

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 05/10/2016
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 01/01/2015 to 12/31/2015
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.	Director	Western Justice Center
2.	Director	Ninth Judicial Circuit Historical Society
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 27

Name of Person Reporting

Smith, Jr., Milan D.

Date of Report

05/10/2016

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.		
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.)*

DATE	SOURCE AND TYPE
1. 2015	Self Employed Attorney
2. 2015	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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Lewis & Clark Law School	11/03/15 - 11/05/15	Portland, OR	Give Huffman Lecture	Transportation, food & hotel
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 27

Name of Person Reporting
Smith, Jr., Milan D.

Date of Report
05/10/2016

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 27

Name of Person Reporting

Smith, Jr., Milan D.

Date of Report

05/10/2016

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	Buy (add'l)	02/11/15	J		
2.					Buy (add'l)	06/24/15	J		
3.					Sold (part)	01/13/15	J	A	
4.					Sold (part)	03/12/15	J	A	
5.					Sold (part)	04/29/15	J	B	
6.					Sold (part)	09/16/15	J	A	
7.					Sold (part)	10/22/15	J	A	
8.					Sold (part)	11/09/15	J	C	
9. Intuitive Surgical Inc.		None	K	T					
10. American Tower Corp CL A	A	Dividend	K	T	Sold (part)	08/21/15	J	C	
11.					Sold (part)	11/03/15	J	C	
12. Devon Energy Corp New	A	Dividend	J	T	Sold (part)	07/27/15	J	A	
13. Pepsico Incorporated	B	Dividend	K	T	Sold (part)	09/16/15	J	B	
14.					Sold (part)	12/09/15	J	A	
15. Canadian Natl Ry Co.	A	Dividend	K	T					
16. Aetna: Whole Life Insurance Policy		None	L	T					
17. Quanta SVCS Inc		None	K	T	Buy (add'l)	04/29/15	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 H ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 L ~\$50,001 - \$100,000	E ~\$15,001 - \$50,000 M ~\$100,001 - \$250,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P ~\$500,001 - \$1,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$5,000,000	P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 5 of 27

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18.					Sold (part)	06/24/15	J	A	
19.					Sold (part)	08/05/15	J	A	
20.					Sold (part)	08/25/15	J	A	
21. Oneok Inc New	B	Dividend	K	T	Buy (add'l)	11/05/15	J		
22. Century Tel., Inc. Cpn 5.000% Due 2/15/15	A	Interest			Sold	02/17/15	J	A	
23. Money Mkt Oblig Trust Auto Cash Mgmt		None			Closed	08/31/15	N		
24. American Capital Agency Corp	C	Dividend	K	T	Buy (add'l)	08/21/15	J		
25.					Buy (add'l)	11/03/15	J		
26.					Sold (part)	08/05/15	K	A	
27. Williams Partners LP Com Unit Ltd Part Int	B	Distribution	K	T	Sold (part)	07/08/15	J	A	
28. Ishares Trust Barclays 1-3 Yr. Treasury Bd FD	A	Dividend	N	T	Buy (add'l)	08/05/15	M		
29.					Buy (add'l)	08/07/15	K		
30.					Buy (add'l)	12/18/15	L		
31. Capstead Mtg Corp Com No Par	C	Dividend			Sold (part)	07/08/15	K	A	
32.					Sold	11/05/15	J	A	
33. MFA Mortgage Investments Inc. (MFA Financial Inc)	C	Dividend	K	T					
34. Putnam Managed Municipal Income Trust- SBI	A	Dividend	J	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 27

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35. Putnam Municipal Opportunities Trust-SBI	B	Dividend	K	T	Sold (part)	12/02/15	J	A	
36. Ishares Trust Iboxx \$ Investop Investment Grade Bond Fund	D	Dividend	M	T	Buy (add'l)	03/12/15	J		
37.					Buy (add'l)	06/24/15	J		
38.					Sold (part)	01/13/15	J	B	
39.					Sold (part)	02/11/15	J	A	
40.					Sold (part)	03/12/15	J	A	
41.					Sold (part)	04/29/15	J	A	
42.					Sold (part)	06/24/15	J	A	
43.					Sold (part)	08/05/15	J	A	
44.					Sold (part)	09/16/15	K	A	
45.					Sold (part)	09/21/15	J	A	
46. Ishares Barclays Intermediate Credit Bond Fund	D	Dividend	M	T	Buy (add'l)	01/28/15	J		
47.					Buy (add'l)	02/11/15	J		
48.					Buy (add'l)	04/29/15	J		
49.					Buy (add'l)	12/10/15	J		
50.					Sold (part)	03/12/15	J	A	
51.					Sold (part)	04/29/15	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 7 of 27

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52.					Sold (part)	06/24/15	J	A	
53.					Sold (part)	08/05/15	K	B	
54. Ishares Barclays 1-3 YR Credit Bond Fund ETF	C	Dividend	N	T	Buy (add'l)	02/11/15	J		
55.					Buy (add'l)	04/29/15	J		
56.					Sold (part)	01/15/15	J	A	
57.					Sold (part)	03/12/15	J	A	
58.					Sold (part)	06/24/15	J	A	
59. Ishares Core US Credit Bond (FKA Ishares Trst Barclay Credit Bond ETF)	C	Dividend	M	T	Sold (part)	01/13/15	J	A	
60.					Sold (part)	03/19/15	J	A	
61.					Sold (part)	08/05/15	J	A	
62. Ameren Corp	B	Dividend	K	T	Sold (part)	02/06/15	J	A	
63.					Sold (part)	04/29/15	J	A	
64.					Sold (part)	11/05/15	J	A	
65. Cenovus Energy Inc (Y)									
66. Abbott Laboratories	A	Dividend	K	T	Sold (part)	04/29/15	J	A	
67. Enterprise Products Partners LP	B	Distribution	K	T	Sold (part)	08/05/15	J	A	
68. Blackrock Income Trust Inc	C	Dividend	K	T	Sold (part)	08/05/15	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 8 of 27

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Smith, Jr., Milan D.

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69.					Sold (part)	12/18/15	J	A	
70. Gabelli Dividend & Income Fund	D	Dividend	L	T	Buy (add'l)	02/11/15	J		
71.					Buy (add'l)	03/12/15	J		
72.					Buy (add'l)	06/24/15	J		
73.					Sold (part)	02/11/15	J	A	
74.					Sold (part)	03/12/15	J	A	
75.					Sold (part)	04/29/15	J	A	
76.					Sold (part)	11/16/15	J	A	
77.					Sold (part)	12/18/15	J	A	
78. Eli Lilly & Co	A	Dividend	K	T	Buy (add'l)	02/11/15	J		
79.					Sold (part)	03/12/15	J	A	
80.					Sold (part)	04/29/15	J	A	
81.					Sold (part)	06/24/15	J	B	
82.					Sold (part)	09/28/15	J	B	
83. Statoil Asa Sponsored ADR	A	Dividend			Sold (part)	07/08/15	J	A	
84.					Sold	07/27/15	K	A	
85. Windstream Corp	B	Dividend			Buy (add'l)	01/13/15	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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FINANCIAL DISCLOSURE REPORT

Page 9 of 27

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86.					Buy (add'l)	03/19/15	J		
87.					Buy (add'l)	05/28/15	J		
88.					Sold (part)	04/29/15	J	A	
89.					Sold (part)	05/28/15	J	A	
90.					Sold	07/08/15	J	A	
91. Western Asset Emerging Mkts Income Fd Inc	A	Dividend			Sold	04/29/15	K	A	
92. RBC Prime Money Market Cash Reserve		None			Closed	08/31/15	L		
93. H & Q Healthcare Investors SBI	B	Dividend	K	T					
94. Managed Duration Invt Grade Mun FD	B	Dividend	K	T	Buy	01/02/15	J		
95.					Sold (part)	12/22/15	J	A	
96. Ishares TR S&P Short Term Natl Amtfr	A	Dividend	K	T	Sold (part)	12/01/15	K	A	
97. Textron Inc	A	Dividend	J	T					
98. Vanguard Scottsdale Funds Vanguard Short Term Corp Bond ETF	D	Dividend	M	T	Buy (add'l)	02/11/15	J		
99.					Buy (add'l)	03/19/15	J		
100.					Buy (add'l)	04/29/15	J		
101.					Sold (part)	06/24/15	J	A	
102.					Sold (part)	09/16/15	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 10 of 27

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103.					Sold (part)	12/15/15	K	A	
104.					Sold (part)	12/18/15	K	A	
105. BlackRock Credit Allocation	D	Dividend	L	T	Buy (add'l)	02/11/15	J		
106.					Buy (add'l)	06/24/15	J		
107.					Sold (part)	03/12/15	J	A	
108.					Sold (part)	04/29/15	J	A	
109.					Sold (part)	07/08/15	J	A	
110.					Sold (part)	08/05/15	J	A	
111.					Sold (part)	09/16/15	J	A	
112.					Sold (part)	12/18/15	J	A	
113. Ishares Trust S&P Global Info Technology Sector Index Fund	B	Dividend	M	T	Buy (add'l)	06/24/15	J		
114.					Sold (part)	01/13/15	J	A	
115.					Sold (part)	03/12/15	J	A	
116.					Sold (part)	05/26/15	J	A	
117.					Sold (part)	07/27/15	J	A	
118.					Sold (part)	08/20/15	J	C	
119.					Sold (part)	08/25/15	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	

FINANCIAL DISCLOSURE REPORT

Page 11 of 27

Name of Person Reporting

Smith, Jr., Milan D.

Date of Report

05/10/2016

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 I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120.					Sold (part)	09/04/15	J	A	
121.					Sold (part)	12/07/15	J	A	
122.					Sold (part)	12/18/15	J	B	
123. Calamos Global Dynamic Income Fund	D	Dividend	L	T	Buy (add'l)	02/11/15	J		
124.					Buy (add'l)	06/24/15	J		
125.					Sold (part)	03/12/15	J	A	
126.					Sold (part)	04/29/15	J	A	
127.					Sold (part)	07/27/15	J	A	
128.					Sold (part)	08/05/15	J	A	
129.					Sold (part)	09/01/15	J	A	
130.					Sold (part)	11/05/15	J	A	
131.					Sold (part)	12/18/15	J	A	
132. Coming Inc	B	Dividend	K	T	Buy (add'l)	01/13/15	J		
133.					Sold (part)	02/06/15	J	A	
134.					Sold (part)	09/28/15	J	A	
135. Templeton Global Bond Fund Advisor CL	B	Dividend			Sold (part)	07/08/15	K	A	
136.					Sold	07/27/15	K	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		

FINANCIAL DISCLOSURE REPORT

Page 12 of 27

Name of Person Reporting

Smith, Jr., Milan D.

Date of Report

05/10/2016

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. AES Corp	A	Dividend			Buy (add'l)	11/03/15	J		
138.					Sold (part)	07/08/15	J	A	
139.					Sold (part)	11/03/15	J	A	
140.					Sold	11/05/15	J	A	
141. Koninklijke Philips Electrs N V Sponsored ADR New 2000	B	Dividend	K	T	Buy (add'l)	02/11/15	J		
142.					Sold (part)	03/12/15	J	A	
143.					Sold (part)	04/29/15	J	A	
144.					Sold (part)	11/20/15	J	A	
145. Columbia Fds Ser TR IX Tax Exempt FD CL A	B	Dividend	K	T					
146. Ishares TR 2015 S&P AMT Free Municipal Ser Fd	A	Dividend			Sold	04/29/15	J	A	
147. Ishares TR 2016 S&P AMT Free Municipal Ser Fd	A	Dividend	K	T					
148. Ishares TR 2017 S&P AMT Free Municipal Ser Fd	A	Dividend	K	T					
149. Gabelli Healthcare & Wellness Trust	C	Dividend	L	T	Sold (part)	05/26/15	J	A	
150.					Sold (part)	12/18/15	J	A	
151. BlackRock Strategic Equity Dividend Trust	A	Dividend			Sold (part)	01/15/15	J	A	
152.					Sold (part)	03/12/15	J	A	
153.					Sold (part)	04/29/15	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	

FINANCIAL DISCLOSURE REPORT

Page 13 of 27

Name of Person Reporting

Smith, Jr., Milan D.

Date of Report

05/10/2016

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.					Sold (part)	06/24/15	J	A	
155.					Sold	08/19/15	J	A	
156. BlackRock Equity Dividend Trust	C	Dividend	L	T	Buy (add'l)	02/11/15	J		
157.					Buy (add'l)	04/25/15	J		
158.					Buy (add'l)	06/24/15	J		
159.					Sold (part)	01/15/15	J	A	
160.					Sold (part)	03/12/15	J	A	
161.					Sold (part)	04/29/15	J	A	
162.					Sold (part)	05/26/15	J	A	
163.					Sold (part)	08/19/15	J	A	
164.					Sold (part)	08/21/15	J	A	
165.					Sold (part)	11/16/15	J	A	
166. Centerpoint Energy Inc.	A	Dividend	J	T	Buy (add'l)	03/12/15	J		
167.					Sold (part)	02/11/15	J	A	
168.					Sold (part)	04/29/15	J	A	
169.					Sold (part)	12/18/15	J	A	
170. American Electric Power Co Inc	A	Dividend	K	T	Buy (add'l)	03/12/15	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 14 of 27

Name of Person Reporting

Smith, Jr., Milan D.

Date of Report

05/10/2016

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171.					Buy (add'l)	06/24/15	J		
172.					Sold (part)	02/11/15	J	A	
173.					Sold (part)	04/29/15	J	A	
174. Ishares TR Dow Jones EPAC Select Dividend		None			Sold	07/08/15	K	A	
175. Targa Resources Partners LP Unit Ltd Partnership Int	A	Dividend			Sold	03/12/15	J	A	
176. Pimco ETF TR Enhanced Short Maturity	C	Dividend	N	T	Buy (add'l)	01/15/15	J		
177.					Buy (add'l)	03/12/15	J		
178.					Sold (part)	01/15/15	J	A	
179.					Sold (part)	02/11/15	K	A	
180.					Sold (part)	03/19/15	J	A	
181.					Sold (part)	04/29/15	J	A	
182.					Sold (part)	07/08/15	J	A	
183.					Sold (part)	12/09/15	K	A	
184. Southern Co	A	Dividend	K	T					
185. Ishares TR Dow Jones SEL Divid Index FD	A	Dividend	K	T					
186. American Capital Mortgage Investment Corp	B	Dividend			Sold	07/24/15	J	A	
187. FirstEnergy Corp	A	Dividend	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 \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 15 of 27

Name of Person Reporting

Smith, Jr., Milan D.

Date of Report

05/10/2016

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. Sempra Energy	A	Dividend	K	T	Buy (add'l)	03/12/15	J		
189.					Buy (add'l)	06/24/15	J		
190.					Sold (part)	02/11/15	J	A	
191.					Sold (part)	03/19/15	J	A	
192.					Sold (part)	04/29/15	J	A	
193. Anworth Mortgage Asset Corp	B	Dividend			Sold (part)	03/12/15	J	A	
194.					Sold (part)	04/29/15	J	A	
195.					Sold (part)	06/24/15	J	A	
196.					Sold	11/12/15	J	A	
197. Frontier Communications Corp	C	Dividend	L	T	Buy (add'l)	03/12/15	J		
198.					Buy (add'l)	05/26/15	J		
199.					Buy (add'l)	06/24/15	J		
200.					Buy (add'l)	07/08/15	J		
201.					Sold (part)	02/06/15	J	C	
202.					Sold (part)	02/11/15	J	A	
203.					Sold (part)	03/19/15	J	B	
204.					Sold (part)	04/29/15	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	

FINANCIAL DISCLOSURE REPORT

Page 16 of 27

Name of Person Reporting

Smith, Jr., Milan D.

Date of Report

05/10/2016

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
205. Eaton Vance Risk Managed Global Diversified Equity Income	C	Dividend	K	T	Buy (add'l)	04/28/15	J		
206.					Sold (part)	08/21/15	J	A	
207. Eaton Vance Tax Managed Global Diversified Equity Income		None	K	T					
208. EMC Corp-Mass	A	Dividend			Sold	09/28/15	J	A	
209. Hollyfrontier Corporation	A	Dividend	J	T	Buy (add'l)	03/19/15	J		
210.					Sold (part)	01/12/15	J	A	
211.					Sold (part)	12/09/15	J	A	
212. Intel Corp	B	Dividend	L	T	Buy (add'l)	02/11/15	J		
213.					Buy (add'l)	06/24/15	J		
214.					Sold (part)	03/12/15	J	A	
215.					Sold (part)	04/29/15	J	A	
216.					Sold (part)	11/20/15	J	A	
217. Ford Motor Co.	A	Dividend			Buy	06/24/15	J		
218.					Sold	09/29/15	J	A	
219. Abbvie Inc. (Spinoff of Abbott Laboratories)	B	Dividend	K	T					
220. Merck & Co. Inc.	B	Dividend	L	T	Sold (part)	04/29/15	J	A	
221. Air Lease Corporation	A	Dividend	K	T	Sold (part)	12/02/15	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	

FINANCIAL DISCLOSURE REPORT

Page 17 of 27

Name of Person Reporting

Smith, Jr., Milan D.

Date of Report

05/10/2016

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

222. Eaton Vance California Municipal Bond Fund	D	Dividend	L	T	Sold (part)	10/07/15	J	A	
223.					Sold (part)	12/18/15	J	A	
224.					Sold (part)	12/23/15	J	A	
225. Ishares 2018 AMT Free Muni Term ETF	A	Dividend	K	T					
226. Conagra Foods Inc.	A	Dividend	K	T	Sold (part)	09/28/15	J	A	
227. Discover Financial Services	A	Dividend	J	T	Buy (add'l)	02/11/15	J		
228.					Buy (add'l)	06/24/15	J		
229.					Sold (part)	03/12/15	J	A	
230.					Sold (part)	04/29/15	J	A	
231. Citigroup Inc Com	A	Dividend	J	T					
232. Neuberger Berman Real Estate Securities Income Fund	B	Dividend	K	T					
233. Clearbridge Energy MLP Total Return Fund Inc	B	Dividend			Buy (add'l)	02/06/15	J		
234.					Buy (add'l)	04/29/15	J		
235.					Buy (add'l)	05/01/15	J		
236.					Buy (add'l)	05/04/15	J		
237.					Sold (part)	06/24/15	J	A	
238.					Sold (part)	07/22/15	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		

FINANCIAL DISCLOSURE REPORT

Page 18 of 27

Name of Person Reporting

Smith, Jr., Milan D.

Date of Report

05/10/2016

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

239.					Sold (part)	07/23/15	J	A	
240.					Sold (part)	07/27/15	J	A	
241.					Sold	08/05/15	J	A	
242. Sunedison Inc		None	J	T	Buy (add'l)	12/15/15	J		
243.					Sold (part)	03/19/15	J	A	
244.					Sold (part)	05/26/15	J	A	
245.					Sold (part)	12/31/15	J	A	
246. Money Mkt Obligs Tr Federated Prime Obligs FD	A	Dividend	O	T					
247. Ishares MSCI All County World Minimum Volatility ETF	B	Dividend			Buy (add'l)	03/12/15	J		
248.					Buy (add'l)	04/29/15	J		
249.					Sold (part)	01/06/15	J	A	
250.					Sold (part)	01/08/15	J	A	
251.					Sold (part)	01/28/15	J	A	
252.					Sold (part)	02/11/15	J	A	
253.					Sold (part)	06/24/15	J	A	
254.					Sold	08/25/15	M	A	
255. Ishares 3 to 7 Year Treasury Bond ETF	C	Dividend	N	T	Buy (add'l)	01/13/15	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
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	

FINANCIAL DISCLOSURE REPORT

Page 19 of 27

Name of Person Reporting

Smith, Jr., Milan D.

Date of Report

05/10/2016

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
256.					Buy (add'l)	01/15/15	J		
257.					Buy (add'l)	01/28/15	K		
258.					Buy (add'l)	02/06/15	M		
259.					Buy (add'l)	02/11/15	J		
260.					Buy (add'l)	03/19/15	L		
261.					Buy (add'l)	06/24/15	K		
262.					Sold (part)	03/12/15	J	A	
263.					Sold (part)	03/19/15	J	A	
264.					Sold (part)	04/29/15	J	A	
265. Ishares US ETF Tr Short Term Maturity Bond ETF	A	Dividend	M	T	Buy (add'l)	11/06/15	K		
266. Pimco Broad US Tips Index Exchange Traded Fund	B	Dividend			Sold (part)	08/05/15	K	A	
267.					Sold	08/20/15	K	A	
268. Goldcorp Inc.	A	Dividend			Buy (add'l)	02/11/15	K		
269.					Sold (part)	03/12/15	J	A	
270.					Sold	07/08/15	J	A	
271. One Gas Inc.	A	Dividend	K	T	Sold (part)	11/03/15	J	B	
272. Ishares Tr 0-5 Yr Invst Grade Corp Bd ETF	A	Dividend	L	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 20 of 27

Name of Person Reporting

Smith, Jr., Milan D.

Date of Report

05/10/2016

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. SPDR Nuveen Barclays California Municipal Bond ETF	A	Dividend	L	T					
274. Nuveen California AMT Free Municipal Income Fund	B	Dividend	K	T	Sold (part)	12/02/15	J	A	
275. SPDR Nuveen Barclays Short Term Municipal Bond ETF	A	Dividend			Sold	12/01/15	L	A	
276. Tocqueville Gold Fund		None			Buy (add'l)	01/02/15	J		
277.					Buy (add'l)	01/13/15	J		
278.					Buy (add'l)	03/12/15	J		
279.					Buy (add'l)	03/19/15	J		
280.					Sold (part)	04/29/15	J	A	
281.					Sold (part)	07/08/15	K	A	
282.					Sold (part)	07/22/15	J	A	
283.					Sold (part)	08/05/15	J	A	
284.					Sold	08/15/15	J	A	
285. Ishares Gold Trust		None			Buy (add'l)	01/05/15	J		
286.					Sold (part)	02/11/15	J	A	
287.					Sold (part)	03/12/15	J	A	
288.					Sold	12/01/15	J	A	
289. Central Fund of Canada LTD CL-A Non Voting Shares	A	Dividend	J	T	Buy	04/29/15	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	

FINANCIAL DISCLOSURE REPORT

Page 21 of 27

Name of Person Reporting

Smith, Jr., Milan D.

Date of Report

05/10/2016

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290.					Sold (part)	08/05/15	K	A	
291.					Sold (part)	12/01/15	J	A	
292.					Sold (part)	12/18/15	J	A	
293. Pimco Intermediate Municipal Bond Active Exchange Traded Fund	A	Dividend	K	T					
294. Vanguard Mega Cap Value ETF	A	Dividend			Buy (add'l)	02/11/15	J		
295.					Buy (add'l)	04/29/15	J		
296.					Sold (part)	01/06/15	J	A	
297.					Sold (part)	01/15/15	J	A	
298.					Sold (part)	03/12/15	J	A	
299.					Sold	08/26/15	K	A	
300. Alps ETF TR Alerian MLP	A	Dividend			Buy (add'l)	03/12/15	J		
301.					Sold (part)	01/06/15	J	A	
302.					Sold (part)	02/11/15	J	A	
303.					Sold	04/29/15	J	A	
304. Pattern Energy Group Inc Class A	A	Dividend			Buy (add'l)	02/11/15	J		
305.					Buy (add'l)	07/31/15	J		
306.					Sold (part)	04/29/15	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	

FINANCIAL DISCLOSURE REPORT

Page 22 of 27

Name of Person Reporting

Smith, Jr., Milan D.

Date of Report

05/10/2016

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
307.					Sold (part)	06/24/15	J	A	
308.					Sold (part)	09/08/15	J	A	
309.					Sold (part)	09/28/15	J	A	
310.					Sold	11/12/15	J	A	
311. Ventas Inc	A	Dividend			Buy (add'l)	03/12/15	J		
312.					Sold (part)	01/06/15	J	A	
313.					Sold (part)	01/28/15	J	A	
314.					Sold (part)	02/11/15	J	A	
315.					Sold (part)	04/29/15	J	A	
316.					Sold	11/12/15	J	A	
317. Pimco 1-5 Year US Tips Index Exchange Traded Fund		None			Sold	03/19/15	K	A	
318. First Trust Energy Income and Growth Fund	A	Dividend			Sold	12/18/15	J	A	
319. Kinder Morgan Inc	A	Dividend	J	T	Buy (add'l)	03/19/15	K		
320.					Sold (part)	12/18/15	J	A	
321. Centurylink Inc	A	Dividend	K	T	Buy	04/29/15	J		
322.					Buy (add'l)	07/08/15	J		
323.					Buy (add'l)	11/03/15	J		

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 23 of 27

Name of Person Reporting

Smith, Jr., Milan D.

Date of Report

05/10/2016

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
324.					Sold (part)	08/15/15	J	A	
325. Northern Tier Energy LP	A	Dividend	K	T	Buy	10/28/15	K		
326.					Buy (add'l)	10/30/15	K		
327. Communications Sales & Leasing Inc Com (Spinoff of Windstream Corp)	A	Dividend			Spinoff (from line 85)	04/28/15	K		
328.					Buy (add'l)	03/12/15	J		
329.					Sold (part)	07/08/15	K	A	
330.					Sold	07/27/15	J	A	
331. Bank of Nova Scotia		None	J	T	Buy	10/30/15	J		
332.					Buy (add'l)	12/23/15	J		
333. Annaly Capital Management Inc	B	Dividend			Buy	01/05/15	J		
334.					Buy (add'l)	01/14/15	K		
335.					Buy (add'l)	03/12/15	J		
336.					Sold (part)	02/11/15	J	A	
337.					Sold (part)	04/29/15	J	A	
338.					Sold	07/24/15	J	A	
339. Eastman Chemical Co.	A	Dividend			Buy	04/29/15	J		
340.					Sold (part)	06/24/15	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	

FINANCIAL DISCLOSURE REPORT

Page 24 of 27

Name of Person Reporting

Smith, Jr., Milan D.

Date of Report

05/10/2016

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 I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

341.					Sold	09/29/15	J	A	
342. Invesco Mortgage Capital Inc.	A	Dividend			Buy	04/29/15	J		
343.					Sold (part)	06/24/15	J	A	
344.					Sold	07/22/15	J	A	
345. Care Capital Properties Inc. (Spinoff of Ventas Inc)	A	Dividend			Spinoff (from line 311)	03/12/15	J		
346.					Sold (part)	06/24/15	J	A	
347.					Sold	07/24/15	J	A	
348. Vanguard Calif Tax Free Intermediate Term Tax Exempt Fund		None	K	T	Buy	12/18/15	K		
349. Eaton Corporation	A	Dividend			Buy	01/13/15	K		
350.					Sold	07/24/15	K	A	
351. Nuveen Dividend Advantage Municipal Fund	A	Dividend			Buy	01/13/15	J		
352.					Sold	07/08/15	J	A	
353. Vanguard Short Term Government Bond ETF	A	Dividend	L	T	Buy	05/28/15	K		
354.					Buy (add'l)	12/10/15	K		
355.					Buy (add'l)	12/18/15	L		
356.					Sold (part)	12/23/15	K	A	
357. US Govt Money Market Fund RBS Reserve Class	A	Dividend	M	T	Open	09/01/15	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
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	

FINANCIAL DISCLOSURE REPORT

Page 25 of 27

Name of Person Reporting

Smith, Jr., Milan D.

Date of Report

05/10/2016

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
358. Transamerica Advisors: Whole Life Insurance Policy		None	K	T	Open	01/01/15	K		
359. Aurora National Life Assurance: Whole Life Insurance Policy		None	K	T	Open	01/01/15	K		
360. Metlife: Whole Life Insurance Policy (X)	A	Dividend	J	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	

FINANCIAL DISCLOSURE REPORT

Page 26 of 27

Name of Person Reporting

Smith, Jr., Milan D.

Date of Report

05/10/2016

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

Item 16, Part VII (Aetna: Whole Life Insurance Policy). This Asset, Aetna: Whole Life Insurance Policy, name has been changed to reflect the policy type. This policy is a whole life insurance policy, not a variable life insurance policy, for which the policy holder has no control over the assets. The policy was a gift from parent to child.

Item 65, Part VII (Cenovus Energy Inc). This Asset, Cenovus Energy Inc, was entirely disposed of in 2014. The 2014 FDR was marked "sold (part)" which should have been marked "sold" in order to show the asset was fully disposed of in the reporting year.

Item 360, Part VII (Metlife: Whole Life Insurance Policy). This Asset, Metlife: Whole Life Insurance Policy, was included with item 16 (Aetna: Whole Life Insurance Policy). The 2014 FDR should have had the two assets separated into individual lines in order to show two separate policies. This policy is a whole life insurance policy, not a variable life insurance policy, for which the policy holder has no control over the assets. The policy was a gift from parent to child.

FINANCIAL DISCLOSURE REPORT

Page 27 of 27

Name of Person Reporting

Smith, Jr., Milan D.

Date of Report

05/10/2016

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **s/ Milan D. Smith, Jr.**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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One Columbus Circle, N.E.
Washington, D.C. 20544