

**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, Rebecca B.	2. Court or Organization Eastern District of Virginia	3. Date of Report 05/14/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2014 to 12/31/2014
	5b. ☐ Amended Report	
7. Chambers or Office Address United States District Court 600 Granby Street Norfolk, Virginia 23510		
IMPORTANT NOTES: <i>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>		

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	General Douglas MacArthur Foundation, Norfolk, Va
2.	
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. 2014	- salary (retired April 1, 2014)
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
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.)*

<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.		

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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. Branch Bank & Trust Co. Bank Account	A	Interest	J	T					
2. Investment Account #1 directing (line 3)									
3. IRA-Brokerage Account #1 holding (lines 4-35)									
4. Schwab Govt. Money Fund	A	Int./Div.	K	T					
5. Standard & Poor's Midcap 400 (now IShares S & P 400)	D	Int./Div.	K	T					
6. Verizon Communications	B	Int./Div.	J	T					
7. IShares TR Barclays Bond Intermediate, now IShares TR Bond	B	Int./Div.	K	T					
8. IShares TR Barclays Fund Aggregate now Ishares Core	A	Int./Div.	J	T					
9. IShares Trust (High Yield Corp)	A	Int./Div.	J	T					
10. Vanguard MSCI Emerging Markets	A	Int./Div.			Sold	02/06/14	J	A	
11. IShares Tr Barclays Tips		None	K	T					
12. Wisdomtree Trust	A	Int./Div.	K	T					
13. Dominion Resources	A	Int./Div.			Sold	12/09/14	J	A	
14. JP Morgan Chase	A	Int./Div.			Sold	09/19/14	K		
15. Apple Inc	D	Int./Div.	K	T					
16. BP PLC ADR		None	J	T					
17. Alps Trust ETF	A	Int./Div.			Sold	10/06/14	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 \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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18. IShares S & P 500 Value	D	Int./Div.	K	T					
19. Powershares ETF		None	J	T					
20. Vanguard FTSE ETF		None	K	T					
21. Wisdomtree Small Cap	B	Int./Div.	K	T					
22. Maingate MLP FD CL I		None	J	T	Buy	10/02/14	J		
23. IShares TR Bond	A	Int./Div.	K	T	Buy	06/03/14	K		
24. Vanguard Reit	A	Int./Div.	J	T	Buy	10/01/14	J		
25. Taxable Bonds:									
26. Gov't Natl Mtg. Assn Pool 5/15/20 Medium Term Notes	A	Int./Div.	J	T					
27. U.S. T-Note 8/15/15	A	Int./Div.	J	T					
28. Fed Farm CR BK 6/8/17	B	Int./Div.	K	T					
29. Conocophillips 10/15/16	A	Int./Div.	J	T					
30. Amgen 11/15/21	A	Int./Div.	J	T					
31. Maryland St Sta 12/15/18	A	Int./Div.	J	T					
32. Fla Hurricane 7/1/16	A	Int./Div.	J	T					
33. UST Infl Idx 1/15/21		None	J	T	Buy	09/18/14	J		
34. BP Capital Mkt P 10/1/20		None	J	T	Buy	11/17/14	J		

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35. Pfizer Inc. 3/15/19	A	Int./Div.	J	T	Buy	11/18/14	J		
36. [REDACTED]		None	N	W					
37. Investment Account #2 directing (line 38)									
38. Brokerage Account #2 holding (lines 39-92)									
39. Schwab Govt Money Fund	A	Int./Div.	L	T					
40. Equities/Stocks:									
41. A T & T Inc.	A	Dividend	K	T					
42. Ace Limited	A	Dividend	K	T					
43. Auto Data Processing	A	Dividend	K	T					
44. Cisco Systems Inc.	A	Dividend	K	T					
45. Dollar Tree Inc.	A	Dividend	L	T					
46. DuPont E I De Nemours & Co.	A	Dividend	K	T					
47. Duke Energy Corp.	A	Dividend	J	T					
48. Exxon Mobil Corp.	B	Dividend	K	T					
49. General Electric Co.	B	Dividend	K	T					
50. Honeywell International	B	Dividend	L	T					
51. Johnson & Johnson	B	Dividend	K	T					

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52. J.P. Morgan Chase & Co.	A	Dividend	K	T					
53. Kraft Foods, Inc name changed to Mondelez on 10/2/12	A	Dividend	K	T					
54. Microsoft Corp.	A	Dividend	K	T					
55. Pepsico Inc.	B	Dividend	K	T					
56. Verizon Communications	A	Dividend	J	T					
57. Canadian Natl Ry Co	A	Dividend	K	T					
58. Home Depot	A	Dividend	K	T					
59. Marathon Oil Corp	A	Dividend	J	T					
60. Proctor & Gamble	A	Dividend	K	T					
61. Travelers Companies	A	Dividend	K	T					
62. Vanguard Div Appreciation	A	Dividend	K	T					
63. Chevron Corporation	A	Dividend	K	T					
64. Wal-Mart Stores Inc	A	Dividend	K	T					
65. SPDR Index Shares Fund	A	Dividend			Sold	08/29/14	K	A	
66. Apple Inc	A	Dividend	K	T					
67. Plum Creek Timber Co	A	Dividend			Sold	01/15/14	J	A	
68. Amgen Incorporated	A	Dividend	K	T					

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69. BP PLC ADR	A	Dividend	K	T					
70. CSX Corp	A	Dividend	K	T					
71. Coming Inc	A	Dividend	K	T					
72. McDonalds Corp	A	Dividend	K	T					
73. Kraft FoodsGroup	A	Dividend	J	T					
74. Total S A Adr	A	Dividend	J	T					
75. Deere & Co	A	Dividend	K	T					
76. ENSCO Plc Class A	A	Dividend			Sold	10/03/14	J		
77. CDK Global Inc. (spinoff of Auto Data Processing)	A	Dividend	J	T	Spinoff (from line 43)	09/30/14	J		
78. Delta Airlines Inc.	A	Dividend	K	T	Buy	10/08/14	K		
79. Discover Financial SVCS	A	Dividend	J	T	Buy	02/06/14	J		
80. Toyota Motor CP	B	Dividend	K	T	Buy	04/07/14	K		
81. Tax Exempt Bonds:									
82. Bristol, VA 11/1/16	A	Interest	J	T					
83. Prince William County VA CTF Partn 6/1/15	A	Interest	J	T					
84. Virginia College Bl. 9/1/15	A	Interest	J	T					
85. Virginia College Bl. 4/1/16	A	Interest	K	T					

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86. VA Res Auth Infrastructure Rev. Pooled Loan Bond 11/1/14		None			Matured	11/01/14	K	A	
87. Appamattox Cnty Va 05/01/14		None			Matured	05/01/14	J	A	
88. Fairfax Cnty Va ECO 05/15/17	A	Interest	J	T					
89. Hanover County VA Eco 04/01/18	A	Interest	K	T					
90. Virginia St Res Aut 11/01/19	A	Interest	K	T					
91. Richmond Va Met 7/15/22	A	Interest	K	T					
92. Fairfax Co Wtr Au 4/1/21	A	Interest	J	T					
93. Wells Fargo	A	Interest	M	T					
94. Rental Property #1, Norfolk, VA	E	Rent	N	W					
95. C.A. Associates, 2%, Norfolk, VA	C	Dividend	K	W					
96. GJF Currituck Beach Associates, NC		None	J	W					
97. Friends of Cedar Point Country Club		None	J	T					
98. IRA-Brokerage Acct #3 directing and holding (lines 99-139)									
99. UBS Financial Services IRA Partial Dist.	D	Distribution	M	T					
100. Washington Real Estate Investment Fund	A	Int./Div.	J	T					
101. IShares Trust Russell 1000 Value Index	A	Int./Div.	J	T					
102. IShares Trust Russell 1000 Growth Index	B	Int./Div.	J	T					

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103. IShares Trust Russell Midcap Value Index	B	Int./Div.	J	T					
104. IShares Trust Russell Midcap Growth Index	B	Int./Div.	J	T					
105. IShares MSCI EAFE Index Fund	A	Int./Div.	J	T					
106. IShares MSCI Emerging Markets Index		None	J	T					
107. Vanguard Index Funds Vanguard Value ETF	A	Int./Div.	J	T					
108. Vanguard Index Funds Vanguard Small Cap	B	Int./Div.	J	T					
109. Vanguard Index Funds Vanguard Growth	B	Int./Div.	J	T					
110. Vanguard REIT ETF	A	Int./Div.	J	T					
111. IShares IBoxx \$ Invt Gra De Corp Fund	A	Int./Div.	J	T					
112. IShares IBoxx High Yield Corp		None	J	T					
113. Powershares Emerging Markets Sovereign		None			Sold	04/02/14	J	A	
114. SPDR Barclays Intl Treas		None			Sold	02/06/14	J	A	
115. SPDR Barclays Capital High Yield ETF		None	J	T					
116. Pimco Commodity Real Return Strategy		None			Sold	10/30/14	J	A	
117. Fed. Gavl Income Fund Class A		None	J	T					
118. Lord Abbett Intermediate Tax Fund	A	Int./Div.	K	T					
119. Thornburg Limited Term Fund	A	Int./Div.	K	T					

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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)
120. Wells Fargo Advantage Intermediate	A	Int./Div.	K	T					
121. Wells Fargo Advantage Municipal Fund	A	Int./Div.	K	T					
122. IShares 7-10 Year Treas Bond ETF	A	Int./Div.	J	T					
123. IShares Tips Bond ETF		None			Sold	02/06/14	J	A	
124. IShares JP Morgan USD Emerging Markets		None			Sold	12/26/14	J	A	
125. Blackrock High Yield		None	K	T					
126. Goldman Sachs Strategic Income		None	K	T					
127. Nuveen Symphony Floating		None	K	T					
128. Prudential Short Term Corporate Bond		None	K	T					
129. Virtus Multi-Sector Short Term Bond		None	K	T					
130. AQR Managed Futures Strategy	A	Int./Div.	J	T					
131. Ishares 7-10 year treas bond ETF	A	Int./Div.	J	T	Buy	12/16/14	J		
132. Powershares ETF Trust II		None	J	T	Buy	09/29/14	J		
133. Alps/Corecommodity Mangm Complete		None	J	T	Buy	10/30/14	J		
134. Tax Exempt Bonds:									
135. Virginia Beach Va Pub Impt 7/15/23		None			Sold	07/15/14	J	A	
136. Virginia Small Business Fing Auth 11/1/21	A	Interest	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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Name of Person Reporting

Smith, Rebecca B.

Date of Report

05/14/2015

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)
137. Arlington Cnty Va IDA 7/1/31	B	Interest	K	T					
138. Roanoke VA EDA Hosp 7/1/20	B	Interest	K	T					
139. Henrico County Va Econ Auth Res Care 10/1/35	A	Interest	K	T					
140. Brokerage Account #4 directing and holding (lines141-169)									
141. Resource Management Tax Free Fund (now UBS Bank USA Dep Acct)		None	J	T					
142. Equities/Stocks:									
143. IShares Trust Russell 1000 Value Index Fund	A	Dividend	J	T					
144. IShares Trust Russell 1000 Growth Index Fund	B	Dividend	J	T					
145. IShares Trust Russell Midcap Index Fund	B	Dividend	J	T					
146. IShares MSCI EAFE Index Fund	A	Dividend	J	T					
147. Vanguard Index Funds Vanguard Value	B	Dividend	J	T					
148. Vanguard Index Funds Vanguard Growth	B	Dividend	J	T					
149. IShares IBoxx \$ Invt Gra De Corporate	A	Dividend	J	T					
150. IShares Barclays Inter CR BD FD	A	Dividend	J	T					
151. IShares IBoxx High Yield Corp Bond		None	J	T					
152. Powershares Emerging Markets Sovereign		None			Sold	04/02/14	J	A	
153. SPDR Barclays Intl Treas Bond ETF		None			Sold	02/06/14	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 \$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, Rebecca B.

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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. SPDR Barclays Capital High Yield		None	J	T					
155. AQR Managed Futures Strategy Fund	B	Dividend	K	T					
156. Pimco Commodity Real Return Strategy		None			Sold	10/30/14	J	A	
157. IShares MSCI Emerging Markets		None	J	T					
158. Vanguard Index Funds Vanguard Small Cap	B	Dividend	J	T					
159. IShares Tips Bond		None			Sold	02/06/14	J	A	
160. IShares Inter Credit Bond	A	Dividend	J	T					
161. IShares Natl Amt-Free Muni Bond		None	J	T					
162. IShares JP Morgan USD Emerging Markets		None			Sold	12/26/14	J	A	
163. Market Vectors ETF Trust Inter Municipal	A	Dividend	K	T					
164. Market Vectors ETF Trust Long Municipal		None			Sold	02/06/14	J	A	
165. Market Vectors ETF Trust Short Municipal		None	K	T					
166. Market Vectors High Yield Muni ETF		None	K	T					
167. Powershares ETF Trust II		None	J	T	Buy	09/29/14	J		
168. Metropolitan West Total	A	Dividend	K	T	Buy	10/30/14	K		
169. Alps/Corecommodity mangm		None	J	T	Buy	10/30/14	J		
170. NUZ Investments LLC	C	Distribution	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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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/ Rebecca B. 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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Washington, D.C. 20544