AO 10
Rev. 1/2014

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)	2. Court or Organization	3. Date of Report
Smith, Jr., Charles L.	Northern District of Alabama	05/15/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
U.S. District Judge - Senior	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2013 **to** 12/31/2013

7. Chambers or Office Address

United States Courthouse
101 Holmes Avenue
Huntsville, Ala. 35801

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.	

FILED
2014 MAY 21 A 10:0
CLERK
U.S. DISTRICT COURT
N.D. OF ALABAMA

II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of filing instructions.)*

☐ NONE *(No reportable agreements.)*

DATE	PARTIES AND TERMS
1. 1981	Judicial Retirement Fund of Alabama (Retirement fund of former employer, State of Alabama), no control
2. 1981	Madison County, Alabama Retirement Fund (Retirement fund of former employer, Madison County), no control
3.	

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	State of Alabama Retirement	$58,725.00
2.	2013	Madison County, Alabama Retirement	$19,142.00
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	Madison County, Alabama Commission - 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.					
2.					
3.					
4.					
5.					

Name of Person Reporting	Date of Report
Smith, Jr., Charles L.	05/15/2014

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.			

Name of Person Reporting	Date of Report
Smith, Jr., Charles L.	05/15/2014

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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
1. U.S. Savings Bonds-Series EE	A	Interest	J	T					
2. Regions Financial Corp.	A	Dividend	J	T					
3. Citi Bank Money Fund	A	Interest	J	T					
4. Meadowbrook, Ltd. 4.75% Int. in limited partnership		None	J	U					
5. Farm: Madison County, Ala.	D	Rent (Crop)	P1	W					
6. Farm Rental House: Madison County, Ala.	D	Rent (House)	L	W					
7. Crown Life Ins. - Cash Value	A	Dividend	J	T					
8. Apple Computer, Inc.	B	Dividend	M	T					
9. Clorox Co.	B	Dividend	K	T					
10. [redacted] § 457(b) Deferred Comp Account:									
11. -- American Century Value Fund	C	Dividend	K	T					
12. -- Fidelity Contrafund	D	Dividend	M	T					
13. -- Nationwide Fixed Account	B	Interest	M	T					
14. -- Nationwide Large Cap Growth Fund	D	Dividend	L	T					
15. -- S & P 500 Index Fund	A	Dividend	J	T					
16. -- Neuberger Berman Equity Trust	B	Dividend	K	T					
17. Madison Co. AL Retirement Fund	B	Interest	K	T					

1. Income Gain Codes: (See Columns B1 and D4)
2. Value Codes (See Columns C1 and D3)
3. Value Method Codes (See Column C2)

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
F =$50,001 - $100,000
G =$100,001 - $1,000,000
H1 =$1,000,001 - $5,000,000
H2 =More than $5,000,000
J =$15,000 or less
K =$15,001 - $50,000
L =$50,001 - $100,000
M =$100,001 - $250,000
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
Q =Appraisal
R =Cost (Real Estate Only)
S =Assessment
T =Cash Market
U =Book Value
V =Other
W =Estimated

Name of Person Reporting	Date of Report
Smith, Jr., Charles L.	05/15/2014

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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
18. Am Family Broadcasting Corp (Retirement)		None	J	T					
19. PACT (Ala. Prepaid Affordable College Tuition plan)	A	Interest	K	T					
20. Scholars Choice (Section 529 Plan) - No Control	B	Dividend	J	T					
21. Education IRA No. 1:									
22. -- Morgan Stanely (formerly CitiBank NA)	A	Interest	J	T					
23. -- Coca Cola Bottling Co.	A	Dividend	J	T	Sold	11/01/13	J	A	
24. -- Adtran, Inc.	A	Dividend	J	T					
25. -- Overstock.Com, Inc.		None	J	T					
26. -- Facebook	A	Dividend	J	T					
27. Education IRA No. 2:									
28. -- Legg Mason Partners (formerly SB Aggressive Growth Funds)	A	Dividend	J	T	Sold	11/01/13	J	A	
29. -- CitiBank NA Bank Deposit (formerly SB Money Funds)	A	Interest	J	T					
30. -- Adtran, Inc.	A	Dividend	J	T					
31. -- Overstock.Com, Inc.		None	J	T					
32. -- Facebook	A	Dividend	J	T					
33. Education IRA No. 3:									
34. -- Legg Mason Partners (formerly SB Aggressive Growth Funds)	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)
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35. -- CitiBank NA Bank Deposit (formerly SB Money Funds)	A	Interest	J	T					
36. -- Adtran, Inc.	A	Dividend	J	T					
37. -- Overstock.Com, Inc.		None	J	T	Sold	12/20/13	J	A	
38. -- Facebook	A	Dividend	J	T					
39. Education IRA No. 4:									
40. -- Legg Mason Partners (formerly SB Aggressive Growth Funds)	A	Dividend	J	T	Sold	11/01/13	J	A	
41. -- CitiBank NA Bank Deposit (formerly SB Money Funds)	A	Interest	J	T					
42. -- Adtran, Inc.	A	Dividend	J	T					
43. -- Overstock.Com, Inc.		None	J	T					
44. -- Facebook	A	Dividend	J	T					
45. Coca Cola Bottling Co.	A	Dividend	J	T	Sold (part)	11/03/13	J	A	
46. eBay, Inc.		None	J	T					
47. Trust No. 1:	A	Dividend	K	T					
48. -- Citibank NA Bank Deposit Program	A	Interest	J	T					
49. -- Franklin Federal Tax Free Income FD Class A (X)	A	Interest	K	T					
50. Vanguard Age-Based Aggressive Growth (Section 529 Plan aka Upromise)	A	Dividend	K	T					
51. Adtran, Inc.	A	Dividend	J	T					

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52. Walt Disney (acquisition and merger of Pixar into Disney)	A	Dividend	J	T					
53. Education IRA No. 5:									
54. -- CitiBank NA Bank Deposit Account	A	Interest	J	T					
55. -- Facebook	A	Dividend	J	T					
56. Trust No. 2:									
57. -- Morgan Stanley (formerly CitiBank NA Bank Deposit Account)	A	Interest	K	T					
58. -- Facebook	A	Dividend	J	T					
59. Facebook	A	Dividend	J	T					
60. Alabama College Counts 529 Plan:									
61. -- Vanguard Growth Index Fund	A	Dividend	K	T					

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Smith, Jr., Charles L.	05/15/2014

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

Name of Person Reporting	Date of Report
Smith, Jr., Charles L.	05/15/2014

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.

[redacted]

Signature: s/ Charles L. 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