	J	A	
179.					Sold (part)	08/06/14	J	A	
180.					Sold (part)	09/10/14	J	A	
181.					Sold (part)	11/25/14	J	A	
182.					Sold (part)	12/30/14	J	A	
183. Corning Inc	B	Dividend	L	T	Buy (add'l)	01/06/14	J		
184.					Buy (add'l)	08/15/14	J		
185.					Buy (add'l)	10/22/14	J		
186.					Sold (part)	12/30/14	J	B	
187. Templeton Global Bond Fund Advisor CL	D	Dividend	L	T	Buy (add'l)	01/07/14	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.					Sold (part)	03/28/14	K	A	
189. AES Corp	A	Dividend	K	T					
190. Koninklijke Philips Electrs N V Sponsored ADR New 2000	B	Dividend	L	T	Buy (add'l)	04/25/14	J		
191.					Buy (add'l)	05/27/14	J		
192.					Buy (add'l)	06/20/14	J		
193.					Buy (add'l)	08/15/14	J		
194.					Buy (add'l)	10/22/14	J		
195.					Buy (add'l)	11/25/14	J		
196.					Buy (add'l)	12/30/14	J		
197.					Sold (part)	01/22/14	J	A	
198.					Sold (part)	08/06/14	J	A	
199.					Sold (part)	09/10/14	J	A	
200. Columbia Fds Ser TR IX Tax Exempt FD CL A	B	Dividend	K	T					
201. Ishares TR 2015 S&P AMT Free Municipal Ser Fd	A	Dividend	J	T	Sold (part)	11/05/14	J	A	
202. Ishares TR 2016 S&P AMT Free Municipal Ser Fd	A	Dividend	K	T					
203. Ishares TR 2017 S&P AMT Free Municipal Ser Fd	A	Dividend	K	T					
204. Gabelli Healthcare & Wellness Trust	B	Dividend	L	T	Buy (add'l)	08/15/14	J		

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.					Buy (add'l)	10/22/14	J		
206.					Sold (part)	06/19/14	J	A	
207.					Sold (part)	06/26/14	J	A	
208. BlackRock Strategic Equity Dividend Trust	A	Dividend	J	T	Buy (add'l)	05/27/14	J		
209.					Buy (add'l)	08/07/14	J		
210.					Buy (add'l)	12/30/14	J		
211.					Sold (part)	01/22/14	J	A	
212.					Sold (part)	06/20/14	J	A	
213.					Sold (part)	09/10/14	J	A	
214.					Sold (part)	11/25/14	J	A	
215. BlackRock Equity Dividend Trust	C	Dividend	L	T	Buy (add'l)	05/27/14	J		
216.					Buy (add'l)	08/07/14	J		
217.					Buy (add'l)	12/30/14	J		
218.					Sold (part)	01/22/14	J	A	
219.					Sold (part)	06/20/14	J	A	
220.					Sold (part)	09/10/14	J	A	
221.					Sold (part)	11/25/14	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	
	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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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)

222. Centerpoint Energy Inc.	A	Dividend	K	T	Buy (add'l)	01/22/14	J		
223.					Buy (add'l)	05/27/14	J		
224.					Buy (add'l)	06/20/14	J		
225.					Buy (add'l)	08/07/14	J		
226.					Buy (add'l)	08/15/14	J		
227.					Buy (add'l)	09/10/14	J		
228.					Buy (add'l)	10/22/14	J		
229.					Sold (part)	01/22/14	J	A	
230.					Sold (part)	11/25/14	J	A	
231. American Electric Power Co Inc	A	Dividend	K	T	Buy (add'l)	05/27/14	J		
232.					Buy (add'l)	08/07/14	J		
233.					Buy (add'l)	08/15/14	J		
234.					Buy (add'l)	10/22/14	J		
235.					Sold (part)	01/22/14	J		
236.					Sold (part)	06/20/14	J		
237.					Sold (part)	09/10/14	J		
238.					Sold (part)	11/25/14	J		

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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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)

239.					Sold (part)	12/30/14	J		
240. Ishares TR Dow Jones EPAC Select Dividend	B	Dividend	K	T	Buy (add'l)	03/06/14	J		
241.					Buy (add'l)	03/31/14	J		
242.					Buy (add'l)	05/27/14	J		
243.					Buy (add'l)	08/07/14	J		
244.					Buy (add'l)	11/14/14	J		
245.					Sold (part)	08/07/14	J	A	
246.					Sold (part)	09/10/14	J	A	
247.					Sold (part)	10/14/14	K	A	
248. Targa Resources Partners LP Unit Ltd Partnership Int	A	Distribution	J	T	Buy (add'l)	01/22/14	J		
249.					Buy (add'l)	08/07/14	J		
250.					Sold (part)	05/21/14	J	A	
251.					Sold (part)	05/22/14	J	B	
252.					Sold (part)	06/20/14	J	A	
253. Pimco ETF TR Enhanced Short Maturity	C	Dividend	N	T	Buy (add'l)	05/27/14	J		
254.					Buy (add'l)	08/07/14	J		
255.					Buy (add'l)	08/15/14	J		

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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Smith, Jr., Milan D.

Date of Report

07/29/2015

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.					Buy (add'l)	10/22/14	J		
257.					Buy (add'l)	11/05/14	K		
258.					Buy (add'l)	11/25/14	K		
259.					Buy (add'l)	12/30/14	J		
260.					Sold (part)	01/08/14	J	A	
261.					Sold (part)	01/22/14	J	A	
262.					Sold (part)	06/20/14	J	A	
263.					Sold (part)	07/22/14	J	A	
264.					Sold (part)	07/28/14	K	A	
265.					Sold (part)	08/13/14	K	A	
266.					Sold (part)	09/10/14	J	A	
267. Southern Co	A	Dividend	K	T	Buy (add'l)	02/11/14	J		
268.					Sold (part)	10/15/14	J	A	
269. Ishares TR Dow Jones SEL Divid Index FD	A	Dividend	K	T					
270. American Capital Mortgage Investment Corp	B	Dividend	K	T	Buy (add'l)	02/11/14	J		
271. FirstEnergy Corp	A	Dividend	K	T	Buy	02/10/14	K		
272. Sempra Energy	A	Dividend	K	T	Buy (add'l)	08/07/14	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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Name of Person Reporting

Smith, Jr., Milan D.

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07/29/2015

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.					Sold (part)	01/22/14	J	A	
274.					Sold (part)	03/18/14	J	A	
275.					Sold (part)	06/20/14	J	A	
276.					Sold (part)	09/10/14	J	A	
277.					Sold (part)	11/25/14	J	A	
278. Anworth Mortgage Asset Corp		None	J	T	Buy (add'l)	11/25/14	J		
279.					Buy (add'l)	12/30/14	J		
280. Frontier Communications Corp	C	Dividend	L	T	Buy (add'l)	02/11/14	J		
281.					Buy (add'l)	02/29/14	J		
282.					Sold (part)	01/22/14	J	A	
283.					Sold (part)	03/25/14	J	A	
284.					Sold (part)	05/01/14	J	A	
285.					Sold (part)	05/20/14	J	C	
286.					Sold (part)	05/22/14	J	A	
287.					Sold (part)	05/25/14	J	A	
288.					Sold (part)	06/30/14	J	A	
289.					Sold (part)	08/06/14	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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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)
290.					Sold (part)	08/13/14	J	A	
291.					Sold (part)	09/10/14	J	A	
292.					Sold (part)	09/29/14	J	A	
293.					Sold (part)	11/25/14	J	A	
294.					Sold (part)	12/30/14	J	A	
295. Eaton Vance Risk Managed Global Diversified Equity Income	B	Dividend	K	T	Buy (add'l)	04/14/14	J		
296. Eaton Vance Tax Managed Global Diversified Equity Income	C	Dividend	K	T	Sold (part)	07/29/14	J	A	
297. EMC Corp-Mass	A	Dividend	K	T	Sold (part)	12/30/14	J	A	
298. Hollyfrontier Corporation	B	Dividend	J	T	Buy (add'l)	02/11/14	J		
299. Intel Corp	B	Dividend	L	T	Buy (add'l)	01/06/14	J		
300.					Buy (add'l)	05/27/14	J		
301.					Buy (add'l)	08/15/14	J		
302.					Buy (add'l)	09/10/14	J		
303.					Buy (add'l)	10/22/14	J		
304.					Buy (add'l)	12/30/14	J		
305.					Sold (part)	01/22/14	J	A	
306.					Sold (part)	06/19/14	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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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)
307.					Sold (part)	06/20/14	J	A	
308.					Sold (part)	07/29/14	J	B	
309.					Sold (part)	08/06/14	J	A	
310.					Sold (part)	09/29/14	J	B	
311.					Sold (part)	11/25/14	J	A	
312.					Sold (part)	12/18/14	J	B	
313. Ford Motor Co.	A	Dividend			Buy (add'l)	01/06/14	J		
314.					Buy (add'l)	01/22/14	K		
315.					Sold	02/03/14	K	A	
316. Abbvie Inc. (Spinoff of Abbott Laboratories)	B	Dividend	K	T	Buy (add'l)	08/15/14	J		
317.					Buy (add'l)	10/22/14	J		
318. Merck & Co. Inc.	B	Dividend	L	T	Sold (part)	03/28/14	J	A	
319.					Sold (part)	07/29/14	J	B	
320.					Sold (part)	12/30/14	J	A	
321. Air Lease Corporation	A	Dividend	K	T					
322. Eaton Vance California Municipal Bond Fund	C	Dividend	L	T	Buy (add'l)	02/12/14	J		
323.					Buy (add'l)	04/14/14	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)

324. Ishares 2018 AMT Free Muni Term ETF	A	Dividend	K	T					
325. Conagra Foods Inc.	A	Dividend	K	T	Buy (add'l)	03/31/14	J		
326.					Buy (add'l)	10/22/14	J		
327.					Sold (part)	01/22/14	J	A	
328.					Sold (part)	08/07/14	J	A	
329. Discover Financial Services	A	Dividend	J	T	Buy (add'l)	12/30/14	J		
330.					Sold (part)	01/22/14	J	A	
331.					Sold (part)	09/10/14	J	A	
332.					Sold (part)	11/25/14	J	A	
333. Fidelity MSCI Consumer Discretionary Index ETF		None			Sold (part)	01/22/14	J	A	
334.					Sold	02/05/14	J	A	
335. Fidelity MSCI Industrials Index ETF	A	Dividend			Sold (part)	01/22/14	J	A	
336.					Sold	02/03/14	J	A	
337. Ishares Core S&P Total US Stock Market ETF		None			Sold (part)	01/22/14	J	A	
338.					Sold	02/05/14	J	A	
339. Citigroup Inc Com	A	Dividend	J	T	Buy	08/15/14	J		
340.					Buy (add'l)	10/22/14	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)

341. Neuberger Berman Real Estate Securities Income Fund	A	Dividend	K	T	Buy	06/19/14	J		
342.					Buy (add'l)	08/13/14	J		
343. Clearbridge Energy MLP Total Return Fund Inc	A	Dividend	J	T	Buy	10/22/14	J		
344.					Buy (add'l)	12/18/14	J		
345. Sunedison Inc		None	K	T	Buy	03/28/14	K		
346.					Buy (add'l)	05/20/14	K		
347.					Buy (add'l)	06/13/14	J		
348.					Buy (add'l)	06/19/14	J		
349.					Buy (add'l)	08/15/14	J		
350.					Buy (add'l)	10/22/14	J		
351.					Sold (part)	05/21/14	J	A	
352.					Sold (part)	07/29/14	K	B	
353. Money Mkt Obligs Tr Federated Prime Obligs FD	A	Dividend	M	T	Open	08/01/14	L		
354. Ishares MSCI All County World Minimum Voalatility ETF	C	Dividend	M	T	Buy	03/28/14	L		
355.					Buy (add'l)	04/01/14	J		
356.					Buy (add'l)	04/08/14	J		
357.					Buy (add'l)	04/25/14	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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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)
358.					Buy (add'l)	06/20/14	J		
359.					Buy (add'l)	09/10/14	J		
360.					Buy (add'l)	12/30/14	J		
361.					Sold (part)	11/25/14	J	A	
362. Ishares 3 to 7 Year Treasury Bond ETF	A	Dividend	M	T	Buy	12/18/14	M		
363. Ishares US ETF Tr Short Term Maturity Bond ETF	A	Dividend	M	T	Buy	01/08/14	J		
364.					Buy (add'l)	01/09/14	K		
365.					Buy (add'l)	01/10/14	J		
366.					Buy (add'l)	02/11/14	L		
367.					Buy (add'l)	11/05/14	L		
368. Pimco Broad US Tips Index Exchange Traded Fund	A	Dividend	L	T	Buy	07/28/14	K		
369.					Buy (add'l)	07/29/14	K		
370.					Buy (add'l)	07/30/14	K		
371.					Buy (add'l)	10/22/14	K		
372.					Sold (part)	12/18/14	L	A	
373. Goldcorp Inc.	A	Dividend	J	T	Buy	02/19/14	J		
374.					Buy (add'l)	03/31/14	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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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)
375.					Buy (add'l)	09/04/14	K		
376.					Buy (add'l)	10/09/14	J		
377.					Buy (add'l)	10/22/14	J		
378.					Sold (part)	04/25/14	J	A	
379.					Sold (part)	10/30/14	J	A	
380.					Sold (part)	12/17/14	K	A	
381. One Gas Inc.	A	Dividend	K	T	Buy	03/28/14	J		
382.					Buy (add'l)	05/20/14	J		
383.					Buy (add'l)	07/22/14	J		
384. Ishares Tr 0-5 Yr Invst Grade Corp Bd ETF	A	Dividend	L	T	Buy	01/10/14	L		
385. Ishares Tr 0-5 Yr High Yield Corp Bd EFT	B	Dividend			Buy	01/10/14	L		
386.					Sold	12/18/14	K	A	
387. Pimco 0-5 Yr High Yield Corporate Bond Index Exchange	B	Dividend			Buy	01/10/14	L		
388.					Sold	07/28/14	K	A	
389. Market Vectors ETF Tr Jr. Gold Miners ETF New		None			Buy	05/21/14	K		
390.					Buy (add'l)	06/13/14	J		
391.					Buy (add'l)	06/20/14	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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Name of Person Reporting

Smith, Jr., Milan D.

Date of Report

07/29/2015

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)
392.					Buy (add'l)	07/22/14	K		
393.					Buy (add'l)	08/07/14	J		
394.					Buy (add'l)	08/15/14	J		
395.					Buy (add'l)	10/21/14	J		
396.					Sold (part)	09/10/14	J	A	
397.					Sold	10/31/14	K	A	
398. SPDR Nuveen Barclays California Municipal Bond ETF	A	Dividend	L	T	Buy	02/12/14	J		
399.					Buy (add'l)	04/14/14	J		
400.					Buy (add'l)	05/20/14	K		
401. Nuveen California AMT Free Municipal Income Fund	B	Dividend	K	T	Buy	02/12/14	J		
402.					Buy (add'l)	03/28/14	J		
403.					Sold (part)	06/11/14	J	A	
404. SPDR Nuveen Barclays Short Term Municipal Bond ETF	A	Dividend	K	T	Buy	10/23/14	L		
405. Tocqueville Gold Fund		None	J	T	Buy	12/17/14	J		
406. iShares Gold Trust		None	J	T	Buy	07/29/14	K		
407.					Buy (add'l)	08/13/14	K		
408.					Buy (add'l)	09/10/14	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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Smith, Jr., Milan D.

Date of Report

07/29/2015

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)
409.					Buy (add'l)	11/25/14	J		
410.					Sold (part)	09/04/14	K	A	
411.					Sold (part)	09/29/14	K	A	
412.					Sold (part)	12/30/14	J	A	
413. Central Fund of Canada LTD CL-A Non Voting Shares	A	Dividend	K	T	Buy	08/29/14	J		
414.					Buy (add'l)	09/04/14	K		
415.					Buy (add'l)	09/29/14	K		
416.					Buy (add'l)	10/22/14	J		
417.					Sold (part)	11/14/14	J	A	
418.					Sold (part)	12/17/14	K	A	
419. Pimco Intermediate Municipal Bond Active Exchange Traded Fund	A	Dividend	K	T	Buy	08/15/14	J		
420.					Buy (add'l)	10/22/14	J		
421.					Buy (add'l)	11/14/14	K		
422. Gabelli Global Small & Mid Cap Value Trust (Spinoff)	A	Distribution			Spinoff (from line 93)	04/15/14	J		
423.					Sold (part)	06/30/14	J	A	
424.					Sold	07/23/14	J	A	
425. Vanguard Mega Cap Value ETF	A	Dividend	K	T	Buy	02/19/14	K		

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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3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	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)
426.					Buy (add'l)	05/27/14	J		
427.					Buy (add'l)	08/07/14	J		
428.					Buy (add'l)	08/13/14	K		
429.					Buy (add'l)	12/30/14	J		
430.					Sold (part)	06/20/14	J	A	
431.					Sold (part)	09/10/14	J	A	
432.					Sold (part)	10/15/14	K	A	
433.					Sold (part)	11/25/14	J	A	
434. Alps ETF TR Alerian MLP	A	Dividend	K	T	Buy	08/07/14	K		
435.					Buy (add'l)	11/25/14	J		
436.					Sold (part)	08/07/14	J	A	
437.					Sold (part)	09/10/14	J	A	
438. Pattern Energy Group Inc Class A		None	J	T	Buy	12/30/14	J		
439. Ventas Inc	A	Dividend	J	T	Buy	08/07/14	J		
440.					Sold (part)	11/25/14	J	A	
441. Fidelity MSCI Financials Index ETF		None			Buy	01/22/14	J		
442.					Sold (part)	02/03/14	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
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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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443.					Sold	02/05/14	J	A	
444. Pimco 1-5 Year US Tips Index Exchange Traded Fund	A	Dividend	K	T	Buy	07/16/14	K		
445. Vanguard Intl Equity Ind FD Ftse All World Ex US Fd EFT	A	Dividend			Buy	06/19/14	K		
446.					Buy (add'l)	08/15/14	J		
447.					Sold	08/28/14	K	A	
448. Linn Co LLC	A	Dividend			Buy	03/20/14	J		
449.					Buy (add'l)	06/19/14	J		
450.					Sold	10/09/14	J	A	
451. First Trust Energy Income and Growth Fund	A	Dividend	J	T	Buy	08/15/14	J		
452.					Buy (add'l)	10/22/14	J		
453. Kinder Morgan Mgmt LLC	A	Distribution			Buy	08/15/14	J		
454.					Buy (add'l)	10/22/14	J		
455.					Merged (with line 458)	12/01/14	J		
456. Franklin Templeton Moderate Alloc Fund Advisor CL	A	Dividend			Buy	03/24/14	K		
457.					Sold	03/28/14	K	A	
458. Kinder Morgan Inc	A	Distribution	J	T					
459.									

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
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Name of Person Reporting

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Date of Report

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

Item 353, Part VII (Money Mkt Obligs Tr Federated Prime Obligs FD). This asset, Money Mkt Obligs Tr Federated Prime Obligs FD, is a money market account that was opened in 2014. The asset was not on the 2013 report and should have been marked "open" in order to show that the account was opened in 2014.

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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Washington, D.C. 20544