

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) SmithJr, Milan D.	2. Court or Organization Ninth Circuit	3. Date of Report 05/08/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge-Active	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 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.		

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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.)*

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. 2012	Self-employed, attorney
2. 2012	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. University of California Davis School of Law	April 7, 2012 to April 8, 2012	Davis, California	Judge Irving L. Neumiller Moot Court Competition	Transportation, Food, Hotel
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 gi[fts].)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*

☒ NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.			
2.			
3.			
4.			
5.			

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. General Electric Co.	B	Dividend	K	T	Sold (part)	10/10/12	J	A	
2. Coca-Cola Company	A	Dividend	J	T					
3. Intuitive Surgical Inc.		None	K	T	Sold (part)	2/29/12	J	D	
4. Kinder Morgan energy Partners LP Unit Ltd Partnership	B	Distribution	K	T					
5. American Tower Corp CL A	A	Distribution	K	T					
6. Devon Energy Corp New	A	Dividend	K	T					
7. Pepsico Incorporated	B	Dividend	K	T					
8. Time Warner, Inc. (Y)									
9. Time Warner Cable (Y)									
10. Canadian Natl Ry Co.	A	Dividend	K	T	Sold (part)	4/23/12	J	C	
11.					Sold (part)	6/1/12	J	C	
12. First Colony Life Policy (Genworth) (Y)									
13. Aetna Life Policy MetLife	A	Dividend	J	T					
14. California Pizza Kitchen (Y)									
15. Quanta SVCS Inc		None	K	T					
16. Dow Chemical Company 5.750 12/15/12		None			Sold	12/17/12	J	A	
17. Dow Chemical Company 5.3000 3/15/13	B	Interest	K	T					

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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	(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)

18. Franklin Universal Trust	B	Dividend			Sold (part)	4/24/12	K	D	
19.					Sold (part)	4/25/12	J	C	
20.					Sold (part)	2/29/12	J	C	
21.					Sold (part)	6/1/12	J	B	
22.					Sold (part)	7/26/12	J	C	
23.					Sold (part)	7/27/12	J	B	
24.					Sold	10/10/12	J	D	
25. Goldman Sachs 5.250 10/15/13	A	Interest	J	T					
26. John Hancock Life Ins Co Sr. Uns 4.15% Due 2/15/12	A	Interest			Sold	2/15/12	J	A	
27. La Salle Fndg LLC Multi 3.000 1/15/11 (Y)									
28. McDonald's Corp 6.000 4/15/11 (Y)									
29. MFS Intermediate Income Trust (Y)									
30. New York Tel Co. 7.000 6/15/13	A	Interest	J	T					
31. Oneok Inc New	B	Dividend	K	T	Sold (part)	2/29/12	J	C	
32.					Sold (part)	4/24/12	J	C	
33.					Sold (part)	10/1/12	J	D	
34. Century Tel., Inc. Cpn 5.000% Due 2/15/15	A	Interest	J	T					

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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		
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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				
	(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)

35. Dean Witter Discover Odd Cpn Med Term Notes 7.07% 2/10/14	A	Interest	J	T					
36. Boeing Co. Global Notes Cpn 5.125% Due 2/15/13	A	Interest	J	T					
37. Genzyme Corp Gen Div (Y)									
38. Marriott Int Inc Class A	A	Dividend	J	T					
39. Money Mkt Oblig Trust Auto Cash Mgmt	A	Dividend	K	T					
40. American Capital Agency Corp	E	Dividend	L	T	Buy (add'l)	11/9/12	J		
41.					Buy (add'l)	11/9/12	J		
42.					Buy (add'l)	2/2/12	J		
43.					Buy (add'l)	7/27/12	J		
44.					Sold (part)	3/12/12	J	A	
45.					Sold (part)	5/9/12	J	A	
46.					Sold (part)	5/21/12	J	A	
47.					Sold (part)	5/26/12	J	A	
48.					Sold (part)	9/19/12	J	A	
49. Williams Partners LP Com Unit Ltd Part Int	B	Distribution	K	T	Sold (part)	2/29/12	J	B	
50. Ishares Trust Barclays 1-3 Yr. Treasury Bd FD	A	Dividend	M	T	Buy (add'l)	2/29/12	M		
51.					Sold (part)	11/14/12	K	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	
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52.					Sold (part)	11/14/12	J	A	
53.					Sold (part)	12/18/12	J	A	
54.					Sold (part)	12/18/12	J	A	
55. Capstead Mtg Corp Com No Par	C	Dividend	K	T					
56. MFA Mortgage Investments Inc. (MFA Financial Inc)	D	Dividend	K	T	Buy (add'l)	2/29/12	J		
57.					Sold (part)	1/11/12	J	A	
58.					Sold (part)	10/10/12	J	A	
59. Hatteras Financial Corp	D	Dividend	K	T	Buy (add'l)	5/9/12	J		
60.					Buy (add'l)	6/14/12	J		
61.					Buy (add'l)	6/26/12	J		
62.					Buy (add'l)	9/19/12	J		
63.					Buy (add'l)	10/10/12	J		
64.					Buy (add'l)	11/9/12	J		
65.					Sold (part)	12/19/12	J	A	
66.					Sold (part)	12/20/12	J	A	
67. Putnam Managed Municipal Income Trust- SBI	B	Dividend	K	T	Sold (part)	6/22/12	J	C	
68. Putnam Municipal Opportunities Trust-SBI	C	Dividend	K	T	Sold (part)	2/29/12	J	B	

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69.					Sold (part)	4/24/12	J	A	
70.					Sold (part)	11/14/12	J	A	
71.					Sold (part)	12/21/12	J	C	
72. Seligman Mun FD SER Inc Natl Ser CL A (Y)									
73. Gabelli Gbl Util Inc Trust GDV (Y)									
74. Ishares Trust Iboxx \$ Investop Investment Grade Bond Fund	D	Dividend	M	T	Buy (add'l)	3/12/12	J		
75.					Buy (add'l)	12/19/12	J		
76.					Sold (part)	2/2/12	J	B	
77.					Sold (part)	5/9/12	J	A	
78.					Sold (part)	5/21/12	J	A	
79.					Sold (part)	6/26/12	J	A	
80.					Sold (part)	9/19/12	J	A	
81.					Sold (part)	11/9/12	J	A	
82. Ishares Barclays Intermediate Credit Bond Fund	D	Dividend	N	T	Buy (add'l)	3/12/12	J		
83.					Buy (add'l)	6/4/12	J		
84.					Buy (add'l)	10/10/12	J		
85.					Sold (part)	2/2/12	J	A	

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86.					Sold (part)	5/9/12	J	A	
87.					Sold (part)	6/26/12	J	A	
88.					Sold (part)	9/19/12	J	A	
89. Ishares Barclays MBS Bond Fund ETF	B	Dividend	M	T	Buy (add'l)	2/29/12	K		
90. Ishares Barclays 1-3 YR Credit Bond Fund ETF	C	Dividend	N	T	Buy (add'l)	2/2/12	J		
91.					Buy (add'l)	3/20/12	K		
92.					Sold (part)	5/9/12	J	A	
93.					Sold (part)	5/21/12	J	A	
94.					Sold (part)	6/26/12	J	A	
95. Annaly Capital Management Inc.	D	Dividend	K	T	Buy (add'l)	1/13/12	J		
96.					Buy (add'l)	3/12/12	J		
97.					Buy (add'l)	3/20/12	J		
98.					Buy (add'l)	9/19/12	J		
99.					Sold (part)	2/2/12	J	A	
100.					Sold (part)	3/12/12	J	A	
101.					Sold (part)	5/9/12	J	A	
102.					Sold (part)	6/26/12	J	A	

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103.					Sold (part)	11/9/12	J	A	
104.					Sold (part)	11/14/12	J	A	
105.					Sold (part)	12/13/12	J	A	
106. Linn Energy LLC	C	Distribution	K	T	Buy (add'l)	2/2/12	J		
107.					Buy (add'l)	9/19/12	J		
108.					Buy (add'l)	12/19/12	J		
109.					Sold (part)	5/9/12	J	A	
110.					Sold (part)	10/10/12	J	A	
111. Copano Energy LLC	B	Distribution	K	T	Sold (part)	2/29/12	J	B	
112. Ishares Trust Barclays Credit Bond Fund ETF	D	Dividend	N	T	Buy (add'l)	2/2/12	J		
113.					Buy (add'l)	3/12/12	J		
114.					Buy (add'l)	4/25/12	K		
115.					Buy (add'l)	5/9/12	J		
116.					Buy (add'l)	6/26/12	J		
117.					Buy (add'l)	7/27/12	J		
118.					Buy (add'l)	9/19/12	J		
119.					Buy (add'l)	10/10/12	K		

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05/08/2013

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.					Sold (part)	2/2/12	J	A	
121.					Sold (part)	3/12/12	J	A	
122.					Sold (part)	6/26/12	J	A	
123.					Sold (part)	9/19/12	J	A	
124. Ameren Corp	B	Dividend	K	T	Sold (part)	12/13/12	J		
125. Cenovus Energy Inc	A	Dividend	K	T	Buy (add'l)	2/2/12	J		
126.					Sold (part)	2/29/12	J	A	
127. Encana Corp (Y)									
128. Abbott Laboratories	B	Dividend	K	T	Sold (part)	4/24/12	J	B	
129.					Sold (part)	6/1/12	J	A	
130.					Sold (part)	10/10/12	J	B	
131. H & Q Life Sciences Investors SBI	B	Dividend			Sold (part)	4/24/12	K	A	
132.					Sold (part)	5/16/12	J	A	
133.					Sold (part)	6/1/12	J	A	
134.					Sold (part)	6/13/12	J	A	
135.					Sold	7/12/12	J	A	
136. Enterprise Products Partners LP	C	Distribution	L	T	Buy (add'l)	6/26/12	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.					Buy (add'l)	12/19/12	J		
138.					Sold (part)	2/2/12	J	B	
139.					Sold (part)	2/29/12	J	A	
140.					Sold (part)	4/24/12	J	A	
141.					Sold (part)	5/9/12	J	A	
142.					Sold (part)	5/21/12	J	A	
143.					Sold (part)	9/19/12	J	A	
144.					Sold (part)	11/9/12	J	A	
145. Blackrock Income Trust Inc	E	Dividend	M	T	Buy (add'l)	3/12/12	J		
146.					Sold (part)	2/2/12	J	A	
147.					Sold (part)	2/29/12	J	A	
148.					Sold (part)	5/9/12	J	A	
149.					Sold (part)	5/10/12	J	A	
150.					Sold (part)	5/21/12	J	A	
151.					Sold (part)	6/26/12	J	A	
152.					Sold (part)	7/27/12	J	A	
153.					Sold (part)	9/19/12	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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Smith, Jr., Milan D.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154.					Sold (part)	10/10/12	K	D	
155.					Sold (part)	11/9/12	J	A	
156.					Sold (part)	12/13/12	K	B	
157.					Sold (part)	12/19/12	J	A	
158. DWS Dremar Value Income Edge Fund Inc New	B	Dividend			Sold (part)	1/12/12	J	A	
159.					Sold (part)	2/29/12	J	A	
160.					Sold (part)	3/20/12	J	A	
161.					Sold (part)	3/22/12	J	A	
162.					Sold (part)	4/23/12	J	B	
163.					Sold (part)	5/10/12	J	A	
164.					Sold (part)	5/16/12	J	B	
165.					Sold (part)	5/23/12	J	B	
166.					Sold (part)	5/24/12	J	B	
167.					Sold	5/25/12	J	B	
168. Gabelli Dividend & Income Fund	D	Dividend	M	T	Buy (add'l)	3/12/12	J		
169.					Buy (add'l)	9/19/12	J		
170.					Buy (add'l)	11/9/12	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)
171.					Buy (add'l)	12/19/12	J		
172.					Sold (part)	2/2/12	J	A	
173.					Sold (part)	5/9/12	J	A	
174.					Sold (part)	5/21/12	J	A	
175.					Sold (part)	6/26/12	J	A	
176. Ishares Trust Barclays 1-3 Yr Credit Bond Fund ETF	A	Dividend	L	T	Buy (add'l)	2/2/12	J		
177.					Buy (add'l)	3/12/12	J		
178.					Buy (add'l)	9/19/12	J		
179.					Buy (add'l)	10/10/12	J		
180.					Sold (part)	5/9/12	J	A	
181.					Sold (part)	6/26/12	J	A	
182. H J Heinz Co	A	Dividend	K	T	Buy (add'l)	3/12/12	J		
183.					Buy (add'l)	3/20/12	J		
184.					Buy (add'l)	9/19/12	J		
185.					Sold (part)	2/2/12	J	A	
186.					Sold (part)	5/9/12	J	A	
187.					Sold (part)	5/21/12	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)
188.					Sold (part)	6/26/12	J	A	
189. Eli Lilly & Co	A	Dividend	K	T	Buy (add'l)	3/12/12	J		
190.					Buy (add'l)	12/19/12	J		
191.					Sold (part)	2/2/12	J	A	
192.					Sold (part)	5/9/12	J	A	
193.					Sold (part)	5/21/12	J	A	
194.					Sold (part)	6/26/12	J	A	
195.					Sold (part)	9/19/12	J	A	
196.					Sold (part)	11/9/12	J	A	
197. Statoil Asa Sponsored ADR	A	Dividend	K	T	Buy (add'l)	2/2/12	J		
198.					Buy (add'l)	6/24/12	J		
199.					Buy (add'l)	6/26/12	J		
200.					Buy (add'l)	11/9/12	J		
201.					Sold (part)	3/12/12	J	A	
202.					Sold (part)	5/21/12	J	A	
203.					Sold (part)	9/17/12	J	A	
204.					Sold (part)	9/19/12	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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Name of Person Reporting

Smith, Jr., Milan D.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
205. St Jude Medical Inc (Y)									
206. Windstream Corp	B	Dividend	K	T	Buy (add'l)	5/9/12	J		
207.					Buy (add'l)	5/21/12	J		
208.					Buy (add'l)	6/1/12	K		
209.					Buy (add'l)	11/14/12	J		
210.					Sold (part)	2/2/12	J	A	
211.					Sold (part)	3/12/12	J	A	
212.					Sold (part)	6/14/12	K	A	
213.					Sold (part)	6/26/12	J	A	
214. Schwab CA Muni Money Fund Cash Money Market Fund (X)	A	Dividend	L	T					
215. Western Asset Emerging Mkts Income Fd Inc	D	Dividend	M	T	Buy (add'l)	1/3/12	J		
216.					Sold (part)	2/2/12	J	A	
217.					Sold (part)	2/29/12	J	B	
218.					Sold (part)	3/12/12	J	A	
219.					Sold (part)	3/20/12	J	A	
220.					Sold (part)	4/23/12	J	A	
221.					Sold (part)	5/9/12	J	A	

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 (See Columns C1 and D3)	F = \$50,001 - \$100,000 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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Name of Person Reporting

Smith, Jr., Milan D.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
222.					Sold (part)	5/10/12	K	A	
223.					Sold (part)	5/21/12	J	A	
224.					Sold (part)	6/1/12	J	A	
225.					Sold (part)	6/15/12	J	A	
226.					Sold (part)	6/26/12	J	A	
227.					Sold (part)	9/17/12	J	B	
228.					Sold (part)	9/19/12	J	B	
229.					Sold (part)	10/10/12	J	A	
230.					Sold (part)	12/13/12	J	A	
231.					Sold (part)	12/19/12	J	A	
232.					Sold (part)	12/20/12	J	A	
233. RBC Prime Money Market Cash Reserve	A	Dividend	K	T					
234. H & Q Healthcare Investors SBI	C	Dividend	K	T	Sold (part)	10/10/12	J	B	
235. NFJ Divid Int & Prem Strategy FD	C	Dividend			Sold (part)	2/2/12	J	A	
236.					Sold (part)	2/29/12	J	A	
237.					Sold (part)	3/12/12	J	A	
238.					Sold (part)	4/24/12	J	B	

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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Name of Person Reporting

Smith, Jr., Milan D.

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

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

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

239.					Sold (part)	5/9/12	J	A	
240.					Sold (part)	5/10/12	J	B	
241.					Sold (part)	6/1/12	J	A	
242.					Sold (part)	7/13/12	J	B	
243.					Sold	7/27/12	J	B	
244. Ishares TR 2012 S&P AMT Free Municipal Ser FD	A	Dividend			Sold	8/21/12	K	A	
245. Ishares TR 2013 S&P AMT Free Municipal Ser FD	A	Dividend	K	T					
246. Ishares TR 2014 S&P AMT Free Municipal Ser FD	A	Dividend	K	T					
247. Managed Duration Invt Grade Mun FD	B	Dividend	K	T	Sold (part)	2/29/12	J	A	
248.					Sold (part)	6/22/12	J	D	
249. Ishares TR S&P Short Term Natl Amtfr	A	Dividend	L	T	Buy (add'l)	2/29/12	K		
250. Textron Inc	A	Dividend	J	T	Sold (part)	2/29/12	J	B	
251.					Sold (part)	6/1/12	J	A	
252. Vanguard Scottsdale Funds Vanguard Short Term Corp Bond ETF	D	Dividend	N	T	Buy (add'l)	2/2/12	J		
253.					Buy (add'l)	2/29/12	K		
254.					Buy (add'l)	3/12/12	J		
255.					Buy (add'l)	3/20/12	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)

256.					Buy (add'l)	4/24/12	K		
257.					Buy (add'l)	4/26/12	K		
258.					Buy (add'l)	7/30/12	J		
259.					Buy (add'l)	12/19/12	J		
260.					Sold (part)	5/9/12	J	A	
261.					Sold (part)	5/21/12	J	A	
262.					Sold (part)	6/26/12	J	A	
263.					Sold (part)	9/19/12	J	A	
264.					Sold (part)	10/10/12	K	A	
265.					Sold (part)	11/9/12	J	A	
266.					Sold (part)	12/13/12	K	A	
267. Allegheny Energy Inc. (Y)									
268. BlackRock Credit Allocation	D	Dividend	M	T	Buy (add'l)	12/19/12	J		
269.					Sold (part)	2/2/12	J	A	
270.					Sold (part)	2/29/12	J	A	
271.					Sold (part)	3/12/12	J	A	
272.					Sold (part)	3/20/12	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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Name of Person Reporting

Smith, Jr., Milan D.

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

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

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

273.					Sold (part)	4/23/12	J	A	
274.					Sold (part)	5/9/12	J	A	
275.					Sold (part)	5/21/12	J	A	
276.					Sold (part)	6/26/12	J	A	
277.					Sold (part)	9/19/12	J	A	
278.					Sold (part)	10/10/12	J	A	
279.					Sold (part)	11/9/12	J	A	
280. Ishares Trust Dow Jones US Technology Index Fund (Y)									
281. Ishares Trust S&P Global Info Technology Sector Index Fund	A	Dividend	L	T	Buy (add'l)	5/9/12	J		
282.					Buy (add'l)	6/26/12	J		
283.					Buy (add'l)	11/9/12	J		
284.					Sold (part)	9/19/12	J	A	
285.					Sold (part)	12/19/12	J	A	
286. Calamos Global Dynamic Income Fund	D	Dividend	L	T	Buy (add'l)	2/2/12	J		
287.					Buy (add'l)	3/12/12	J		
288.					Buy (add'l)	9/19/12	J		
289.					Buy (add'l)	11/9/12	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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Name of Person Reporting

Smith, Jr., Milan D.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290.					Sold (part)	1/11/12	K	A	
291.					Sold (part)	2/2/12	J	A	
292.					Sold (part)	2/29/12	J	A	
293.					Sold (part)	3/20/12	J	A	
294.					Sold (part)	5/9/12	J	A	
295.					Sold (part)	6/26/12	J	A	
296. Liberty All-Star Equity Fund Sh Ben Int (Y)									
297. Corning Inc (Y)									
298. Templeton Global Bond Fund Advisor CL	D	Dividend	L	T	Sold (part)	10/10/12	K	A	
299. AES Corp	A	Dividend	K	T	Buy (add'l)	7/27/12	J		
300.					Buy (add'l)	9/13/12	J		
301.					Sold (part)	2/29/12	J	A	
302.					Sold (part)	6/1/12	J	A	
303.					Sold (part)	10/15/12	K	A	
304. Koninklijke Philips Electrs N V Sponsored ADR New 2000	B	Dividend	L	T	Buy (add'l)	2/2/12	J		
305.					Buy (add'l)	3/12/12	J		
306.					Buy (add'l)	5/9/12	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	

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Name of Person Reporting

Smith, Jr., Milan D.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
307.					Buy (add'l)	6/26/12	J		
308.					Buy (add'l)	12/19/12	J		
309.					Sold (part)	9/19/12	J	A	
310.					Sold (part)	11/9/12	J	A	
311. Columbia Fds Ser TR IX Tax Exempt FD CL A	B	Dividend	K	T	Sold (part)	2/29/12	J	A	
312. Ishares TR 2015 S&P AMT Free Municipal Ser Fd	A	Dividend	K	T					
313. Ishares TR 2016 S&P AMT Free Municipal Ser Fd	A	Dividend	K	T					
314. Ishares TR 2017 S&P AMT Free Municipal Ser Fd	A	Dividend	K	T					
315. Gabelli Healthcare & Wellness Trust	B	Dividend	L	T	Sold (part)	3/20/12	J	B	
316.					Sold (part)	5/10/12	J	A	
317.					Sold (part)	12/13/12	J	A	
318. BlackRock Strategic Equity Dividend Trust	B	Dividend	K	T	Buy (add'l)	1/11/12	K		
319.					Buy (add'l)	1/12/12	J		
320.					Buy (add'l)	2/2/12	J		
321.					Buy (add'l)	9/17/12	J		
322.					Sold (part)	2/28/12	J	A	
323. BlackRock Equity Dividend Trust	C	Dividend	K	T	Buy (add'l)	1/11/12	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)
324.					Buy (add'l)	1/12/12	J		
325.					Buy (add'l)	3/20/12	J		
326.					Buy (add'l)	9/19/12	J		
327.					Buy (add'l)	11/9/12	J		
328.					Sold (part)	2/2/12	J	A	
329.					Sold (part)	2/28/12	J	A	
330.					Sold (part)	3/12/12	J	A	
331.					Sold (part)	5/9/12	J	A	
332.					Sold (part)	5/21/12	J	A	
333.					Sold (part)	6/26/12	J	A	
334.					Sold (part)	12/19/12	J	A	
335. Centerpoint Energy Inc.	A	Dividend	J	T	Buy (add'l)	2/2/12	J		
336.					Buy (add'l)	3/12/12	J		
337.					Buy (add'l)	9/19/12	J		
338.					Sold (part)	5/9/12	J	A	
339.					Sold (part)	6/26/12	J	A	
340. American Electric Power Co Inc	A	Dividend	J	T	Buy (add'l)	3/12/12	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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Name of Person Reporting

Smith, Jr., Milan D.

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

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

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

341.					Sold (part)	2/2/12	J	A	
342.					Sold (part)	5/9/12	J	A	
343.					Sold (part)	6/26/12	J	A	
344.					Sold (part)	9/19/12	J	A	
345. Ishares TR Dow Jones EPAC Select Dividend	A	Dividend	K	T	Buy (add'l)	6/26/12	J		
346.					Buy (add'l)	9/17/12	J		
347.					Buy (add'l)	10/10/12	J		
348.					Sold (part)	12/13/12	J	A	
349. Microchip Technology	A	Dividend			Buy (add'l)	3/12/12	J		
350.					Sold (part)	2/2/12	J	A	
351.					Sold	5/9/12	J	A	
352. Public Service Enterprise Group Inc	A	Dividend	J	T	Buy (add'l)	2/2/12	J		
353.					Buy (add'l)	9/19/12	J		
354.					Sold (part)	3/12/12	J	A	
355.					Sold (part)	5/9/12	J	A	
356.					Sold (part)	5/21/12	J	A	
357.					Sold (part)	6/26/12	J	A	

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

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Name of Person Reporting

Smith, Jr., Milan D.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
358. Targa Resources Partners LP Unit Ltd Partnership Int	A	Distribution	J	T	Buy (add'l)	6/26/12	J		
359.					Buy (add'l)	12/19/12	J		
360.					Sold (part)	2/2/12	J	A	
361.					Sold (part)	3/12/12	J	A	
362.					Sold (part)	5/9/12	J	A	
363.					Sold (part)	9/19/12	J	A	
364. Invesco Mortgage Capital Inc	B	Dividend	J	T	Buy (add'l)	2/2/12	J		
365.					Sold (part)	3/12/12	J	A	
366.					Sold (part)	5/9/12	J	A	
367.					Sold (part)	6/26/12	J	A	
368.					Sold (part)	9/19/12	J	A	
369. Pimco ETF TR Enhanced Short Maturity	B	Dividend	N	T	Buy (add'l)	5/10/12	K		
370.					Buy (add'l)	5/21/12	J		
371.					Buy (add'l)	6/4/12	L		
372.					Buy (add'l)	6/14/12	L		
373.					Buy (add'l)	6/26/12	J		
374.					Buy (add'l)	7/27/12	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.)

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
375.					Buy (add'l)	9/19/12	J		
376.					Buy (add'l)	10/10/12	K		
377.					Sold (part)	6/14/12	K	A	
378. Southern Co	A	Dividend	J	T	Buy (add'l)	3/20/12	J		
379. ConocoPhillips	A	Dividend			Sold	5/10/12	J	A	
380. Ishares TR Dow Jones SEL Divid Index FD	A	Dividend	K	T	Buy (add'l)	3/20/12	J		
381. Apollo Residential Mortgage Inc	B	Dividend	J	T	Sold (part)	3/20/12	J	A	
382.					Sold (part)	9/17/12	J	A	
383. American Capital Mortgage Investment Corp	B	Dividend	J	T	Sold (part)	6/14/12	J	A	
384. CenturyLink Inc		None			Sold	7/26/12	J	A	
385. Sprint Nextel Corp		None			Sold	7/26/12	J	A	
386. FirstEnergy Corp	A	Dividend	J	T					
387. Sempra Energy	A	Dividend	J	T	Buy	3/20/12	J		
388.					Buy (add'l)	5/9/12	J		
389.					Buy (add'l)	9/19/12	J		
390.					Sold (part)	5/21/12	J	A	
391.					Sold (part)	6/26/12	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)
392. Anworth Mortgage Asset Corp		None	K	T	Buy	11/14/12	J		
393.					Buy (add'l)	12/13/12	J		
394.					Buy (add'l)	12/19/12	J		
395. Western Asset/Claymore Inflation LKD Opp & Inc Fund	A	Dividend	J	T	Buy	6/26/12	J		
396.					Buy (add'l)	9/19/12	J		
397.					Buy (add'l)	11/9/12	J		
398.					Sold (part)	12/19/12	J	A	
399. Ishares TR JPMorgan USD Emerging Markets BD FD ETF	B	Dividend	M	T	Buy	5/10/12	K		
400.					Buy (add'l)	6/15/12	J		
401.					Buy (add'l)	9/18/12	J		
402.					Buy (add'l)	9/19/12	J		
403.					Buy (add'l)	11/9/12	J		
404.					Buy (add'l)	11/14/12	L		
405.					Buy (add'l)	12/13/12	K		
406.					Buy (add'l)	12/18/12	K		
407.					Buy (add'l)	12/19/12	J		
408. Frontier Communications Corp	C	Dividend	L	T	Buy	6/14/12	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

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Name of Person Reporting

Smith, Jr., Milan D.

Date of Report

05/08/2013

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)
409.					Buy (add'l)	6/26/12	J		
410.					Buy (add'l)	7/27/12	J		
411.					Buy (add'l)	11/14/12	J		
412.					Sold (part)	9/17/12	J	A	
413.					Sold (part)	9/19/12	J	A	
414.					Sold (part)	11/9/12	J	A	
415. Eaton Vance Risk Managed Global Diversified Equity Income	B	Dividend	K	T	Buy	3/21/12	J		
416.					Buy (add'l)	5/10/12	J		
417.					Buy (add'l)	6/1/12	K		
418.					Buy (add'l)	6/14/12	K		
419.					Buy (add'l)	7/27/12	K		
420.					Buy (add'l)	9/12/12	J		
421.					Buy (add'l)	9/13/12	J		
422.					Buy (add'l)	9/14/12	J		
423.					Sold (part)	6/14/12	K	A	
424.					Sold (part)	11/14/12	K	A	
425. Eaton Vance Tax Managed Global Diversified Equity Income	B	Dividend	K	T	Buy	11/14/12	K		

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

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Name of Person Reporting

Smith, Jr., Milan D.

Date of Report

05/08/2013

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)
426. EMC Corp-Mass		None	J	T	Buy	9/17/12	J		
427. Hollyfrontier Corporation	B	Dividend	J	T	Buy	1/12/12	J		
428.					Buy (add'l)	5/10/12	J		
429.					Sold (part)	3/20/12	J	A	
430.					Sold (part)	9/17/12	J	A	
431.					Sold (part)	12/13/12	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		

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

Item 8, Part VII (Time Warner, Inc.). This asset, Time Warner, Inc., is below the reporting threshold per the filing instructions.

Item 9, Part VII (Time Warner Cable). This asset, Time Warner Cable, is below the reporting threshold per the filing instructions.

Item 12, Part VII (First Colony Life Policy (Genworth)). This asset, First Colony Life Policy (Genworth), is a life insurance policy with no cash value and should not have been reported on 2011 FDR because it does not meet the reporting threshold.

Item 14, Part VII (California Pizza Kitchen). This Asset, California Pizza Kitchen, was entirely disposed of in 2011. The 2011 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 27, Part VII (La Salle Fndg LLC Multi 3.000 1/15/11). This Asset, La Salle Fndg LLC Multi 3.000 1/15/11, was entirely disposed of in 2011. The 2011 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 28, Part VII (McDonald's Corp 6.000 4/15/11). This Asset, McDonald's Corp 6.000 4/15/11, was entirely disposed of in 2011. The 2011 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 29, Part VII (MFS Intermediate Income Trust). This Asset, MFS Intermediate Income Trust, was entirely disposed of in 2011. The 2011 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 72, Part VII (Seligman Mun FD Ser Inc Natl Ser CL A). This Asset, Seligman Mun FD Ser Inc Natl Ser CL A, was entirely disposed of in 2011. The 2011 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 73, Part VII (Gabelli Gbl Util Inc Trust GDV). This Asset, Gabelli Gbl Util Inc Trust GDV, was entirely disposed of in 2011. The 2011 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 127, Part VII (Encana Corp). This Asset, Encana Corp, was entirely disposed of in 2011. The 2011 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 205, Part VII (St. Jude Medical Inc). This Asset, St. Jude Medical Inc, was entirely disposed of in 2011. The 2011 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 267, Part VII (Allegheny Energy Inc.). This Asset, Allegheny Energy Inc., merged with item 276 (First Energy Corp) during 2011. The Asset on the 2011 FDR should have had no ending value and been marked as "merged with" in order to reflect the merger of First Energy Corp (item 276 on 2011 FDR) and Allegheny Energy Inc (item 175 on 2011 FDR).

Item 280, Part VII (Ishares Trust Dow Jones US Technology Index Fund). This Asset, Ishares Trust Dow Jones US Technology Index Fund, was entirely disposed of in 2011. The 2011 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 296, Part VII (Liberty All-Star Equity Fund Sh Ben Int). This Asset, Liberty All-Star Equity Fund Sh Ben Int, was entirely disposed of in 2011. The 2011 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 297, Part VII (Corning Inc.). This Asset, Corning Inc., was entirely disposed of in 2011. The 2011 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.

IX. CERTIFICATION.

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

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

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

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

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544