

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 05/04/2017
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	6. Reporting Period 01/01/2016 to 12/31/2016
5b. ☐ Amended Report		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. _____	_____
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. 2016	Self Employed Attorney
2. 2016	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.)*

<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.)*

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	K	T					
2. Intuitive Surgical Inc.		None	K	T	Sold (part)	05/05/16	J	C	
3.					Sold (part)	06/27/16	J	C	
4.					Sold (part)	10/13/16	J	C	
5. American Tower Corp CL A	A	Dividend	K	T	Sold (part)	01/20/16	J	C	
6. Devon Energy Corp New		None			Sold	01/15/16	J	A	
7. Pepsico Incorporated	B	Dividend	K	T	Sold (part)	05/05/16	J	C	
8. Canadian Natl Ry Co.	A	Dividend	K	T					
9. Aetna: Whole Life Insurance Policy		None	L	T					
10. Quanta SVCS Inc		None	K	T					
11. Oneok Inc New	C	Dividend	L	T	Buy (add'l)	03/04/16	J		
12.					Buy (add'l)	03/17/16	J		
13.					Buy (add'l)	03/18/16	J		
14.					Sold (part)	05/31/16	J	A	
15.					Sold (part)	06/24/16	J	C	
16.					Sold (part)	08/16/16	J	B	
17.					Sold (part)	11/08/16	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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18.					Sold (part)	12/21/16	J	C	
19. AGNC Investment Corp (Formerly American Capital Agency Corp)	D	Dividend			Buy (add'l)	02/05/16	K		
20.					Sold (part)	12/14/16	K	A	
21.					Sold	12/15/16	J	A	
22. Williams Partners LP Com Unit Ltd Part Int	B	Distribution	K	T					
23. Ishares Trust Barclays 1-3 Yr. Treasury Bd FD	B	Dividend	N	T	Buy (add'l)	08/30/16	K		
24.					Sold (part)	08/16/16	J	A	
25. MFA Mortgage Investments Inc. (MFA Financial Inc)	C	Dividend	K	T	Buy (add'l)	03/04/16	J		
26.					Sold (part)	05/31/16	J	A	
27. Putnam Managed Municipal Income Trust- SBI	A	Dividend	J	T					
28. Putnam Municipal Opportunities Trust-SBI	B	Dividend	K	T					
29. Ishares Trust Iboxx \$ Investop Investment Grade Bond Fund	D	Dividend	M	T	Buy (add'l)	07/19/16	J		
30.					Sold (part)	03/04/16	J	A	
31.					Sold (part)	09/13/16	J	A	
32.					Sold (part)	09/14/16	J	A	
33.					Sold (part)	10/13/16	J	A	
34. Ishares Barclays Intermediate Credit Bond Fund	D	Dividend	M	T	Buy (add'l)	06/30/16	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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35.					Buy (add'l)	07/16/16	J		
36. Ishares Barclays 1-3 YR Credit Bond Fund ETF	C	Dividend	N	T	Buy (add'l)	06/30/16	J		
37.					Buy (add'l)	07/19/16	J		
38. Ishares Core US Credit Bond (FKA Ishares Trst Barclay Credit Bond ETF)	C	Dividend	L	T	Sold (part)	03/04/16	J	A	
39.					Sold (part)	06/24/16	K	C	
40.					Sold (part)	09/14/16	J	A	
41.					Sold (part)	10/13/16	J	A	
42.					Sold (part)	12/02/16	K	B	
43. Ameren Corp	B	Dividend	K	T	Sold (part)	02/24/16	J	B	
44.					Sold (part)	06/24/16	J	C	
45. Abbott Laboratories	A	Dividend	K	T	Sold (part)	06/24/16	J	A	
46. Enterprise Products Partners LP	B	Dividend	K	T					
47. Blackrock Income Trust Inc	B	Dividend	K	T	Sold (part)	12/02/16	J	A	
48. Gabelli Dividend & Income Fund	D	Dividend	M	T	Sold (part)	04/28/16	J	A	
49. Eli Lilly & Co	A	Dividend	K	T	Sold (part)	03/17/16	J	A	
50.					Sold (part)	04/13/16	J	A	
51.					Sold (part)	10/13/16	J	A	

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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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52. H & Q Healthcare Investors SBI	B	Dividend	K	T					
53. Managed Duration Invt Grade Mun FD	B	Dividend	K	T					
54. Ishares TR S&P Short Term Natl Amtfr	A	Dividend	L	T	Buy (add'l)	10/13/16	K		
55. Textron Inc	A	Dividend	J	T	Buy (add'l)	03/17/16	J		
56.					Sold (part)	01/27/16	J	A	
57. Vanguard Scottsdale Funds Vanguard Short Term Corp Bond ETF	D	Dividend	N	T	Buy (add'l)	03/04/16	L		
58.					Buy (add'l)	10/13/16	J		
59.					Sold (part)	05/05/16	J	A	
60. BlackRock Credit Allocation	D	Dividend	L	T	Sold (part)	02/24/16	J	A	
61.					Sold (part)	05/31/16	J	A	
62.					Sold (part)	09/13/16	J	A	
63.					Sold (part)	11/01/16	J	A	
64.					Sold (part)	11/10/16	J	A	
65. Ishares Trust S&P Global Info Technology Sector Index Fund	B	Dividend	M	T	Sold (part)	01/12/16	J	A	
66.					Sold (part)	02/24/16	J	B	
67.					Sold (part)	03/04/16	J	A	
68.					Sold (part)	11/01/16	J	A	

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69. Calamos Global Dynamic Income Fund	D	Dividend	L	T	Buy (add'l)	05/05/16	K		
70.					Sold (part)	05/05/16	K	A	
71.					Sold (part)	11/10/16	J	A	
72. Corning Inc	B	Dividend	L	T	Sold (part)	04/13/16	J	A	
73.					Sold (part)	05/31/16	J	A	
74.					Sold (part)	08/16/16	J	A	
75.					Sold (part)	11/08/16	J	A	
76. Koninklijke Philips Electrs N V Sponsored ADR New 2000	B	Dividend	K	T	Sold (part)	06/24/16	J	A	
77.					Sold (part)	08/16/16	J	A	
78.					Sold (part)	10/12/16	J	A	
79. Columbia Fds Ser TR IX Tax Exempt FD CL A	B	Dividend	K	T					
80. Ishares TR 2016 S&P AMT Free Municipal Ser Fd	A	Dividend			Sold	05/03/16	K	A	
81. Ishares TR 2017 S&P AMT Free Municipal Ser Fd	A	Dividend	K	T					
82. Gabelli Healthcare & Wellness Trust	C	Dividend	K	T	Sold (part)	01/12/16	J	A	
83.					Sold (part)	04/13/16	J	A	
84. BlackRock Equity Dividend Trust	C	Dividend	L	T	Sold (part)	01/12/16	J	A	
85.					Sold (part)	03/18/16	J	A	

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86.					Sold (part)	09/13/16	J	A	
87. Centerpoint Energy Inc.	A	Dividend	J	T	Buy (add'l)	03/17/16	J		
88.					Sold (part)	03/11/16	J	A	
89. American Electric Power Co Inc	A	Dividend	J	T	Sold (part)	03/02/16	J	A	
90.					Sold (part)	03/17/16	J	A	
91.					Sold (part)	04/13/16	J	A	
92.					Sold (part)	07/07/16	J	A	
93. Pimco ETF TR Enhanced Short Maturity	C	Dividend	N	T	Buy (add'l)	03/11/16	K		
94.					Sold (part)	04/13/16	J	A	
95. Southern Co	A	Dividend	K	T	Sold (part)	05/31/16	J	A	
96. Ishares TR Dow Jones SEL Divid Index FD	A	Dividend	K	T					
97. FirstEnergy Corp	A	Dividend	J	T	Sold (part)	07/20/16	J	A	
98. Sempra Energy	A	Dividend	K	T	Sold (part)	05/31/16	J	A	
99.					Sold (part)	07/07/16	J	A	
100. Anworth Mortgage Asset Corp	D	Dividend	L	T	Buy	02/02/16	J		
101.					Buy (add'l)	02/05/16	K		
102.					Buy (add'l)	02/24/16	K		

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103.					Buy (add'l)	05/05/16	J		
104.					Buy (add'l)	06/24/16	J		
105. Frontier Communications Corp	C	Dividend	K	T	Buy (add'l)	03/17/16	J		
106.					Buy (add'l)	11/08/16	J		
107.					Buy (add'l)	11/10/16	J		
108.					Sold (part)	03/02/16	J	A	
109.					Sold (part)	08/16/16	J	A	
110. Eaton Vance Risk Managed Global Diversified Equity Income	B	Dividend	K	T	Buy (add'l)	07/19/16	J		
111. Eaton Vance Tax Managed Global Diversified Equity Income		None	K	T					
112. Hollyfrontier Corporation		None			Sold	02/03/16	J	A	
113. Intel Corp	B	Dividend	L	T	Sold (part)	10/12/16	J	A	
114. Abbvie Inc. (Spinoff of Abbott Laboratories)	B	Dividend	K	T	Sold (part)	03/17/16	J	A	
115.					Sold (part)	08/16/16	J	A	
116.					Sold (part)	08/19/16	J	A	
117. Merck & Co. Inc.	B	Dividend	L	T	Sold (part)	06/24/16	J	A	
118.					Sold (part)	08/19/16	J	A	
119. Air Lease Corporation	A	Dividend	K	T	Sold (part)	01/20/16	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, 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)
120. Eaton Vance California Municipal Bond Fund	C	Dividend	K	T	Sold (part)	02/24/16	J	A	
121.					Sold (part)	05/02/16	J	A	
122.					Sold (part)	08/19/16	J	A	
123.					Sold (part)	09/14/16	J	A	
124. Ishares 2018 AMT Free Muni Term ETF	A	Dividend	K	T					
125. Conagra Foods Inc.	A	Dividend	K	T	Sold (part)	03/17/16	J	A	
126.					Sold (part)	04/13/16	J	A	
127.					Sold (part)	05/31/16	J	A	
128.					Sold (part)	10/31/16	J	A	
129. Discover Financial Services		None			Sold	01/20/16	J	A	
130. Citigroup Inc Com	A	Dividend	J	T	Buy (add'l)	12/07/16	J		
131.					Sold (part)	02/05/16	J	A	
132. Neuberger Berman Real Estate Securities Income Fund	B	Dividend	K	T	Sold (part)	01/12/16	J	A	
133.					Sold (part)	09/13/16	J	A	
134. Sunedison Inc		None			Sold (part)	01/12/16	J	A	
135.					Sold	01/15/16	J	A	
136. Money Mkt Obligs Tr Federated Prime Obligs FD	A	Dividend			Closed	09/30/16	O		

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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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)
137. Ishares 3 to 7 Year Treasury Bond ETF	C	Dividend	N	T	Buy (add'l)	08/30/16	J		
138.					Sold (part)	05/05/16	J	A	
139.					Sold (part)	06/24/16	J	A	
140.					Sold (part)	07/19/16	J	A	
141. Ishares US ETF Tr Short Term Maturity Bond ETF	C	Dividend	N	T	Buy (add'l)	05/31/16	L		
142.					Buy (add'l)	06/24/16	L		
143. One Gas Inc.	A	Dividend	K	T	Sold (part)	01/20/16	J	A	
144.					Sold (part)	02/24/16	J	B	
145. Ishares Tr 0-5 Yr Invt Grade Corp Bd ETF	A	Dividend	L	T					
146. SPDR Nuveen Barclays California Municipal Bond ETF	B	Dividend			Sold	09/02/16	L	C	
147. Nuveen California AMT Free Municipal Income Fund	B	Dividend	K	T					
148. SPDR Nuveen Barclays Short Term Municipal Bond ETF	A	Dividend	K	T	Buy	03/04/16	L		
149.					Sold (part)	03/16/16	J	A	
150. Ishares Gold Trust		None	K	T	Buy	09/21/16	J		
151.					Buy (add'l)	09/30/16	J		
152.					Buy (add'l)	10/31/16	J		
153.					Buy (add'l)	12/21/16	K		

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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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. Central Fund of Canada LTD CL-A Non Voting Shares	A	Dividend	K	T	Buy (add'l)	02/24/16	J		
155.					Buy (add'l)	03/17/16	J		
156.					Buy (add'l)	04/13/16	J		
157.					Buy (add'l)	05/02/16	J		
158.					Buy (add'l)	05/31/16	J		
159.					Buy (add'l)	08/19/16	J		
160.					Sold (part)	12/21/16	K	A	
161. Pimco Intermediate Municipal Bond Active Exchange Traded Fund	A	Dividend	K	T	Buy (add'l)	06/30/16	J		
162. Alps ETF TR Alerian MLP	A	Dividend	J	T	Buy	08/11/16	J		
163.					Buy (add'l)	12/07/16	J		
164. Pattern Energy Group Inc Class A	A	Dividend	J	T	Buy	04/28/16	J		
165.					Buy (add'l)	05/05/16	J		
166.					Buy (add'l)	06/24/16	J		
167.					Buy (add'l)	07/06/16	J		
168.					Buy (add'l)	10/12/16	J		
169.					Sold (part)	12/02/16	K	A	
170. Kinder Morgan Inc		None			Sold	01/12/16	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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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)
171. Centurylink Inc	B	Dividend	K	T	Buy (add'l)	05/05/16	J		
172. Northern Tier Energy LP	A	Dividend			Buy (add'l)	02/24/16	J		
173.					Sold (part)	03/11/16	J	A	
174.					Sold	04/06/16	K	A	
175. Communications Sales & Leasing Inc Com (Spinoff of Windstream Corp)	B	Dividend	K	T	Buy	04/28/16	J		
176.					Buy (add'l)	05/05/16	J		
177.					Buy (add'l)	06/24/16	J		
178.					Buy (add'l)	07/06/16	J		
179.					Buy (add'l)	12/02/16	J		
180.					Sold (part)	12/02/16	J	A	
181. Bank of Nova Scotia	A	Dividend	J	T	Sold (part)	04/28/16	J	A	
182.					Sold (part)	08/30/16	J	A	
183. Annaly Capital Management Inc		None			Buy	07/06/16	J		
184.					Sold (part)	07/18/16	J	A	
185.					Sold	12/15/16	J	A	
186. Vanguard Calif Tax Free Intermediate Term Tax Exempt Fund	B	Dividend	K	T	Buy (add'l)	01/12/16	K		
187.					Buy (add'l)	03/17/16	K		

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, 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				
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188.					Sold (part)	12/28/16	K	A	
189. Eaton Corporation	A	Dividend	J	T	Buy	03/17/16	J		
190. Vanguard Short Term Government Bond ETF	B	Dividend	N	T	Buy (add'l)	02/24/16	M		
191.					Buy (add'l)	03/02/16	K		
192.					Buy (add'l)	05/05/16	L		
193.					Buy (add'l)	07/20/16	K		
194.					Buy (add'l)	08/19/16	L		
195.					Sold (part)	12/28/16	K	A	
196. US Govt Money Market Fund RBS Reserve Class	A	Dividend	M	T					
197. Transamerica Advisors: Whole Life Insurance Policy		None	K	T					
198. Aurora National Life Assurance: Whole Life Insurance Policy		None	K	T					
199. Metlife: Whole Life Insurance Policy	A	Dividend	J	T					
200. Lamb Weston Holdings Inc Common Stock (Spinoff of Conagra Foods Inc.)	A	Dividend	J	T	Spinoff (from line 125)	11/10/16	J		
201.					Sold (part)	11/10/16	J	A	
202. Orbital Atk Inc Com	A	Dividend	J	T	Buy	10/13/16	J		
203.					Buy (add'l)	12/07/16	J		
204. Tsakos Energy Navig USD1	A	Dividend	J	T	Buy	05/31/16	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.)

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205.					Buy (add'l)	06/01/16	J		
206.					Buy (add'l)	06/30/16	J		
207.					Buy (add'l)	08/30/16	J		
208.					Sold (part)	09/13/16	J	A	
209. Vaneck Vectors ETF TR Gold Miners ETF		None	J	T	Buy	12/20/16	J		
210. Alps ETF TR Sprott Gold Miners ETF	A	Dividend	K	T	Buy	02/05/16	J		
211.					Buy (add'l)	02/24/16	J		
212.					Buy (add'l)	03/17/16	J		
213.					Buy (add'l)	04/13/16	J		
214.					Buy (add'l)	05/05/16	J		
215.					Buy (add'l)	06/30/16	J		
216.					Sold (part)	12/20/16	J	A	
217. Euronav NV	B	Dividend	K	T	Buy	05/31/16	J		
218.					Buy (add'l)	06/01/16	J		
219.					Buy (add'l)	06/24/16	J		
220.					Buy (add'l)	07/06/16	J		
221.					Buy (add'l)	08/19/16	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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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.)

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222.					Buy (add'l)	09/13/16	J		
223.					Sold (part)	09/30/16	J	A	
224. Vanguard Scottsdale Funds Vanguard Intermediate-Term	A	Dividend			Buy	10/13/16	K		
225.					Sold	12/02/16	K	A	
226. SPDR Ser TR S&P Biotech ETF	A	Dividend	J	T	Buy	04/28/16	J		
227.					Buy (add'l)	08/04/16	J		
228. Franco-Nevada Corporation		None	J	T	Buy	12/29/16	J		
229. Pimco Stocksplus Short Fund Class		None	J	T	Buy	11/07/16	J		
230. Hatteras Financial Group	A	Dividend			Buy	02/02/16	J		
231.					Sold	07/15/16	J		
232. Allergan PLC		None			Buy	06/02/16	J		
233.					Buy (add'l)	07/06/16	J		
234.					Sold	11/30/16	J	A	
235. Vanguard FTSE Developed Markets ETF	A	Dividend	K	T	Buy	07/20/16	K		
236. Schwab Target 2030 Fund	A	Dividend	K	T	Buy	01/02/16	K		
237. Schwab CA Tax Free Bond	A	Dividend	K	T	Buy	01/02/16	L		

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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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/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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544