

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 08/02/2012
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 01/01/2011 to 12/31/2011
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. Insert signature on last page.		

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. 2011

Self employed attorney

2. 2011

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.	A	Dividend	K	T	Buy	07/26/11	J		
2. General Electric Co.		None			Buy (add'l)	07/27/11	K		
3. General Electric Co.		None			Sold (part)	10/31/11	J	A	
4. Coca-Cola Company	A	Dividend	J	T					
5. Intuitive Surgical Inc.		None	K	T					
6. Kinder Morgan energy Partners LP Unit Ltd Partnership	B	Distribution	K	T					
7. American Tower Corp CL A	A	Dividend	K	T					
8. Devon Energy Corp New	A	Dividend	K	T	Sold (part)	07/27/11	J	C	
9. Devon Energy Corp New		None			Buy (add'l)	09/27/11	J		
10. L-3 Communications Holdings Inc.		None			Sold	02/23/11	K	D	
11. Pepsico Incorporated	B	Dividend	K	T	Buy (add'l)	11/07/11	J		
12. Time Warner, Inc.	A	Dividend	J	T					
13. Time Warner Cable	A	Dividend	J	T					
14. Canadian Natl Ry Co.	A	Dividend	K	T					
15. First Colony Life Policy		None	J	T					
16. Aetna Life Policy	A	Int./Div.	K	T					
17. California Pizza Kitchen		None	K	T	Sold (part)	07/12/11	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000,001 - \$500,000,000	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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☐ 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)

18. Quanta SVCS Inc		None	K	T					
19. Dow Chemical Company 5.750 12/15/12	A	Interest	J	T					
20. Dow Chemical Company 5.3000 3/15/13	A	Interest	J	T					
21. Franklin Universal Trust	C	Dividend	L	T	Buy (add'l)	07/28/11	J		
22. Franklin Universal Trust		None			Buy (add'l)	07/29/11	J		
23. Goldman Sachs 5.250 10/15/13	A	Interest	J	T					
24. John Hancock Life Ins Co Sr. Uns 4.15% Due 2/15/12	A	Interest	J	T					
25. La Salle Fndg LLC Multi 3.000 1/15/11	A	Interest	J	T					
26. McDonald's Corp 6.000 4/15/11	A	Interest	J	T					
27. MFS Intermediate Income Trust	C	Dividend	J	T	Buy (add'l)	03/04/11	K		
28. MFS Intermediate Income Trust		None			Sold (part)	07/28/11	K	A	
29. MFS Intermediate Income Trust		None			Sold (part)	09/28/11	K	A	
30. National Rural Utilities 4.125 2/15/11	A	Interest			Sold	02/15/11	J	A	
31. New York Tel Co. 7.000 6/15/13	A	Interest	J	T					
32. Teco Energy Inc 7.200 5/1/11	A	Interest			Sold	05/02/11	J	A	
33. Oneok Inc New	B	Dividend	L	T	Sold (part)	04/18/11	K	D	
34. Oneok Inc New		None			Sold (part)	07/01/11	J	D	

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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. Oneok Inc New		None			Sold (part)	07/27/11	J	C	
36. Century Tel., Inc. Cpn 5.000% Due 2/15/15	A	Interest	J	T					
37. Dean Witter Discover Odd Cpn Med Term Notes 7.07% 2/10/14	A	Interest	J	T					
38. Boeing Co. Global Notes Cpn 5.125% Due 2/15/13	A	Interest	J	T					
39. Genzyme Corp Gen Div		None			Merged (with line 272)	05/09/11	J		
40. Marriott Int Inc Class A	A	Dividend	J	T					
41. Money Mkt Oblig Trust Auto Cash Mgmt	A	Int./Div.	J	T					
42. American Capital Agency Corp	E	Dividend	L	T	Buy (add'l)	07/06/11	J		
43. American Capital Agency Corp		None			Buy (add'l)	07/26/11	J		
44. Williams Partners LP Com Unit Ltd Part Int	B	Distribution	K	T	Sold (part)	03/04/11	J	C	
45. Ishares Trust Barclays 1-3 Yr. Treasury Bd FD	A	Dividend	M	T					
46. Capstead Mtg Corp Com No Par	C	Dividend	K	T					
47. MFA Mortgage Investments Inc. (MFA Financial Inc)	D	Dividend	K	T	Buy (add'l)	07/06/11	J		
48. MFA Mortgage Investments Inc. (MFA Financial Inc)		None			Buy (add'l)	07/26/11	J		
49. MFA Mortgage Investments Inc. (MFA Financial Inc)		None			Buy (add'l)	07/28/11	J		
50. MFA Mortgage Investments Inc. (MFA Financial Inc)		None			Buy (add'l)	09/27/11	J		
51. MFA Mortgage Investments Inc. (MFA Financial Inc)		None			Buy (add'l)	10/25/11	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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52. MFA Mortgage Investments Inc. (MFA Financial Inc)		None			Sold (part)	11/01/11	J	A	
53. MFA Mortgage Investments Inc. (MFA Financial Inc)		None			Sold (part)	11/07/11	J	A	
54. Hatteras Financial Corp	D	Dividend	K	T	Buy (add'l)	04/08/11	J		
55. Hatteras Financial Corp		None			Buy (add'l)	07/06/11	J		
56. Hatteras Financial Corp		None			Buy (add'l)	07/28/11	J		
57. Hatteras Financial Corp		None			Buy (add'l)	09/27/11	J		
58. Hatteras Financial Corp		None			Sold (part)	11/09/11	J	A	
59. Putnam Managed Municipal Income Trust-SBI	B	Dividend	K	T	Buy (add'l)	03/04/11	J		
60. Putnam Managed Municipal Income Trust-SBI		None			Sold (part)	03/17/11	J	B	
61. Putnam Managed Municipal Income Trust-SBI		None			Sold (part)	07/27/11	J	B	
62. Putnam Municipal Opportunities Trust-SBI	C	Dividend	L	T	Buy (add'l)	03/04/11	J		
63. Putnam Municipal Opportunities Trust-SBI		None			Sold (part)	07/27/11	J	A	
64. Putnam Municipal Opportunities Trust-SBI		None			Sold (part)	10/03/11	J	A	
65. Seligman Mun FD SER Inc Natl Ser CL A	A	Dividend	K	T	Sold (part)	07/27/11	K	A	
66. Fidelity Advisor Mun Income Fund CL T	A	Int./Div.			Sold	01/20/11	L	A	
67. Gabelli Gbl Util Inc Trust GDV	B	Dividend	K	T					
68. Ishares Trust Iboxx \$ Investop Investment Grade Bond Fund	C	Dividend	M	T	Buy (add'l)	07/06/11	K		

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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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69. Ishares Trust Iboxx \$ Investop Investment Grade Bond Fund		None			Sold (part)	04/08/11	J	A	
70. Ishares Trust Iboxx \$ Investop Investment Grade Bond Fund		None			Sold (part)	06/02/11	J	A	
71. Ishares Trust Iboxx \$ Investop Investment Grade Bond Fund		None			Sold (part)	07/27/11	J	A	
72. Ishares Trust Iboxx \$ Investop Investment Grade Bond Fund		None			Sold (part)	11/09/11	J	A	
73. Ishares Barclays Intermediate Credit Bond Fund	D	Dividend	N	T	Buy (add'l)	07/06/11	K		
74. Ishares Barclays Intermediate Credit Bond Fund		None			Buy (add'l)	07/21/11	K		
75. Ishares Barclays Intermediate Credit Bond Fund		None			Buy (add'l)	07/27/11	J		
76. Ishares Barclays MBS Bond Fund ETF	C	Dividend	L	T	Sold (part)	03/04/11	L	A	
77. Ishares Barclays 1-3 YR Credit Bond Fund ETF		None	M	T					
78. Annaly Capital Management Inc.	D	Dividend	L	T	Buy (add'l)	06/02/11	J		
79. Annaly Capital Management Inc.		None			Buy (add'l)	07/06/11	J		
80. Annaly Capital Management Inc.		None			Buy (add'l)	07/26/11	J		
81. Annaly Capital Management Inc.		None			Buy (add'l)	07/28/11	J		
82. Annaly Capital Management Inc.		None			Buy (add'l)	11/04/11	J		
83. Annaly Capital Management Inc.		None			Buy (add'l)	11/09/11	J		
84. Annaly Capital Management Inc.		None			Sold (part)	11/04/11	J	A	
85. Linn Energy LLC	C	Distribution	K	T	Buy (add'l)	07/06/11	J		

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86. Linn Energy LLC		None			Sold (part)	07/27/11	J	A	
87. Copano Energy LLC	C	Distribution	K	T	Sold (part)	07/27/11	J	B	
88. Ishares Trust Barclays Credit Bond Fund ETF	D	Dividend	M	T	Buy (add'l)	07/06/11	K		
89. Ishares Trust Barclays Credit Bond Fund ETF		None			Sold (part)	07/27/11	L	B	
90. Ishares Trust Barclays Credit Bond Fund ETF		None			Sold (part)	11/09/11	J	A	
91. Ameren Corp	B	Dividend	J	T					
92. Cenovus Energy Inc	A	Dividend	K	T	Buy (add'l)	09/27/11	J		
93. Encana Corp	A	Dividend	J	T	Buy (add'l)	07/27/11	J		
94. Encana Corp		None			Sold (part)	09/27/11	K	A	
95. Abbott Laboratories	B	Dividend	K	T					
96. H & Q Life Sciences Investors SBI	C	Dividend	K	T	Buy (add'l)	06/07/11	J		
97. H & Q Life Sciences Investors SBI		None			Buy (add'l)	07/27/11	K		
98. H & Q Life Sciences Investors SBI		None			Sold (part)	06/02/11	J	B	
99. H & Q Life Sciences Investors SBI		None			Sold (part)	07/27/11	K	D	
100. H & Q Life Sciences Investors SBI		None			Sold (part)	08/16/11	J	A	
101. Enterprise Products Partners LP	C	Distribution	L	T	Buy (add'l)	07/06/11	J		
102. Enterprise Products Partners LP		None			Buy (add'l)	07/26/11	J		

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103. Teco Energy Inc	A	Dividend			Sold	07/01/11	J	A	
104. Blackrock Income Trust Inc	D	Dividend	N	T	Sold (part)	06/02/11	J	A	
105. Blackrock Income Trust Inc		None			Buy (add'l)	07/01/11	J		
106. Blackrock Income Trust Inc		None			Buy (add'l)	07/06/11	K		
107. Blackrock Income Trust Inc		None			Sold (part)	07/26/11	J	A	
108. Blackrock Income Trust Inc		None			Sold (part)	09/27/11	J	A	
109. Blackrock Income Trust Inc		None			Sold (part)	10/03/11	J	A	
110. Blackrock Income Trust Inc		None			Sold (part)	11/08/11	J	A	
111. Blackrock Income Trust Inc		None			Sold (part)	11/09/11	J	A	
112. DWS Dremar Value Income Edge Fund Inc New	D	Dividend	L	T	Buy (add'l)	01/20/11	J		
113. DWS Dremar Value Income Edge Fund Inc New		None			Buy (add'l)	06/02/11	J		
114. DWS Dremar Value Income Edge Fund Inc New		None			Buy (add'l)	08/16/11	J		
115. Franklin Investors Secs Tr Adjustable US Govt Secs Fund	A	Dividend			Sold	06/02/11	K	A	
116. Gabelli Dividend & Income Fund	B	Dividend	L	T	Buy (add'l)	07/06/11	J		
117. Gabelli Dividend & Income Fund		None			Buy (add'l)	07/26/11	J		
118. Gabelli Dividend & Income Fund		None			Buy (add'l)	07/27/11	K		
119. Gabelli Dividend & Income Fund		None			Buy (add'l)	07/28/11	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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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. Gabelli Dividend & Income Fund		None			Buy (add'l)	09/27/11	J		
121. Gabelli Dividend & Income Fund		None			Buy (add'l)	11/07/11	J		
122. Gabelli Dividend & Income Fund		None			Buy (add'l)	11/09/11	J		
123. Gabelli Dividend & Income Fund		None			Sold (part)	09/27/11	K	A	
124. Ishares Trust Barclays 1-3 Yr Credit Bond Fund ETF	C	Dividend	J	T	Buy (add'l)	07/06/11	K		
125. Ishares Trust Barclays 1-3 Yr Credit Bond Fund ETF		None			Buy (add'l)	07/21/11	K		
126. Ishares Trust Barclays 1-3 Yr Credit Bond Fund ETF		None			Buy (add'l)	10/03/11	J		
127. H J Heinz Co	A	Dividend	K	T	Buy (add'l)	07/06/11	J		
128. Eli Lilly & Co	A	Dividend	K	T	Buy (add'l)	07/06/11	J		
129. Eli Lilly & Co		None			Buy (add'l)	07/26/11	J		
130. Statoil Asa Sponsored ADR	A	Dividend	K	T	Buy (add'l)	07/06/11	J		
131. St Jude Medical Inc	A	Dividend	J	T	Sold (part)	11/07/11	J	A	
132. Windstream Corp	B	Dividend	K	T	Sold (part)	01/20/11	J	A	
133. Windstream Corp		None			Buy (add'l)	07/06/11	J		
134. Windstream Corp		None			Buy (add'l)	07/26/11	J		
135. Windstream Corp		None			Buy (add'l)	08/16/11	J		
136. Windstream Corp		None			Buy (add'l)	11/09/11	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)
137. Schwab CA Muni Money Fund Cash Money Market Fund (X)	A	Int./Div.	L	T					
138. Western Asset Emerging Mkts Income Fd Inc	D	Dividend	M	T	Buy (add'l)	01/20/11	J		
139. Western Asset Emerging Mkts Income Fd Inc		None			Buy (add'l)	07/01/11	K		
140. Western Asset Emerging Mkts Income Fd Inc		None			Buy (add'l)	07/06/11	K		
141. Western Asset Emerging Mkts Income Fd Inc		None			Sold (part)	07/26/11	J	A	
142. Western Asset Emerging Mkts Income Fd Inc		None			Sold (part)	07/27/11	J	A	
143. Western Asset Emerging Mkts Income Fd Inc		None			Buy (add'l)	09/27/11	J		
144. Western Asset Emerging Mkts Income Fd Inc		None			Buy (add'l)	10/03/11	L		
145. Western Asset Emerging Mkts Income Fd Inc		None			Buy (add'l)	11/08/11	J		
146. Western Asset Emerging Mkts Income Fd Inc		None			Buy (add'l)	11/09/11	J		
147. Western Asset Emerging Mkts Income Fd Inc		None			Buy (add'l)	12/30/11	J		
148. RBC Prime Money Market Cash Reserve	A	Dividend	J	T					
149. H & Q Healthcare Investors SBI	C	Dividend	K	T	Buy (add'l)	07/06/11	J		
150. H & Q Healthcare Investors SBI		None			Buy (add'l)	08/16/11	K		
151. H & Q Healthcare Investors SBI		None			Sold (part)	11/09/11	J	A	
152. NFJ Divid Int & Prem Strategy FD	D	Dividend	L	T	Buy (add'l)	04/08/11	J		
153. NFJ Divid Int & Prem Strategy FD		None			Sold (part)	06/03/11	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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☐ 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. NFJ Divid Int & Prem Strategy FD		None			Sold (part)	07/28/11	J	B	
155. NFJ Divid Int & Prem Strategy FD		None			Sold (part)	08/16/11	J	A	
156. NFJ Divid Int & Prem Strategy FD		None			Sold (part)	09/28/11	J	A	
157. NFJ Divid Int & Prem Strategy FD		None			Sold (part)	09/29/11	K	A	
158. NFJ Divid Int & Prem Strategy FD		None			Buy (add'l)	11/09/11	J		
159. Ishares TR 2012 S&P AMT Free Municipal Ser FD	A	Dividend	K	T					
160. Ishares TR 2013 S&P AMT Free Municipal Ser FD	A	Dividend	K	T					
161. Ishares TR 2014 S&P AMT Free Municipal Ser FD	A	Dividend	K	T					
162. Managed Duration Invt Grade Mun FD	B	Dividend	K	T	Sold (part)	03/17/11	J	C	
163. Managed Duration Invt Grade Mun FD		None			Sold (part)	07/27/11	J	A	
164. Managed Duration Invt Grade Mun FD		None			Sold (part)	07/28/11	J	B	
165. Ishares TR S&P Short Term Natl Amtr	A	Dividend	K	T					
166. Textron Inc	A	Dividend	K	T	Buy (add'l)	07/06/11	J		
167. Textron Inc		None			Sold (part)	07/26/11	J	A	
168. Templeton Income TR Global Total Return FD ADV CL	C	Dividend			Buy (add'l)	06/02/11	L		
169. Templeton Income TR Global Total Return FD ADV CL		None			Buy (add'l)	07/27/11	L		
170. Templeton Income TR Global Total Return FD ADV CL		None			Sold (part)	09/28/11	L	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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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. Templeton Income TR Global Total Return FD ADV CL		None			Sold	11/04/11	K	A	
172. Vanguard Scottsdale Funds Vanguard Short Term Corp Bond ETF	C	Dividend	M	T	Buy (add'l)	07/28/11	M		
173. Vanguard Scottsdale Funds Vanguard Short Term Corp Bond ETF		None			Buy (add'l)	09/29/11	K		
174. Vanguard Scottsdale Funds Vanguard Short Term Corp Bond ETF		None			Sold (part)	11/07/11	K	A	
175. Allegheny Energy Inc.	A	Dividend	J	T					
176. BlackRock Credit Allocation	D	Dividend	M	T	Buy	03/04/11	L		
177. BlackRock Credit Allocation		None			Buy (add'l)	06/03/11	K		
178. BlackRock Credit Allocation		None			Buy (add'l)	07/01/11	K		
179. BlackRock Credit Allocation		None			Buy (add'l)	07/06/11	K		
180. BlackRock Credit Allocation		None			Buy (add'l)	09/27/11	J		
181. BlackRock Credit Allocation		None			Buy (add'l)	11/04/11	K		
182. BlackRock Credit Allocation		None			Buy (add'l)	11/09/11	J		
183. Ishares Trust Dow Jones US Technology Index Fund	A	Dividend	J	T	Buy	04/08/11	K		
184. Ishares Trust Dow Jones US Technology Index Fund		None			Buy (add'l)	04/13/11	K		
185. Ishares Trust Dow Jones US Technology Index Fund		None			Buy (add'l)	07/06/11	J		
186. Ishares Trust Dow Jones US Technology Index Fund		None			Sold (part)	07/26/11	J	A	
187. Ishares Trust Dow Jones US Technology Index Fund		None			Buy (add'l)	07/27/11	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 \$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. Ishares Trust Dow Jones US Technology Index Fund		None			Sold (part)	09/27/11	L	A	
189. Ishares Trust S&P Global Info Technology Sector Index Fund	A	Dividend	L	T	Buy	09/27/11	K		
190. Ishares Trust S&P Global Info Technology Sector Index Fund		None			Buy (add'l)	09/28/11	K		
191. Calamos Global Dynamic Income Fund	C	Dividend	L	T	Buy	07/06/11	J		
192. Calamos Global Dynamic Income Fund		None			Buy (add'l)	07/26/11	J		
193. Calamos Global Dynamic Income Fund		None			Buy (add'l)	07/27/11	J		
194. Calamos Global Dynamic Income Fund		None			Buy (add'l)	07/28/11	K		
195. Calamos Global Dynamic Income Fund		None			Buy (add'l)	09/27/11	K		
196. Calamos Global Dynamic Income Fund		None			Buy (add'l)	10/25/11	K		
197. Calamos Global Dynamic Income Fund		None			Buy (add'l)	11/09/11	J		
198. Calamos Global Dynamic Income Fund		None			Sold (part)	09/27/11	J	A	
199. Liberty All-Star Equity Fund Sh Ben Int	C	Dividend	J	T	Buy	01/20/11	K		
200. Liberty All-Star Equity Fund Sh Ben Int		None			Buy (add'l)	03/04/11	K		
201. Liberty All-Star Equity Fund Sh Ben Int		None			Buy (add'l)	04/08/11	K		
202. Liberty All-Star Equity Fund Sh Ben Int		None			Buy (add'l)	04/13/11	K		
203. Liberty All-Star Equity Fund Sh Ben Int		None			Sold (part)	08/15/11	J	A	
204. Liberty All-Star Equity Fund Sh Ben Int		None			Sold (part)	09/29/11	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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☐ 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. Liberty All-Star Equity Fund Sh Ben Int		None			Sold (part)	10/03/11	J	A	
206. Liberty All-Star Equity Fund Sh Ben Int		None			Sold (part)	10/10/11	K	A	
207. Liberty All-Star Equity Fund Sh Ben Int		None			Sold (part)	11/17/11	K	A	
208. Corning Inc	A	Dividend	J	T	Buy	07/06/11	J		
209. Corning Inc		None			Sold (part)	07/26/11	J	A	
210. Corning Inc		None			Buy (add'l)	07/27/11	K		
211. Corning Inc		None			Sold (part)	09/27/11	K	A	
212. Templeton Global Bond Fund Advisor CL	D	Dividend	L	T	Buy	09/28/11	M		
213. Templeton Global Bond Fund Advisor CL		None			Buy (add'l)	11/04/11	L		
214. Templeton Global Bond Fund Advisor CL		None			Sold (part)	12/31/11	K	A	
215. AES Corp		None	K	T	Buy	04/08/11	K		
216. AES Corp		None			Buy (add'l)	07/01/11	J		
217. Koninklijke Philips Electrs N V Sponsored ADR New 2000		None	K	T	Buy	09/27/11	K		
218. Koninklijke Philips Electrs N V Sponsored ADR New 2000		None			Buy (add'l)	11/01/11	J		
219. Royce Value Trust Inc.	B	Dividend			Buy	01/21/11	J		
220. Royce Value Trust Inc.		None			Buy (add'l)	04/08/11	K		
221. Royce Value Trust Inc.		None			Sold (part)	08/15/11	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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☐ 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. Royce Value Trust Inc.		None			Sold	09/28/11	K	A	
223. Columbia Fds Ser TR IX Tax Exempt FD CL A	A	Dividend	K	T	Buy	03/04/11	K		
224. Columbia Fds Ser TR IX Tax Exempt FD CL A		None			Sold (part)	07/27/11	J	A	
225. Ishares TR 2015 S&P AMT Free Municipal Ser Fd	A	Dividend	K	T	Buy	03/04/11	J		
226. Ishares TR 2015 S&P AMT Free Municipal Ser Fd		None			Buy (add'l)	03/08/11	J		
227. Ishares TR 2016 S&P AMT Free Municipal Ser Fd	A	Dividend	K	T	Buy	03/25/11	K		
228. Ishares TR 2017 S&P AMT Free Municipal Ser Fd	A	Dividend	K	T	Buy	09/29/11	K		
229. Gabelli Healthcare & Wellness Trust		None	K	T	Buy	07/01/11	J		
230. Gabelli Healthcare & Wellness Trust		None			Buy (add'l)	07/07/11	J		
231. Gabelli Healthcare & Wellness Trust		None			Sold (part)	07/26/11	J	A	
232. Gabelli Healthcare & Wellness Trust		None			Buy (add'l)	07/28/11	J		
233. Gabelli Healthcare & Wellness Trust		None			Buy (add'l)	08/16/11	J		
234. Gabelli Healthcare & Wellness Trust		None			Buy (add'l)	09/29/11	K		
235. Gabelli Healthcare & Wellness Trust		None			Buy (add'l)	10/03/11	J		
236. Gabelli Healthcare & Wellness Trust		None			Buy (add'l)	11/07/11	J		
237. BlackRock Strategic Equity Dividend Trust	A	Dividend	J	T	Buy	11/09/11	J		
238. BlackRock Equity Dividend Trust	A	Dividend	K	T	Buy	11/08/11	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)

239. BlackRock Equity Dividend Trust		None			Buy (add'l)	11/09/11	K		
240. Centerpoint Energy Inc.	A	Dividend	J	T	Buy	07/06/11	J		
241. Centerpoint Energy Inc.		None			Sold (part)	07/26/11	J	A	
242. Centerpoint Energy Inc.		None			Sold (part)	11/09/11	J	A	
243. American Electric Power Co Inc	A	Dividend	J	T	Buy	07/06/11	J		
244. American Electric Power Co Inc		None			Sold (part)	11/09/11	J	A	
245. Duke Energy Corporation (Holding Company) New	A	Dividend			Buy	07/06/11	J		
246. Duke Energy Corporation (Holding Company) New		None			Sold	11/01/11	J		
247. Ishares TR Dow Jones EPAC Select Dividend	A	Dividend			Buy	07/26/11	K		
248. Ishares TR Dow Jones EPAC Select Dividend		None			Buy (add'l)	07/28/11	K		
249. Ishares TR Dow Jones EPAC Select Dividend		None			Sold (part)	09/27/11	J	A	
250. Ishares TR Dow Jones EPAC Select Dividend		None			Sold	11/09/11	K	A	
251. Microchip Technology	A	Dividend	J	T	Buy	07/26/11	J		
252. Microchip Technology		None			Buy (add'l)	07/27/11	J		
253. Microchip Technology		None			Sold (part)	11/09/11	J	A	
254. Public Service Enterprise Group Inc	A	Dividend	J	T	Buy	07/06/11	J		
255. Public Service Enterprise Group Inc		None			Sold (part)	11/09/11	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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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. Targa Resources Partners LP Unit Ltd Partnership Int	A	Dividend	J	T	Buy	07/06/11	J		
257. Targa Resources Partners LP Unit Ltd Partnership Int		None			Sold (part)	07/26/11	J	A	
258. Invesco Mortgage Capital Inc		None	J	T	Buy	11/01/11	J		
259. John Hancock Bank and Thrift Opportunity Fund	A	Dividend			Buy	07/01/11	J		
260. John Hancock Bank and Thrift Opportunity Fund		None			Sold	09/27/11	J	A	
261. Pimco ETF TR Enhanced Short Maturity	A	Dividend	L	T	Buy	07/28/11	L		
262. Southern Co	A	Dividend	J	T	Buy	07/01/11	J		
263. Southern Co		None			Sold (part)	09/27/11	J	A	
264. ConocoPhillips	A	Dividend	J	T	Buy	07/01/11	J		
265. Ishares TR Dow Jones SEL Divid Index FD	A	Dividend	K	T	Buy	09/27/11	K		
266. Ishares TR Dow Jones SEL Divid Index FD		None			Buy (add'l)	11/07/11	J		
267. Apollo Residential Mortgage Inc		None	J	T	Buy	10/25/11	J		
268. Intel Corp		None			Buy	07/01/11	J		
269. Intel Corp		None			Sold	07/28/11	J	A	
270. American Capital Mortgage Investment Corp		None	J	T	Buy	10/25/11	J		
271. Genzyme Waive Diss & Contra Cusip		None			Merged (with line 272)	05/09/11	J		
272. RTS Sanofi Contingent Value RT		None			Buy	05/09/11	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)

273. RTS Sanofi Contingent Value RT		None			Sold	07/01/11	J	A	
274. CenturyLink Inc (X)	A	Dividend	J	T					
275. Sprint Nextel Corp (X)		None	J	T					
276. FirstEnergy Corp	A	Dividend	J	T	Buy	11/07/11	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Item 277, Part VII (RTS Sanofi Contingent Value RT). This asset, RTS Sanofi Contingent Value RT, was acquired through a spin-off of asset #276 (Genzyme Waive Diss & Contra Cusip) and #44 (Genzyme Corp Gen Div) on May 9th, 2011.

Item 279, Part VII (CenturyLink Inc). This asset, CenturyLink Inc. in the amount of \$74.40, was inadvertently omitted on my prior report. It is held by my IRA.

Item 280, Part VII (Sprint Nextel Corp). This asset, Sprint Nextel Corp in the amount of \$118.51, was inadvertently omitted on my prior report. It is held by my IRA.

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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
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