

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2006

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 03/08/2007
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 01/01/2006 to 12/31/2006
7. Chambers or Office Address Room 8552 U.S. Couthouse 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 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.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of 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 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.		
5.		

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.	
5.	

IV. REIMBURSEMENTS – *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)*☒ NONE *(No reportable reimbursements.)*

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

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V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of 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 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 the 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	Partial sale	6/16	J	D	
2. Merck & Co Inc. - Com Stk	A	Dividend			Sale	4/12	J	D	
3. Microsoft Corp - Com Stk - See Part VIII (X)	A	Dividend	K	T	Partial sale	1/29	J	D	
4.					Partial sale	10/17	J	B	
5.					Partial sale	12/15	K	E	
6. Wal-Mart Stores, Inc. - Com Stk - See Part VIII (X)	A	Dividend	K	T	Partial sale	12/15	K	E	
7. New Perspective Fund, Inc.	A	Dividend	K	T					
8. Financing Corp CPN FICO STRIPS		None	K	T					
9. AMGEN, INC. - Com Stk		None	K	T					
10. Oracle Corp		None	K	T					
11. Garmin Ltd.	B	Dividend	K	T					
12. Ishares MSCI	B	Dividend	K	T					
13. Ishares Trust DJ Selected	A	Dividend	K	T					
14. Vanguard 500 Index Fund	A	Dividend	K	T					
15. Putnam Equity Income CL A		None	K	T					
16. Putnam New Value CL A	A	Dividend	K	T					
17. Putnam Health Sciences CL A	A	Dividend			Partial sale	5/12	J	A	

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 Q = Appraisal U = Book Value	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000 R = Cost (Real Estate Only) V = Other	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 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
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18.					Sale	12/6	J	A	
19. Cerner Corp.		None	K	T					
20. Berkshire Hathaway, CL B		None	K	T					
21. Russell Microcap Index	A	Dividend	K	T					
22. Regions Financial Corp.	A	Dividend	K	T					
23. A/F Europacific Growth A	A	Dividend	K	T					
24. Putnam Int'l. Capital Opportunities Fund CL A	A	Dividend	K	T					
25. Ishares DJ US Energy Sector Index Fund		None	K	T	Buy	4/12	K		
26. Putnam Capital Opportunities	B	Dividend	J	T	Buy	12/6	J		
27. Ishares TR Russell 2000 Value Index Fund	A	Dividend	K	T	Buy	12/15	K		
28. Ishares S&P Smallcap 600 Value Barra Index Fund	A	Dividend	K	T	Buy	12/6	K		
29.					Buy	12/15	K		
30. Ishares TR Russell 2000 Index Fund	A	Dividend	K	T	Buy	12/15	K		
31. Ishares Trust S&P Smallcap 600 Index Fund	A	Dividend	K	T	Buy	12/15	K		
32. AFLAC Corporation (X)	A	Dividend	K	T	Partial sale	10/17	K	A	
33. American International Group (X)	A	Dividend	K	T	Partial sale	12/6	K	B	
34. Coca Cola Company (X)		None			Sale	10/17	J	A	

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2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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35. Equity Residential (X)		None			Sale	12/8	J	A	
36. General Electric Company (X)	A	Dividend			Sale	12/6	J	A	
37. Hershey Foods Corp. (X)	A	Dividend			Sale	12/6	J	A	
38. Johnson & Johnson (X)		None			Sale	10/17	J	A	
39. Nokia Corporations (X)		None			Sale	12/6	J	A	
40. Proctor & Gamble Company (X)	A	Dividend			Sale	12/6	J	A	
41. St. Paul Travelers Company (X)		None			Sale	10/7	J	A	
42. Ishares Russell Midcap Index Value Fund	A	Dividend	K	T	Buy	12/6	J		
43. Ishares TR S&P Midcap 400 Value Barra Index Fund	A	Dividend	K	T	Buy	12/6	K		
44. Regions FDIC (X)	A	Interest	L	T					

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

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

Q=Appraisal

U=Book Value

B=\$1,001 - \$2,500

G=\$100,001 - \$1,000,000

K=\$15,001 - \$50,000

O=\$500,001 - \$1,000,000

R=Cost (Real Estate Only)

V=Other

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

S=Assessment

W=Estimated

D=\$5,001 - \$15,000

H2=More than \$5,000,000

M=\$100,001 - \$250,000

P2=\$5,000,001 - \$25,000,000

T=Cash Market

E=\$15,001 - \$50,000

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

Assets identified by "(X)" in Column A, Part VII, were transferred to me on September 19, 2006, from the Living Trust of [REDACTED] pursuant to the terms of the Trust. Two of the stocks, Wal-Mart and Microsoft, were previously held.

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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

Date

3/8/07

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