

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, Rebecca B.	2. Court or Organization Eastern District of Virginia	3. Date of Report 5/9/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Active)	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 District Court 600 Granby Street Norfolk, Virginia 23510		
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	General Douglas MacArthur Foundation, Norfolk, Va
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

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

FINANCIAL DISCLOSURE REPORT

Page 2 of 15

Name of Person Reporting

Smith, Rebecca B.

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5/9/2019

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.

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 15

Name of Person Reporting

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<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.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 15

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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. Branch Bank & Trust Co. Bank Account	A	Interest	J	T					
2. Investment Account #1 directing (line 3) (H)									
3. IRA-Brokerage Account #1 holding (lines 4-38) (H)									
4. Schwab Govt. Money Fund	A	Int./Div.	K	T					
5. Standard & Poor's Midcap 400 (now IShares S & P 400)	A	Int./Div.	J	T					
6. IShares TR Bond, now IShares Int Credit Bond		None			Sold	01/02/18	J	B	
7. Wisdomtree Trust now Wisdomtree Emrg Mkts	A	Int./Div.	J	T					
8. IShares S & P 500 Value	B	Int./Div.	M	T					
9. Vanguard FTSE ETF	B	Int./Div.	K	T	Sold (part)	08/24/18	J	A	
10. Wisdomtree Small Cap		None			Sold	04/13/18	J	B	
11. IShares EDG MSCI USA VAL	B	Int./Div.	L	T					
12. IShares EDG MSCI USA QLTY	B	Int./Div.	L	T					
13. Taxable Bonds: (H)									
14. Amgen (11/15/21)	A	Int./Div.	J	T					
15. Maryland St Sta (12/15/18)		None			Redeemed	12/15/18	J		
16. UST Infl Idx (1/15/21)		None	J	T					
17. BP Capital Mkt P (10/1/20)		None	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.01 - \$500,000.00	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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Page 5 of 15

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18. US Treasury Note (2/15/22)	A	Int./Div.	J	T					
19. Altera Corporation (11/15/18)		None			Redeemed	11/15/18	J		
20. John Deere Capital (9/11/20)	A	Int./Div.	K	T					
21. Procter & Gamble (8/15/23)	A	Int./Div.	K	T					
22. Fairfax County VA (4/1/22)	A	Int./Div.	J	T					
23. Florida Hurricane (7/1/20)	A	Int./Div.	J	T					
24. US Treasury NT (5/15/21)	A	Int./Div.	J	T					
25. US Treasury NT (11/15/23)	A	Int./Div.	J	T					
26. US Treasury NT (2/15/24)	A	Int./Div.	J	T					
27. Tennessee Valley Authority (4/1/18)		None			Redeemed	04/01/18	J		
28. Oracle Corporation (7/8/19)	A	Int./Div.	J	T					
29. Microsoft Corp. (2/12/22)	A	Int./Div.	J	T					
30. US Treasury NT (1/21/18)		None			Redeemed	01/31/18	K		
31. JP Morgan Chase (4/23/19)	A	Int./Div.	J	T					
32. US Treasury Infl IDX (7/15/23)	A	Int./Div.	K	T	Buy	02/06/18	K		
33. Shell International (9/22/19)	A	Int./Div.	J	T	Buy	12/27/18	J		
34. O'Reilly Automotive (1/14/21)	A	Int./Div.	K	T	Buy	02/14/18	K		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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Page 6 of 15

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35. Dollar General C (4/15/23)	A	Int./Div.	K	T	Buy	01/10/18	K		
36. Amazon (12/5/24)	A	Int./Div.	K	T	Buy	02/28/18	K		
37. J.P. Morgan U.S. Value Factor	A	Int./Div.	J	T	Buy	12/21/18	J		
38. SPDR S&P 600 Small Cap	A	Int./Div.	J	T	Buy	04/13/18	J		
39. Farm, [REDACTED], VA (See VIII for explanation)	G		N	W	Sold (part)	12/31/18	M	F	Pine View Forestry, LLC
40. Investment Account #2 directing (line 41) (H)									
41. Brokerage Account #2 holding (lines 42-110) (H)									
42. Schwab Govt Money Fund	A	Int./Div.	K	T					
43. Equities/Stocks: (H)									
44. A T & T Inc.	A	Dividend			Sold	11/28/18	J	B	
45. Ace Limited (name change to Chubb Ltd on 1/19/16)	A	Dividend	J	T					
46. Auto Data Processing	A	Dividend	K	T					
47. Cisco Systems Inc.	A	Dividend	K	T					
48. Dollar Tree Inc.		None	K	T					
49. DuPont E I De Nemours & Co. (now Dow Dupont Inc.)	A	Dividend	K	T					
50. Duke Energy Corp.	A	Dividend	J	T					
51. Exxon Mobil Corp.	B	Dividend	K	T					

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Page 7 of 15

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52. General Electric Co.	A	Dividend			Sold	01/18/18	J	D	
53. Honeywell International	B	Dividend	K	T					
54. Garrett Motion Inc.		None			Spinoff (from line 53)	10/29/18	J		
55.					Sold	11/19/18	J	A	
56. Resideo Technologies Inc.		None			Spinoff (from line 53)	10/29/18	J		
57.					Sold	11/19/18	J	B	
58. Johnson & Johnson	B	Dividend	L	T					
59. J.P. Morgan Chase & Co.	A	Dividend	K	T					
60. Kraft Foods, Inc. (name changed to Mondelez on 10/2/12)	A	Dividend	K	T					
61. Microsoft Corp.	B	Dividend	L	T					
62. Pepsico Inc.	A	Dividend	K	T					
63. Verizon Communications	A	Dividend	K	T					
64. Canadian Natl Ry Co	A	Dividend	K	T					
65. Home Depot	B	Dividend	L	T					
66. Proctor & Gamble	A	Dividend	K	T					
67. Travelers Companies	A	Dividend	K	T					
68. Vanguard Div Appreciation	A	Dividend	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 15

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69. Chevron Corporation	A	Dividend	K	T					
70. Wal-Mart Stores Inc	A	Dividend	K	T					
71. Apple Inc	B	Dividend	L	T					
72. Amgen Incorporated	A	Dividend	K	T					
73. McDonalds Corp	A	Dividend	K	T					
74. Kraft Foods Group now Kraft Heinz Co.	A	Dividend	J	T					
75. Delta Airlines Inc.	A	Dividend	K	T					
76. Discover Financial SVCS	A	Dividend	J	T					
77. Skyworks Solutions	A	Dividend			Sold	08/17/18	J	B	
78. Valero Energy Corp.	A	Dividend	K	T					
79. Adobe Systems Inc.		None	K	T					
80. Alphabet Inc.		None	K	T					
81. Starbucks Corp	A	Dividend	K	T					
82. Stryker Corp	A	Dividend	K	T					
83. Unitedhealth Grp Inc.	A	Dividend	K	T					
84. Walt Disney Co	A	Dividend	K	T					
85. Vanguard Ftse Developed	B	Dividend	K	T					

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Page 9 of 15

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86. Principal Financial	A	Dividend			Sold	04/02/18	K		
87. Lockheed Martin Corp.	A	Dividend	K	T	Buy	08/17/18	K		
88. Comcast Corp.	A	Dividend	K	T	Buy	04/02/18	K		
89. Cummins Inc.	A	Dividend	K	T	Buy	06/07/18	J		
90.					Buy (add'l)	10/25/18	J		
91. Tax Exempt Bonds: (H)									
92. Hanover County VA Eco (04/01/18)	A	Interest			Redeemed	04/01/18	J		
93. Virginia St Res Aut (11/01/19)	A	Interest	K	T					
94. Richmond Va Met (7/15/22)	A	Interest	K	T					
95. Fairfax Co Wtr Au (4/1/21)	A	Interest	J	T					
96. Charlottesville Va (7/15/27)	A	Interest	J	T					
97. Fairfax Cnty Va Wtr (4/1/20)	A	Interest	K	T					
98. Falls Church VA (7/15/23)	A	Interest	K	T					
99. VA St Pub Sch Auth (12/1/21)	A	Interest			Redeemed	12/01/18	K		
100. Poquoson VA (2/15/27)	A	Interest	K	T					
101. US Treasury NT (3/31/18)		None			Redeemed	03/31/18	J		
102. US Treasury NT (6/30/18)		None			Redeemed	06/30/18	J		

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103. US Treasury NT (9/30/18)		None			Redeemed	09/30/18	J		
104. US Treasury NT (12/15/18)		None			Redeemed	12/15/18	J		
105. Loudoun Cnty VA (12/01/27)	A	Interest	J	T					
106. James City County VA (6/15/18)		None			Buy	05/09/18	K		
107.		None			Sold	06/15/18	K		
108. Appomattox Cnty VA (05/01/22)		None	K	T	Buy	12/20/18	K		
109. Va. Commonwealth Trans. Brd. (03/15/26)	A	Interest	K	T	Buy	10/29/18	K		
110. Fairfax Co., VA (10/01/23)	A	Interest	K	T	Buy	10/12/18	K		
111. Wells Fargo	A	Interest	M	T					
112. Rental Property #1, Norfolk, VA	E	Rent	N	W					
113. C.A. Associates, 2%, Norfolk, VA	C	Dividend	K	W					
114. Friends of Cedar Point Country Club		None	J	T					
115. IRA-Brokerage Acct #3 directing and holding (lines 116-143) (H)									
116. UBS Financial Services IRA Partial Dist.	D	Distribution	M	T					
117. Washington Real Estate Investment Fund	A	Int./Div.	J	T					
118. iShares Trust Russell 1000 Value Index (now iShares Inter Credit Bond)		None	J	T					
119. iShares Trust Russell Midcap Value Index	B	Int./Div.	J	T					

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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. iShares Trust Russell Midcap Growth Index	B	Int./Div.	J	T					
121. iShares MSCI EAFE Index Fund	A	Int./Div.	J	T					
122. iShares MSCI Emerging Markets Index		None	J	T					
123. Vanguard Index Funds Vanguard Value ETF	B	Int./Div.	J	T					
124. Vanguard Index Funds Vanguard Small Cap	B	Int./Div.	J	T					
125. Vanguard Index Funds Vanguard Growth	C	Int./Div.	J	T					
126. Vanguard REIT ETF	A	Int./Div.	J	T					
127. iShares iBoxx \$ Invt Gra De Corp Fund		None	J	T					
128. Fed. Govt Income Fund Class A		None	J	T					
129. Lord Abbett Intermediate Tax Fund	A	Int./Div.	J	T					
130. Thornburg Limited Term Fund		None			Sold	03/13/18	J		
131. Wells Fargo Advantage Intermediate	A	Int./Div.	K	T					
132. Wells Fargo Advantage Municipal Fund		None			Sold	10/25/18	K	B	
133. iShares 7-10 Year Treas Bond ETF		None	J	T					
134. Blackrock High Yield		None	J	T					
135. Goldman Sachs Strategic Income		None	J	T					
136. Nuveen Symphony Floating		None	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 15

Name of Person Reporting

Smith, Rebecca B.

Date of Report

5/9/2019

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. Prudential Short Term Corporate Bond (now PGIM Short Term)		None	J	T					
138. Virtus Multi-Sector Short Term Bond		None	J	T					
139. AQR Managed Futures Strategy	A	Int./Div.	J	T					
140. Tax Exempt Bonds: (H)									
141. Virginia Small Business Fing Auth (11/01/21)	A	Interest	K	T					
142. Arlington Cnty Va IDA (07/01/31)	B	Interest	K	T					
143. Roanoke VA EDA Hosp (07/01/20)	C	Interest	L	T					
144. Brokerage Account #4 directing and holding (lines 145-166) (H)									
145. Resource Management Tax Free Fund (now UBS Bank USA Dep Acct)		None	J	T					
146. Equities/Stocks: (H)									
147. iShares Trust Russell 1000 Growth Index Fund	B	Dividend	J	T					
148. iShares Trust Russell Midcap Index Fund	B	Dividend	J	T					
149. iShares MSCI EAFE Index Fund	A	Dividend	J	T					
150. Vanguard Index Funds Vanguard Value	B	Dividend	J	T					
151. Vanguard Index Funds Vanguard Growth	C	Dividend	J	T					
152. iShares iBoxx \$ Invt Gra De Corporate		None	J	T					
153. iShares Barclays Inter CR BD FD (now iShares Inter CR BD FD)		None	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 13 of 15

Name of Person Reporting

Smith, Rebecca B.

Date of Report

5/9/2019

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. AQR Managed Futures Strategy Fund	A	Dividend	J	T					
155. iShares MSCI Emerging Markets		None	J	T					
156. Vanguard Index Funds Vanguard Small Cap	C	Dividend	J	T					
157. iShares Inter Credit Bond (now iShares Tips Bond ETF)		None			Sold	02/26/18	J		
158. iShares Natl Amt-Free Muni Bond		None	J	T					
159. Market Vectors ETF Trust Inter Municipal (now Vaneck Vectors Municipa)	A	Distribution	J	T					
160. Market Vectors ETF Trust Short Municipal (now Vaneck Vectors Short M)		None	J	T					
161. Market Vectors High Yield Muni ETF (now Vaneck Vectors High Yield)		None	J	T					
162. Powershares ETF Trust II (formerly Powershares Senior Ln)(now Invesco)		None	J	T					
163. Metropolitan West Total	B	Distribution	K	T					
164. iShares US PFD Stock EFT Index		None	J	T					
165. SPDR Euro Stoxx 50 ETF	A	Dividend	J	T					
166. Pimco Total Return Active ETF		None	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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FINANCIAL DISCLOSURE REPORT

Page 14 of 15

Name of Person Reporting	Date of Report
Smith, Rebecca B.	5/9/2019

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

Part VII - Investments and Trusts
Line 39
Sold timber on my farm

FINANCIAL DISCLOSURE REPORT

Page 15 of 15

Name of Person Reporting

Smith, Rebecca B.

Date of Report

5/9/2019

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/ Rebecca B. 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