

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2008Report 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, Ortrie D.	2. Court or Organization U.S.D.C. MO, Western District	3. Date of Report 3/20/2009
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Court Judge (Active)	5a. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2008 to 12/31/2008
7. Chambers or Office Address Room 8552 U.S. Courthouse 400 East 9th Street Kansas City, MO 64106	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

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	Historical Society of the United States Courts for the Eighth Circuit
2. Secretary	Historical Society of the United States Courts for the Eighth Circuit - Western District of Missouri Branch
3. Director	YMCA of the Rockies
4. Director	Lawyers Encouraging Academic Performance (LEAP)
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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FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Smith, Otrrie D.

Date of Report

3/20/2009

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.		
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.	
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.				

FINANCIAL DISCLOSURE REPORT

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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.		

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Name of Person Reporting

Smith, Otrrie D.

Date of Report

3/20/2009

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Intel Corp - Com Stk	A	Dividend	J	T					
2. Microsoft Corp - Com Stk	A	Dividend	K	T					
3. Wal-Mart Stores, Inc. - Com Stk	A	Dividend			Sold	10/14	K	C	
4. New Perspective Fund, Inc.	A	Dividend	K	T					
5. Oracle Corp		None	K	T					
6. Garmin Ltd.	B	Dividend	K	T	Partial Sale	1/09	J	D	
7.					Buy	6/11	J		
8.					Buy	11/3	J		
9.					Buy	12/18	K		
10. Ishares MSCI	B	Dividend	J	T					
11. Ishares Trust DJ Selected	A	Dividend	J	T					
12. Vanguard 500 Index Fund	A	Dividend	K	T					
13. Putnam Equity Income CL A		None			Sold	12/18	K	A	
14. Putnam New Value CL A	A	Dividend			Sold	12/18	J	A	
15. Cerner Corp.		None	K	T					
16. Berkshire Hathaway, CL B		None	K	T	Buy	11/3	J		
17. Russell Microcap Index	A	Dividend	J	T					

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

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Name of Person Reporting

Smith, Ortrie D.

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Regions Financial Corp.	A	Dividend			Sold	12/19	J	D	
19. A/F Europacific Growth A	A	Dividend	K	T					
20. Putnam Int'l. Capital Opportunities Fund CL A	A	Dividend			Sold	12/18	J	A	
21. Ishares DJ US Energy Sector Index Fund		None	J	T					
22. Putnam Capital Opportunities	B	Dividend			Sold	12/18	J	A	
23. Ishares TR Russell 2000 Value Index Fund	A	Dividend	J	T					
24. Ishares S&P Smallcap 600 Value Barra Index Fund	A	Dividend	J	T					
25. Ishares TR Russell 2000 Index Fund	A	Dividend	J	T					
26. Ishares Trust S&P Smallcap 600 Index Fund	A	Dividend	J	T	Sold (part)	12/29	J	A	
27. AFLAC Corporation	A	Dividend			Sold (part)	3/5	J	C	
28.					Sold (part)	9/12	J	C	
29. American International Group	A	Dividend	J	T	Sold (part)	3/5	J	A	
30.					Buy	11/3	J		
31. Ishares Russell Midcap Index Value Fund	A	Dividend			Sold	12/29	J	A	
32. Ishares TR S&P Midcap 400 Value Barra Index Fund	A	Dividend	J	T					
33. Regions FDIC	A	Interest			Sold	12/19	J	A	
34. Ishares Cohen & Steers Realty	B	Dividend	J	T					

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

Smith, Ortrie 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. Ishares GS Natural Resources	A	Dividend	J	T					
36. Ishares MSCI & Merging Markets	A	Dividend	J	T					
37. Ishares Morningstar	A	Dividend	J	T					
38. Ishares TR DJ Basic Mat Index	A	Dividend	J	T					
39. Powershares QQQ Trust Series I	A	Dividend	J	T					

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

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Name of Person Reporting

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

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Name of Person Reporting

Smith, Ortrie D.

Date of Report

3/20/2009

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 _____

A large black rectangular redaction box covering the signature.

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

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

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

UNITED STATES DISTRICT COURT

FOR THE
EASTERN DISTRICT OF PENNSYLVANIA

CHAMBERS OF
JAMES KNOLL GARDNER
UNITED STATES DISTRICT JUDGE

EDWARD N. CAHN UNITED STATES COURTHOUSE
504 WEST HAMILTON STREET, SUITE 4701
ALLENTOWN, PENNSYLVANIA 18101
(610) 434-3457

April 20, 2009

Otrie D. Smith, Chair
Judicial Conference of the United States
Committee on Financial Disclosure
One Columbus Circle, N.E.
Washington, D.C. 20544

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DISCLOSURE OFFICE

Re: Financial Disclosure Report for Calendar Year 2007;
Amendment of Financial Disclosure Reports for
Calendar Years 2002 through 2007

Dear Mr. Smith:

This is in response to the January 30, 2009 letter from Staff Counsel George D. Reynolds and earlier letters concerning my Financial Disclosure Report for Calendar Year 2007 dated July 11, 2008. The purpose of this letter is to amend my 2007 report pursuant to your August 12, 2008 letter as follows:

Section VII., Investments and Trusts, Line 12, on page 4 of the report currently reads:

<u>A.</u> <u>Description</u> <u>of Assets</u>	<u>B. (2)</u> <u>Income</u> <u>Type</u>	<u>C. (1)</u> <u>Value</u> <u>Code</u>	<u>C. (2)</u> <u>Value</u> <u>Method</u>	<u>D. (1)</u> <u>Transaction</u> <u>Type</u>	<u>D. (2)</u> <u>Date</u>	<u>D. (3)</u> <u>Value</u> <u>Code</u>	<u>D. (5)</u> <u>Identity</u> <u>of</u> <u>buyer/</u> <u>seller</u>
Amgen, Inc. - common stock	None	J	T	Sell	2/21	J	N/A

Please amend line 12 to eliminate the responses "J" and "T" in boxes C. (1) and C. (2). Please also complete box D. (4) as follows:

<u>D. (4)</u> <u>Gain Code</u>
A

Otrie D. Smith, Chair
Committee on Financial Disclosure
April 20, 2009
Page 2

All the remaining boxes A., B.(2), D.(1), D.(2), D.(3) and D.(5) remain unchanged.

Section VII., Line 76, on page 8 currently reads

<u>A.</u> <u>Description of</u> <u>Assets</u>	<u>B.(1)</u> <u>Income</u> <u>Amount</u> <u>Code</u>	<u>B.(2)</u> <u>Type</u>	<u>C.(1)</u> <u>Value Code</u>	<u>C.(2)</u> <u>Value</u> <u>Method</u>
Fun \$ Investment Club - Partnership	A	Dividend	J	T

The income from this asset reported on line 76 first became reportable in the report for calendar year 2007. Prior to that its income was below the reporting threshold. However, an "(X)" notation in column A would be inaccurate because the year-end value of the asset was above the reporting threshold for each report period from the initial report for calendar year 2002 onward. The listing of this asset was inadvertently omitted from each report for calendar year 2002 through 2006. When the oversight was discovered, the asset was reported for the first time in the report for calendar year 2007 in the format indicated above.

Accordingly, another purpose of this letter is to amend my Financial Disclosure Report for each calendar year 2002 through 2006 with the identical amendment in Section VII., Investments and Trusts, by the addition of an additional line as follows:

<u>Report for Calendr Year</u>	<u>Line Number</u>
2002	85
2003	57
2004	96
2005	79
2006	82

Otrie D. Smith, Chair
Committee on Financial Disclosure
April 20, 2009
Page 3

Each of the above lines should read:

<u>A.</u> <u>Description of</u> <u>Assets</u>	<u>B.(1)</u> <u>Income</u> <u>Amount</u> <u>Code</u>	<u>B.(2)</u> <u>Type</u>	<u>C.(1)</u> <u>Value Code</u>	<u>C.(2)</u> <u>Value</u> <u>Method</u>
Fun \$ Investment Club - Partnership	A	Dividend	J	U

Please also amend Section VII., Line 76 of the report for Calendar Year 2007, Column C.(2), Value Method, to change the designation from "T" to "U".

Do not hesitate to contact me if your require anything additional.

Please acknowledge receipt of these amendments.

Thank you for your cooperation.



JKG:ces

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2008

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, Ortrie D.	2. Court or Organization U.S.D.C. MO, Western District	3. Date of Report 3/20/2009
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Court Judge (Active)	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2008 to 12/31/2008
7. Chambers or Office Address Room 8552 U.S. Courthouse 400 East 9th Street Kansas City, MO 64106	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

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	Historical Society of the United States Courts for the Eighth Circuit
2. Secretary	Historical Society of the United States Courts for the Eighth Circuit - Western District of Missouri Branch
3. Director	YMCA of the Rockies
4. Director	Lawyers Encouraging Academic Performance (LEAP)
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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FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

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Date of Report

3/20/2009

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.		
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.	
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.				
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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.		

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11. Ishares Trust DJ Selected	A	Dividend	J	T					
12. Vanguard 500 Index Fund	A	Dividend	K	T					
13. Putnam Equity Income CL A		None			Sold	12/18	K	A	
14. Putnam New Value CL A	A	Dividend			Sold	12/18	J	A	
15. Cerner Corp.		None	K	T					
16. Berkshire Hathaway, CL B		None	K	T	Buy	11/3	J		
17. Russell Microcap Index	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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18. Regions Financial Corp.	A	Dividend			Sold	12/19	J	D	
19. A/F Europacific Growth A	A	Dividend	K	T					
20. Putnam Int'l. Capital Opportunities Fund CL A	A	Dividend			Sold	12/18	J	A	
21. Ishares DJ US Energy Sector Index Fund		None	J	T					
22. Putnam Capital Opportunities	B	Dividend			Sold	12/18	J	A	
23. Ishares TR Russell 2000 Value Index Fund	A	Dividend	J	T					
24. Ishares S&P Smallcap 600 Value Barra Index Fund	A	Dividend	J	T					
25. Ishares TR Russell 2000 Index Fund	A	Dividend	J	T					
26. Ishares Trust S&P Smallcap 600 Index Fund	A	Dividend	J	T	Sold (part)	12/29	J	A	
27. AFLAC Corporation	A	Dividend			Sold (part)	3/5	J	C	
28.					Sold (part)	9/12	J	C	
29. American International Group	A	Dividend	J	T	Sold (part)	3/5	J	A	
30.					Buy	11/3	J		
31. Ishares Russell Midcap Index Value Fund	A	Dividend			Sold	12/29	J	A	
32. Ishares TR S&P Midcap 400 Value Barra Index Fund	A	Dividend	J	T					
33. Regions FDIC	A	Interest			Sold	12/19	J	A	
34. Ishares Cohen & Steers Realty	B	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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, Otrtie 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. Ishares GS Natural Resources	A	Dividend	J	T					
36. Ishares MSCI & Merging Markets	A	Dividend	J	T					
37. Ishares Morningstar	A	Dividend	J	T					
38. Ishares TR DJ Basic Mat Index	A	Dividend	J	T					
39. Powershares QQQ Trust Series I	A	Dividend	J	T					

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

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Name of Person Reporting

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

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Name of Person Reporting

Smith, Ortrie D.

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IX. CERTIFICATION.

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

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

Signature _____

A large black rectangular redaction box covering the signature.

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

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

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