

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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, LISA M.	2. Court or Organization U.S.DISTRICT COURT, SDNY	3. Date of Report 05/14/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. MAGISTRATE JUDGE FULL TIM	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address UNITED STATES COURTHOUSE 300 QUARROPAS STREET WHITE PLAINS, NY 10601		
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.	Custodian	On behalf of [REDACTED] Fidelity Investment Accounts
2.	Custodian	On behalf of [REDACTED] Fidelity Investment Accounts
3.	Custodian	On behalf of [REDACTED] New York's College Savings Program
4.	Custodian	On behalf of [REDACTED] New York's College Savings Program
5.		

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

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2012	Pace University School of Law for teaching	\$20,420.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2012	Wages from Ridgefield Hardware Co., Ridgefield, CT
2.	
3.	
4.	

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☒ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

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. Fidelity NY Municipal Money Market Fund	A	Dividend	J	T					
2. Fidelity IRA (Puritan Fund)	A	Dividend	K	T					
3. Fidelity IRA (Fidelity Fund)	A	Dividend	J	T					
4. Fidelity IRA (Cash Reserves)	A	Dividend	J	T					
5. Webster Bank, Wilton CT -Savings account	A	Interest	J	T					
6. Webster Bank, Wilton CT -- Checking Account		None	M	T					
7. Fidelity Growth and Income Fund	A	Dividend	J	T					
8. Fidelity Dividend Growth Fund	A	Dividend	J	T					
9. HSBC IRA (T. Rowe Price Dividend Growth Fund)	A	Dividend	J	T					
10. HSBC, White Plains, NY		None	J	T					
11. Cisco Systems Common Stock	A	Dividend	J	T					
12. Century Link Communications Common Stock	A	Dividend	J	T					
13. Walt Disney Common Stock	A	Dividend	J	T					
14. Long Island Power Auth. N.Y. Elec. Systems Bonds		None	K	T					
15. Nassau Co. N.Y. Ind'l. Dev. Agency Bonds		None	K	T					
16. Municipal Assistance Corp. For City of Troy, N.Y. Bonds		None	K	T					
17. Long Island Power Auth. Bonds		None	J	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,001 - \$500,000	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	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
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18. Stifel Nicolaus IRA money market	A	Dividend	J	T					
19. Stifel Nicolaus investment account money market	A	Dividend	J	T					
20. Fidelity Custodial Acc't for (cash account)	A	Interest	K	T					
21. Fidelity Custodial Acc't for (cash account)	A	Interest	J	T					
22. General Electric common stock	A	Dividend	J	T					
23. Citigroup common stock	A	Dividend	J	T					
24. Pfizer common stock	A	Dividend	J	T					
25. Fidelity Unique Coll. Inv. Plan 2015		None	J	T					
26. Fidelity Unique Coll. Inv. Plan 2018		None	J	T					
27. NY College Savgs Prgrm A/C Mod Age Based Option: Conserv Gr		None	J	T					
28. NY College Savgs Prgrm A/C Mod Age Based Option:Mod Growth		None	J	T					
29. Capital One Financial Corp Common Stock	A	Dividend	J	T					
30. Citadel Broadcasting Corp. common stock		None	J	T					
31. Freeport McMoran Copper & Gold, Inc. Common Stock	A	Dividend	J	T					
32. Aim Tax Exempt Van Kampen Intermediate Term Muni Income Fund	A	Dividend	J	T	Sold (part)	06/26/12	J	A	Stifel Inv't a/c
33. Aim Tax Exempt Van Kampen Intermediate Term Muni Income Fund	A	Dividend	J	T	Buy (add'l)	01/04/12	J		Stifel Inv't a/c
34. Aim Tax Exempt Van Kampen Intermediate Term Muni Income Fund	A	Dividend	J	T	Buy (add'l)	02/02/12	J		Stifel Inv't a/c

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Aim Tax Exempt Van Kampen Intermediate Term Muni Income Fund	A	Dividend	J	T	Buy (add'l)	03/02/12	J		Stifel Inv't a/c
36. Aim Tax Exempt Van Kampen Intermediate Term Muni Income Fund	A	Dividend	J	T	Buy (add'l)	04/03/12	J		Stifel Inv't a/c
37. Aim Tax Exempt Van Kampen Intermediate Term Muni Income Fund	A	Dividend	J	T	Buy (add'l)	05/02/12	J		Stifel Inv't a/c
38. Aim Tax Exempt Van Kampen Intermediate Term Muni Income Fund	A	Dividend	J	T	Buy (add'l)	06/04/12	J		Stifel Inv't a/c
39. Aim Tax Exempt Van Kampen Intermediate Term Muni Income Fund	A	Dividend	J	T	Buy (add'l)	07/03/12	J		Stifel Inv't a/c
40. Aim Tax Exempt Van Kampen Intermediate Term Muni Income Fund	A	Dividend	J	T	Buy (add'l)	08/02/12	J		Stifel Inv't a/c
41. Aim Tax Exempt Van Kampen Intermediate Term Muni Income Fund	A	Dividend	J	T	Buy (add'l)	09/05/12	J		Stifel Inv't a/c
42. Aim Tax Exempt Van Kampen Intermediate Term Muni Income Fund	A	Dividend	J	T	Buy (add'l)	10/02/12	J		Stifel Inv't a/c
43. Aim Tax Exempt Van Kampen Intermediate Term Muni Income Fund	A	Dividend	J	T	Buy (add'l)	11/02/12	J		Stifel Inv't a/c
44. Aim Tax Exempt Van Kampen Intermediate Term Muni Income Fund	A	Dividend	J	T	Buy (add'l)	12/04/12	J		Stifel Inv't a/c
45. Artisan Funds Mid Cap Value	A	Distribution	J	T	Buy (add'l)	12/21/12	J		Stifel Inv't a/c
46. Artisan Funds Mid Cap Value	A	Distribution	J	T	Buy (add'l)	12/21/12	J		Stifel Inv't a/c
47. Artisan Funds Mid Cap Value	A	Dividend	J	T	Buy (add'l)	12/21/12	J		Stifel Inv't a/c
48. Columbia Funds Marsico Growth Fund	A	Dividend	J	T	Sold (part)	04/13/12	J	A	Stifel Inv't a/c
49. Columbia Funds Marsico Growth Fund	A	Dividend	J	T	Buy (add'l)	06/21/12	J		Stifel Inv't a/c
50. Columbia Funds Marsico Growth Fund	A	Dividend	J	T	Buy (add'l)	06/25/12	J		Stifel Inv't a/c
51. Columbia Funds Marsico Growth Fund	A	Dividend	J	T	Buy (add'l)	12/14/12	J		Stifel Inv't a/c

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52. DWS Municipal Trust Strategic High Yield	A	Dividend	J	T	Sold (part)	04/13/12	J	A	Stifel Inv't a/c
53. DWS Municipal Trust Strategic High Yield	A	Dividend	J	T	Buy (add'l)	01/26/12	J		Stifel Inv't a/c
54. DWS Municipal Trust Strategic High Yield	A	Dividend	J	T	Buy (add'l)	02/24/12	J		Stifel Inv't a/c
55. DWS Municipal Trust Strategic High Yield	A	Dividend	J	T	Buy (add'l)	03/27/12	J		Stifel Inv't a/c
56. DWS Municipal Trust Strategic High Yield	A	Dividend	J	T	Buy (add'l)	04/25/12	J		Stifel Inv't a/c
57. DWS Municipal Trust Strategic High Yield	A	Dividend	J	T	Buy (add'l)	05/25/12	J		Stifel Inv't a/c
58. DWS Municipal Trust Strategic High Yield	A	Dividend	J	T	Buy (add'l)	06/26/12	J		Stifel Inv't a/c
59. DWS Municipal Trust Strategic High Yield	A	Dividend	J	T	Buy (add'l)	07/26/12	J		Stifel Inv't a/c
60. DWS Municipal Trust Strategic High Yield	A	Dividend	J	T	Buy (add'l)	08/28/12	J		Stifel Inv't a/c
61. DWS Municipal Trust Strategic High Yield	A	Dividend	J	T	Buy (add'l)	09/25/12	J		Stifel Inv't a/c
62. DWS Municipal Trust Strategic High Yield	A	Dividend	J	T	Buy (add'l)	10/26/12	J		Stifel Inv't a/c
63. DWS Municipal Trust Strategic High Yield	A	Dividend	J	T	Buy (add'l)	11/27/12	J		Stifel Inv't a/c
64. DWS Municipal Trust Strategic High Yield	A	Dividend	J	T	Buy (add'l)	12/26/12	J		Stifel Inv't a/c
65. DWS Municipal Trust Managed Municipal Bond Fund	A	Dividend	J	T	Sold (part)	06/25/12	J	A	Stifel Inv't a/c
66. DWS Municipal Trust Managed Municipal Bond Fund	A	Dividend	J	T	Buy (add'l)	01/26/12	J		Stifel Inv't a/c
67. DWS Municipal Trust Managed Municipal Bond Fund	A	Dividend	J	T	Buy (add'l)	02/24/12	J		Stifel Inv't a/c
68. DWS Municipal Trust Managed Municipal Bond Fund	A	Dividend	J	T	Buy (add'l)	03/27/12	J		Stifel Inv't a/c

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69. DWS Municipal Trust Managed Municipal Bond Fund	A	Dividend	J	T	Buy (add'l)	04/25/12	J		Stifel Inv't a/c
70. DWS Municipal Trust Managed Municipal Bond Fund	A	Dividend	J	T	Buy (add'l)	05/25/12	J		Stifel Inv't a/c
71. DWS Municipal Trust Managed Municipal Bond Fund	A	Dividend	J	T	Buy (add'l)	06/26/12	J		Stifel Inv't a/c
72. DWS Municipal Trust Managed Municipal Bond Fund	A	Dividend	J	T	Buy (add'l)	07/26/12	J		Stifel Inv't a/c
73. DWS Municipal Trust Managed Municipal Bond Fund	A	Dividend	J	T	Buy (add'l)	08/28/12	J		Stifel Inv't a/c
74. DWS Municipal Trust Managed Municipal Bond Fund	A	Dividend	J	T	Buy (add'l)	09/25/12	J		Stifel Inv't a/c
75. DWS Municipal Trust Managed Municipal Bond Fund	A	Dividend	J	T	Buy (add'l)	10/26/12	J		Stifel Inv't a/c
76. DWS Municipal Trust Managed Municipal Bond Fund	A	Dividend	J	T	Buy (add'l)	11/27/12	J		Stifel Inv't a/c
77. DWS Municipal Trust Managed Municipal Bond Fund	A	Distribution	J	T	Buy (add'l)	12/05/12	J		Stifel Inv't a/c
78. DWS Municipal Trust Managed Municipal Bond Fund	A	Dividend	J	T	Buy (add'l)	12/26/12	J		Stifel Inv't a/c
79. Davis NY Venture	A	Distribution	J	T	Buy (add'l)	12/19/12	J		Stifel Inv't a/c
80. Davis NY Venture	A	Dividend	J	T	Buy (add'l)	12/19/12	J		Stifel Inv't a/c
81. Dodge & Cox International Stock Fund	A	Dividend	J	T	Buy (add'l)	04/13/12	J		Stifel Inv't a/c
82. Dodge & Cox International Stock Fund	A	Dividend	J	T	Buy (add'l)	12/21/12	J		Stifel Inv't a/c
83. Heartland Value Plus Instl C1 I	A	Dividend	J	T	Buy	03/26/12	J		Stifel Inv't a/c
84. Heartland Value Plus Instl C1 I	A	Distribution	J	T	Buy (add'l)	12/28/12	J		Stifel Inv't a/c
85. Heartland Value Plus Instl C1 I	A	Dividend	J	T	Buy (add'l)	12/28/12	J		Stifel Inv't a/c

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86. Heartland Value Plus Instl C1 I	A	Distribution	J	T	Buy (add'l)	12/28/12	J		Stifel Inv't a/c
87. Highmark funds Geneva Mid Cap Gr Fiduciary Class		None	J	T	Sold (part)	04/13/12	J	A	Stifel Inv't a/c
88. Highmark funds Geneva Mid Cap Gr Fiduciary Class	A	Distribution	J	T	Buy (add'l)	12/14/12	J		Stifel Inv't a/c
89. Keeley Funds Small Cap Value Fund		None			Sold	03/23/12	J	A	Stifel Inv't a/c
90. MFS Ser Tr Intl Growth	A	Dividend	J	T	Buy (add'l)	06/26/12	J		Stifel Inv't a/c
91. MFS Ser Tr Intl Growth	A	Dividend	J	T	Buy (add'l)	12/17/12	J		Stifel Inv't a/c
92. MFS Ser Tr Intl Growth	A	Distribution	J	T	Buy (add'l)	12/17/12	J		Stifel Inv't a/c
93. Pioneer Ser Oak Ridge Small Cap Growth Fund	A	Distribution	J	T	Buy (add'l)	11/28/12	J		Stifel Inv't a/c
94. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Buy (add'l)	01/04/12	J		Stifel Inv't a/c
95. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Buy (add'l)	02/02/12	J		Stifel Inv't a/c
96. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Buy (add'l)	03/02/12	J		Stifel Inv't a/c
97. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Buy (add'l)	04/03/12	J		Stifel Inv't a/c
98. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Buy (add'l)	05/02/12	J		Stifel Inv't a/c
99. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Buy (add'l)	06/04/12	J		Stifel Inv't a/c
100. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Buy (add'l)	07/03/12	J		Stifel Inv't a/c
101. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Buy (add'l)	08/02/12	J		Stifel Inv't a/c
102. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Buy (add'l)	09/05/12	J		Stifel Inv't a/c

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)
103. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Buy (add'l)	10/02/12	J		Stifel Inv't a/c
104. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Buy (add'l)	11/02/12	J		Stifel Inv't a/c
105. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Buy (add'l)	12/04/12	J		Stifel Inv't a/c
106. Artisan Funds Mid Cap Value	A	Dividend	J	T	Buy (add'l)	12/21/12	J		Part of Stifel IRA
107. Artisan Funds Mid Cap Value	A	Distribution	J	T	Buy (add'l)	12/21/12	J		Part of Stifel IRA
108. Artisan Funds Mid Cap Value	A	Distribution	J	T	Buy (add'l)	12/21/12	J		Part of Stifel IRA
109. Columbia Funds Ser Trust Marsico Growth Fund Class Z	A	Dividend	J	T	Sold (part)	03/26/12	J	A	Part of Stifel IRA
110. Columbia Funds Ser Trust Marsico Growth Fund Class Z	A	Dividend	J	T	Buy (add'l)	06/21/12	J		Part of Stifel IRA
111. Columbia Funds Ser Trust Marsico Growth Fund Class Z	A	Dividend	J	T	Buy (add'l)	12/14/12	J		Part of Stifel IRA
112. Davis New York Venture Fund Class Y	A	Dividend	J	T	Buy (add'l)	12/19/12	J		Part of Stifel IRA
113. Davis New York Venture Fund Class Y	A	Distribution	J	T	Buy (add'l)	12/19/12	J		Part of Stifel IRA
114. Davis New York Venture Fund Class Y	A	Dividend	J	T	Sold (part)	09/24/12	J	A	Part of Stifel IRA
115. Dodge & Cox Intl Stock Fund	A	Dividend	J	T	Buy (add'l)	12/21/12	J		Part of Stifel IRA
116. Harbor Fund Bond Fund	A	Dividend	J	T	Buy (add'l)	03/26/12	J		Part of Stifel IRA
117. Harbor Fund Bond Fund	A	Dividend	J	T	Buy (add'l)	04/02/12	J		Part of Stifel IRA
118. Harbor Fund Bond Fund	A	Dividend	J	T	Buy (add'l)	07/02/12	J		Part of Stifel IRA
119. Harbor Fund Bond Fund	A	Dividend	J	T	Buy (add'l)	10/01/12	J		Part of Stifel IRA

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. Harbor Fund Bond Fund	A	Distribution	J	T	Buy (add'l)	12/19/12	J		Part of Stifel IRA
121. Harbor Fund Bond Fund	A	Dividend	J	T	Buy (add'l)	12/19/12	J		Part of Stifel IRA
122. Harbor Fund Bond Fund	A	Distribution	J	T	Buy (add'l)	12/19/12	J		Part of Stifel IRA
123. Heartland Value Plus Instl C1 I	A	Dividend	J	T	Buy	03/26/12	J		Part of Stifel IRA
124. Heartland Value Plus Instl C1 I	A	Distribution	J	T	Buy (add'l)	12/28/12	J		Part of Stifel IRA
125. Heartland Value Plus Instl C1 I	A	Dividend	J	T	Buy (add'l)	12/28/12	J		Part of Stifel IRA
126. Heartland Value Plus Instl C1 I	A	Distribution	J	T	Buy (add'l)	12/28/12	J		Part of Stifel IRA
127. Highmark funds Geneva Mid Cap Gr Fiduciary Class		None	J	T	Sold (part)	03/26/12	J	A	Part of Stifel IRA
128. Highmark funds Geneva Mid Cap Gr Fiduciary Class	A	Distribution	J	T	Buy (add'l)	12/14/12	J		Part of Stifel IRA
129. Keeley funds Inc Small Cap Value Fund Class A		None			Sold	03/23/12	J	A	Part of Stifel IRA
130. MFS Ser Tr X Intl Growth Fd C1 I	A	Dividend	J	T	Buy (add'l)	12/17/12	J		Part of Stifel IRA
131. MFS Ser Tr X Intl Growth Fd C1 I	A	Distribution	J	T	Buy (add'l)	12/17/12	J		Part of Stifel IRA
132. Pimco Fds Hi Yld C1 P	A	Dividend	J	T	Buy (add'l)	01/03/12	J		Part of Stifel IRA
133. Pimco Fds Hi Yld C1 P	A	Dividend	J	T	Buy (add'l)	02/01/12	J		Part of Stifel IRA
134. Pimco Fds Hi Yld C1 P	A	Dividend	J	T	Buy (add'l)	03/01/12	J		Part of Stifel IRA
135. Pimco Fds Hi Yld C1 P	A	Dividend	J	T	Buy (add'l)	04/02/12	J		Part of Stifel IRA
136. Pimco Fds Hi Yld C1 P	A	Dividend	J	T	Buy (add'l)	05/01/12	J		Part of Stifel IRA

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)
137. Pimco Fds Hi Yld Cl P	A	Dividend	J	T	Buy (add'l)	06/01/12	J		Part of Stifel IRA
138. Pimco Fds Hi Yld Cl P	A	Dividend	J	T	Buy (add'l)	07/02/12	J		Part of Stifel IRA
139. Pimco Fds Hi Yld Cl P	A	Dividend	J	T	Buy (add'l)	08/01/12	J		Part of Stifel IRA
140. Pimco Fds Hi Yld Cl P	A	Dividend	J	T	Buy (add'l)	09/04/12	J		Part of Stifel IRA
141. Pimco Fds Hi Yld Cl P	A	Dividend	J	T	Buy (add'l)	10/01/12	J		Part of Stifel IRA
142. Pimco Fds Hi Yld Cl P	A	Dividend	J	T	Buy (add'l)	11/01/12	J		Part of Stifel IRA
143. Pimco Fds Hi Yld Cl P	A	Dividend	J	T	Buy (add'l)	12/03/12	J		Part of Stifel IRA
144. Pimco Fds Hi Yld Cl P	A	Dividend	J	T	Buy (add'l)	12/28/12	J		Part of Stifel IRA
145. Pioneer Ser TR I Oak Ridge Small Cap Growth Fund Class A	A	Distribution	J	T	Buy (add'l)	11/28/12	J		Part of Stifel IRA

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

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

For Part VII (Investments and Trusts)

Entries 32-44, As a result of space limitations, the full name of the Aim fund is provided here: Aim Invesco Van Kampen Intermediate Term Municipal Income CL Y.

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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/ LISA M. SMITH

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

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544