

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 06/14/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. MAGISTRATE JUDGE FULL TIME	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2018	Pace University School of Law - Teaching	\$12,235.04
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. 2018	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. Chase Cash accounts		None	J	T					
2. TD Bank Cash account		None	J	T					
3. Fidelity NY Municipal Money Market Fund	A	Dividend	J	T					
4. Fidelity IRA (Puritan Fund) (Y)									
5. Fidelity IRA (Fidelity Fund)	A	Dividend	K	T					
6. Fidelity IRA (Cash Reserves)	A	Dividend	K	T					
7. Webster Bank, Wilton CT -- Checking Account		None	J	T					
8. Fidelity Growth and Income Fund (Y)									
9. Fidelity Dividend Growth Fund (Y)									
10. HSBC IRA (Fidelity Puritan Fund) (X)	A	Dividend	K	T					
11. HSBC IRA (T. Rowe Price Dividend Growth Fund)	A	Dividend	K	T					
12. HSBC Cash Account		None	J	T					
13. Cisco Systems Common Stock (Y)									
14. Century Link Communications Common Stock (Y)									
15. Walt Disney Common Stock (Y)									
16. Long Island Power Auth. Bonds (Y)									
17. Stifel Nicolaus IRA money market	A	Interest	J	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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 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. Stifel Nicolaus investment account money market	A	Interest	J	T					
19. Stifel Nicolaus Custodial Acc't for minor child #1 (cash account) (Y)									
20. Stifel Nicolaus Custodial Acc't for minor child #2 (cash account) (Y)									
21. General Electric common stock (Y)									
22. Citigroup common stock (Y)									
23. Capital One Financial Corp Common Stock (Y)									
24. Freeport McMoran Copper & Gold, Inc. Common Stock (Y)									
25. Invesco Intermediate Term Muni Income Fund Class Y	A	Dividend	K	T	Buy (add'l)	02/23/18	J		Stifel Inv't a/c
26. Invesco Intermediate Term Muni Income Fund Class Y	A	Dividend	K	T	Sold (part)	08/24/18	J	A	Stifel Inv't a/c
27. Invesco Intermediate Term Muni Income Fund Class Y	A	Dividend	K	T	Sold (part)	11/26/18	J	A	Stifel Inv't a/c
28. Artisan Funds Mid Cap Value Fund -- Advisor Class	A	Dividend			Sold	09/14/18	J	A	Stifel Inv't a/c
29. Blackrock Equity Dividend Fund	A	Dividend	J	T	Sold (part)	02/23/18	J		Stifel Inv't a/c
30. Blackrock Equity Dividend Fund	A	Dividend	J	T	Sold (part)	11/26/18	J		Stifel Inv't a/c
31. Columbia Contrarian Core Fund	A	Dividend	J	T	Sold (part)	02/23/18	J	A	Stifel Inv't a/c
32. Columbia Contrarian Core Fund	A	Dividend	J	T	Sold (part)	08/24/18	J	A	Stifel Inv't a/c
33. Columbia Contrarian Core Fund	A	Dividend	J	T	Sold (part)	11/26/18	J	A	Stifel Inv't a/c
34. American Beacon International Equity Fund	A	Dividend	J	T	Sold (part)	02/23/18	J	A	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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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. American Beacon International Equity Fund	A	Dividend	J	T	Sold (part)	11/26/18	J	A	Stifel Inv't a/c
36. Fidelity Advisor New Insights Fund Instl Cl	A	Dividend	J	T	Sold (part)	02/23/18	J	A	Stifel Inv't a/c
37. Fidelity Advisor New Insights Fund Instl Cl	A	Dividend	J	T	Sold (part)	11/26/18	J	A	Stifel Inv't a/c
38. FMI International Fund	A	Dividend	J	T	Buy	11/30/18	J		Stifel Inv't a/c
39. Goldman Small Cap Insights Fund	A	Dividend	J	T	Buy	11/30/18	J		Stifel Inv't a/c
40. Ivy Mid Cap Growth Fund	A	Distribution	J	T	Buy	02/23/18	J		Stifel Inv't a/c
41. Ivy Mid Cap Growth Fund	A	Distribution	J	T	Sold (part)	11/26/18	J	A	Stifel Inv't a/c
42. Janus Henderson International Oppty Fund		None			Sold	11/30/18	J		Stifel Inv't a/c
43. Nationwide Geneva Mid Cap Gr Fund Instl Svc Class		None			Sold	02/23/18	J	A	Stifel Inv't a/c
44. MFS Intl Growth Fund	A	Dividend	J	T	Sold (part)	02/23/18	J	A	Stifel Inv't a/c
45. MFS Intl Growth Fund	A	Dividend	J	T	Sold (part)	11/26/18	J	A	Stifel Inv't a/c
46. Nuveen Small Cap Value Fund	A	Dividend	J	T	Buy	09/14/18	J		Stifel Inv't a/c
47. Nuveen Small Cap Value Fund	A	Dividend	J	T	Sold (part)	11/26/18	J		Stifel Inv't a/c
48. Oppenheimer Developing Markets Fund Cl Y	A	Dividend	J	T	Sold (part)	02/23/18	J	A	Stifel Inv't a/c
49. Oppenheimer Developing Markets Fund Cl Y	A	Dividend	J	T	Buy (add'l)	11/16/18	J		Stifel Inv't a/c
50. Oppenheimer Developing Markets Fund Cl Y	A	Dividend	J	T	Sold (part)	11/26/18	J	A	Stifel Inv't a/c
51. Wells Fargo Special Small Cap Value Fund		None			Sold	09/14/18	J	A	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
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52. Wells Fargo Special Mid Cap Value Fund	A	Dividend	J	T	Buy	09/14/18	J		Stifel Inv't a/c
53. Wells Fargo Special Mid Cap Value Fund	A	Dividend	J	T	Sold (part)	11/26/18	J		Stifel Inv't a/c
54. Meridian Small Cap Growth Fund	A	Distribution	J	T	Buy (add'l)	02/23/18	J		Stifel Inv't a/c
55. Meridian Small Cap Growth Fund	A	Distribution	J	T	Buy (add'l)	08/24/18	J		Stifel Inv't a/c
56. Meridian Small Cap Growth Fund	A	Distribution	J	T	Sold (part)	11/26/18	J	A	Stifel Inv't a/c
57. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Buy (add'l)	02/23/18	J		Stifel Inv't a/c
58. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Buy (add'l)	08/24/18	J		Stifel Inv't a/c
59. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Sold (part)	11/26/18	J		Stifel Inv't a/c
60. American Beacon International Equity Fund	A	Dividend	J	T					Part of Stifel IRA
61. Artisan Funds Mid Cap Value Fund -- Investor Class		None			Sold	09/14/18	J	A	Part of Stifel IRA
62. Blackrock Equity Dividend Fund	A	Dividend	J	T	Buy (add'l)	02/23/18	J		Part of Stifel IRA
63. Columbia Contrarian Core Fund Class Z	A	Dividend	J	T	Buy (add'l)	05/25/18	J		Part of Stifel IRA
64. Columbia Contrarian Core Fund Class Z	A	Dividend	J	T	Sold (part)	02/23/18	J	A	Part of Stifel IRA
65. Columbia Contrarian Core Fund Class Z	A	Dividend	J	T	Sold (part)	08/24/18	J	A	Part of Stifel IRA
66. Fidelity Advisor New Insights Mutual Fund Institutional Class	A	Dividend	J	T	Sold (part)	02/23/18	J	A	Part of Stifel IRA
67. FMI International Fund Instl	A	Dividend	J	T	Buy	11/30/18	J		Part of Stifel IRA
68. Goldman Sachs Intl Small Cap Insights Fund	A	Dividend	J	T	Buy	11/30/18	J		Part of Stifel IRA

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3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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69. Ivy Mid Cap Growth Fund	A	Distribution	J	T	Buy	02/23/18	J		Part of Stifel IRA
70. Nuveen Small Cap Value Fund	A	Dividend	J	T	Buy	09/14/18	J		Part of Stifel IRA
71. Oppenheimer Developing Markets Fund Class Y	A	Dividend	J	T	Buy (add'l)	11/16/18	J		Part of Stifel IRA
72. Oppenheimer Developing Markets Fund Class Y	A	Dividend	J	T	Sold (part)	02/23/18	J	A	Part of Stifel IRA
73. Harbor Bond Fund	A	Dividend	J	T	Buy (add'l)	02/23/18	J		Part of Stifel IRA
74. Janus Henderson International Oppty Fund	A	Dividend			Sold	11/30/18	J		Part of Stifel IRA
75. Meridian Sm Cap Gr Fund Investor Class	A	Distribution	J	T	Buy (add'l)	08/24/18	J		Part of Stifel IRA
76. Meridian Sm Cap Gr Fund Investor Class	A	Distribution	J	T	Sold (part)	02/23/18	J	A	Part of Stifel IRA
77. Nationwide Mutual New Geneva Mid Cap Growth Fund Instl Svc Class		None			Sold	02/23/18	J	A	Part of Stifel IRA
78. Vanguard Short Term Federal Fund	A	Dividend	J	T	Buy	08/24/18	J		Part of Stifel IRA
79. MFS Intl Growth Fd C1 I	A	Dividend	J	T	Sold (part)	02/23/18	J	A	Part of Stifel IRA
80. Wells Fargo Govt Securities Fund Admin Class	A	Dividend	J	T	Buy (add'l)	02/23/18	J		Part of Stifel IRA
81. Wells Fargo Govt Securities Fund Admin Class	A	Dividend	J	T	Sold (part)	08/24/18	J		Part of Stifel IRA
82. Wells Fargo Special Small Cap Value Fund	A	Dividend			Sold	09/14/18	J	A	Part of Stifel IRA
83. Wells Fargo Special Mid Cap Value Fund	A	Dividend	J	T	Buy	09/14/18	J		Part of Stifel IRA
84. Inherited IRA									Stifel Inherited IRA
85. -- Stifel Insured Bank Program	A	Interest	J	T					Stifel Inherited IRA

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86. -- Verizon (VZ)	A	Dividend	J	T					Stifel Inherited IRA
87. -- Franklin Income Fund, Advisor Class	A	Dividend	J	T	Sold (part)	07/18/18	J	A	Stifel Inherited IRA
88. -- Ishares S&P Mid Cap 400 Growth ETF (IJK)	A	Dividend	J	T					Stifel Inherited IRA
89. -- Ishares S&P Small Cap 600 Growth ETF (IJT)	A	Dividend	J	T					Stifel Inherited IRA
90. Stifel Individual Brokerage Acct									Stifel Individual Account
91. -- Stifel Insured Bank Program	A	Interest	J	T					Stifel Individual Account
92. -- Franklin NY Tax Free Income Fund, C1 A (FNYTX)	A	Dividend	J	T	Sold (part)	07/18/18	J		Stifel Individual Account
93. -- Lord Abbett Value Opptys Fund, Class C	A	Distribution			Sold	11/26/18	J		Stifel Individual Account

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

I. Positions

1. Minor child #1 Stifel account: minor reached majority.
2. Minor child #2 Stifel account closed.
3. Minor child #2 NY College Savings Program account closed.

VII. Investments

1. Row 51: For Wells Fargo Special Small Cap Value Fund in previous period (1/1/2017 to 12/31/2017) the word "Special" in the description was inadvertently omitted.
2. Row 87: For Franklin Income Fund, for previous report (1/1/2017 to 12/31/2017) it was inadvertently listed as sold where Class C shares were exchanged for advisor class shares and only part of those advisor class shares were sold.

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Name of Person Reporting

SMITH, LISA M.

Date of Report

06/14/2019

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