

FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (Last name, First name, Middle initial) SMITH, D. Brooks	2. Court or Organization 3rd Circuit	3. Date of Report 4/26/2004
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) Judge- Active	5. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2003 to 12/31/2003
7. Chambers or Office Address US Court of Appeals, Ste 203 1798 Old Route 220 N Duncansville, PA 16835	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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Trustee

Saint Francis University, Loretto, PA

2.

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

☒ NONE - (No reportable agreements.)

DATE

PARTIES AND TERMS

1.

FINANCIAL
DISCLOSURE OFFICE

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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>GROSS INCOME</u> (yours, not spouse's)
1. 2003	Reliance Bank - Vice President, Commercial Lending - Salary (S)	
2.		
3.		

B. Spouse's Non-Investment Income - (If you were married during any portion of the reporting year, please 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.	

IV. REIMBURSEMENTS - transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☐ **NONE** - (No such reportable reimbursements.)

<u>SOURCE</u>	<u>DESCRIPTION</u>
1. Federal Judges Asso.	5/3-5/4/03 Washington, DC - board meeting (travel, hotel and food)
2. Allegheny Co. Bar Association	6/19-6/20/03 Champion, PA - bench/bar meeting (hotel and food)
3. Internat'l Development Law Org.	7/14-7/25/03 Prishtina, Kosovo - Judges Training Program (travel, hotel and food)
4. Saint Francis University	9/25-9/26/03 Farmington, PA - board meeting (hotel and food)
5. Aspen Institute	11/14-11/16/03 Queenstown, MD. - educational seminar (travel, hotel and food)

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V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)☒ **NONE** - (No such reportable gifts.)

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		
2.		

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)☒ **NONE** - (No reportable liabilities.)

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		

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VII. INVESTMENTS and TRUSTS — income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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, transfer, redemption)	If not exempt from disclosure			
						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
1. American Century Growth Fd	A	Dividend	J	T					
2. Euro Pac Growth Fd(S)1	A	Dividend	J	T	Buy	3/26	J		
3. FNB Corp.-Account (J)	A	Interest	J	T	Closed	6/9	J		
4. FNB Corp.-Account(S)	A	Interest	J	T	Closed	3/4	J		
5. FNB Corp.(common)(S)1,2	A	Dividend	J	T	Rollover2	3/19	J		
6. FNB Corp.(common)(J)	A	Dividend	J	T					
7. FNB Corp.-401K(S)	A	Int/div	K	T	Rollover	3/25	K		
8. Fidelity Mid Cap Fd (S)1	A	Dividend	J	T	Buy	3/26	J		
9. Fidelity Equity Growth (S)1	A	Dividend	J	T	Buy	3/26	J		
10. Franklin Small Cap (S)1	A	Dividend	J	T	Buy	3/27	J		
11. Investment Co. of Am.(S)1	A	Dividend	J	T	Buy	3/26	J		
12. KP Miller Realty (LP)	A	Dividend	J	T	dissoived	??	J		
13. Master's Select Equity Fd (S)1	A	Dividend	J	T	Rollover2	3/19	J		
14. M&T Bank (common)(J)	B	Dividend	M	T					
15. M&T Bank 401K(S)	B	Dividend	M	T					
16. MTB Prime Money Mkt3	A	Interest	J	T					
17. MTB Managed Aggressive Growth 4	A	int/div	K	T					
18. Raymond James IRA 5	A	int/div	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 = \$250,000-\$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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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)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amount Code 1 (A-H)	Type (e.g. div. rent. or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g. buy, sell, transfer, 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)
19. Reliance Bank - Account	A	Interest	J	T	Opened	4/5	J		
20. Reliance Bank - Account (S)	A	Interest	J	T	Opened	1/2	J		
21. Vision Money Mkt Fd (S) 1,2	A	Interest	J	T	Rollover	3/26	J		
22. Vision Small Cap (S) 1,2	A	Dividend	J	T	Rollover	3/26	J		
23. Vision Large Cap (S) 1,2	A	Dividend	J	T	Rollover	3/26	J		

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(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 (Rev. Estate Only)	S = Assessment	T = Cash/Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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

1 Held in [REDACTED] self-directed IRA with Ferris, Baker, Watts

2 [REDACTED] rolled over self-directed IRA with M&T Securities to IRA with Ferris, Baker, Watts

3 Held in self-directed IRA with M&T Investments. Name changed from "Vision Money Market Fd."

4 Held in self-directed IRA with M&T Investments. Name changed from "Vision Managed Aggressive Growth."

5 Custodian - SEI Trust Co. - All investment decisions are made by Raymond James/SEI, and investor is not advised as to named funds bought and sold in any period. Monthly statements list only generic categories, e.g. "large cap value fund." Essentially, investor purchases Raymond James/SEI product which is itself akin to a mutual fund.

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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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature

Date

April 26, 2004

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