

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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, Jr., Milan D.	2. Court or Organization Ninth Circuit	3. Date of Report 05/14/2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2009 to 12/31/2009
7. Chambers or Office Address United States Court of Appeals Suite 2325, 222 N Sepulveda Bl El Segundo, California 90245	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. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
5. _____	_____

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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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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. 2009	Self employed attorney
2. 2009	Gogian Foundation-Trustee
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. Bar Association of San Francisco-Labor and Employment Section	February 20-22 2009	Yosemite, California	Participate in Ninth Circuit Judges Panel	Transportation, Food, Hotel
2. University of Chicago Law School	April 29-30 2009	Chicago, Illinois	Judge Hinton Moot Court Competition	Transportation, Food, Hotel
3. State Bar of Alaska	May 7-8 2009	Juneau, Alaska	Represent Ninth Circuit-Participate on Panel with Justice Alito	Transportation, Food, Hotel
4. B.Y.U. Law School	October 29-30 2009	Provo, Utah	Judge Rex E. Lee Moot Court Competition	Transportation, Food
5. Federalist Society-Stanford Law School	November 17-18 2009	Palo Alto, California	Speak to Chapter	Transportation, Food, Hotel

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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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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. General Electric Co.	A	Dividend	J	T	Sold (part)	10/08/09	J		
2. Johnson & Johnson	B	Dividend			Buy (add'l)	05/06/09	J		
3. Johnson & Johnson					Sold (part)	07/08/09	K	B	
4. Johnson & Johnson					Sold (part)	10/08/09	K	C	
5. Johnson & Johnson					Sold	10/29/09	J	D	
6. Microsoft Corporation	A	Dividend			Sold	10/29/09	K	E	
7. Coca-Cola Company	A	Dividend	J	T	Sold (part)	10/29/09	K	D	
8. Intuitive Surgical Inc.		None	K	T					
9. Kinder Morgan Energy Partners LP Unit Ltd Partnership	B	Distribution	L	T	Buy (add'l)	05/06/09	J		
10. American Tower Corp CL A		None	K	T	Buy (add'l)	10/22/09	J		
11. Devon Energy Corp New	A	Dividend	K	T	Buy (add'l)	03/05/09	J		
12. Devon Energy Corp New		None			Buy (add'l)	03/31/09	J		
13. Devon Energy Corp New		None			Sold (part)	07/22/09	J	B	
14. L-3 Communications Holdings Inc.	A	Dividend	K	T					
15. Pepsico Incorporated	A	Dividend	K	T	Buy (add'l)	12/23/09	J		
16. Time Warner Inc.		None	J	T					
17. Time Warner Cable		None	J	T	Spinoff (from line 16)				

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

P3 = \$25,000,001 - \$50,000,000

R = Cost (Real Estate Only)

S = Assessment

T = Cash Market

3. Value Method Codes

Q = Appraisal

V = Other

W = Estimated

(See Column C2)

U = Book Value

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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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Canadian Natl Ry Co.	A	Dividend	K	T	Sold (part)	07/22/09	J	B	
19. Boeing Co	A	Dividend			Sold	10/29/09	J	C	
20. Templeton Growth Fund Class A		None			Sold	01/08/09	K		
21. First Colony Life Policy		None	J	T					
22. Aetna Life Policy		None	K	T					
23. California Pizza Kitchen		None	K	T					
24. Quanta SVCS Inc		None	K	T					
25. DaimlerChrysler NA Hldg 7.200 9/1/09	A	Interest			Redeemed	09/01/09	J		
26. Dow Chemical Company 5.750 12/15/12	A	Interest	J	T					
27. Dow Chemical Company 5.3000 3/15/13	A	Interest	J	T					
28. Franklin Universal Trust	C	Dividend	L	T	Buy (add'l)	05/06/09	J		
29. General Electric Cap Corp 8.125 5/15/12	A	Interest			Sold	04/09/09	J	A	
30. General Electric Cap Corp 4.000 4/15/10	A	Interest	J	T					
31. Goldman Sachs 5.250 10/15/13	A	Interest	J	T					
32. Household Fin Corp 5.875 2/1/09	A	Interest			Redeemed	02/02/09	J		
33. Intl Lease Fin Corp 4.375 11/1/09	A	Interest			Sold	11/02/09	J	A	
34. Intl Lease Fin Corp 4.200 2/15/10	A	Interest	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	H = \$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 I4 = 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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35. John Hancock Life Ins Co 4.150 2/15/12	A	Interest	J	T					
36. La Salle Fndg LLC Multi 3.000 1/15/11	A	Interest	J	T					
37. McDonald's Corp 6.000 4/15/11	A	Interest	J	T					
38. MFS Intermediate Income Trust	C	Dividend	L	T	Sold (part)	11/05/09	J	A	
39. Motorola Inc. 7.625 11/15/10	A	Interest	J	T					
40. National Rural Utilities 4.125 2/15/11	A	Interest	J	T					
41. New York Tel Co. 7.000 6/15/13	A	Interest	J	T					
42. General Motors Accep Corp 5.625 5/15/09	A	Interest			Redeemed	05/15/09	J	A	
43. Teco Energy Inc 7.200 5/1/11	A	Interest	J	T					
44. Anaheim CA Pub Fing Auth 5.000 10/1/10	A	Interest	J	T					
45. Parlier Calif Redev Agy 4.650% 8/1/10	A	Interest	J	T					
46. Pasadena CA Electric 5.000 8/1/09 RFD Bonds	A	Interest			Redeemed	08/03/09	J		
47. Sacramento CA Mun Rev 5.250 8/15/09	A	Interest			Redeemed	08/17/09	J		
48. Oneok Inc New	B	Dividend	K	T	Sold (part)	03/05/09	K		
49. Oneok Inc New					Buy (add'l)	03/05/09	K		
50. Russell Money Market S	A	Int./Div.	J	T					
51. Century Tel., Inc. Cpn 5.000% Due 2/15/15	A	Interest	J	T					

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52. Dean Witter Discover Odd Cpn Med Term Notes 7.07% 2/10/14	A	Interest	J	T					
53. Motorola Inc. Notes call @market+25 BP		None			Sold	01/08/09	J		
54. Boeing Co. Global Notes Cpn 5.125% Due 2/15/13		None	J	T					
55. Genzyme Corp Gen Div		None	K	T	Buy (add'l)	07/23/09	J		
56. Cisco Systems Inc.		None			Sold	10/08/09	J		
57. International Business Machines	A	Dividend			Sold	10/08/09	J		
58. Marriott Int Inc Class A	A	Dividend	J	T	Sold (part)	03/30/09	J	A	
59. Medtronic Inc	A	Dividend			Sold	10/08/09	J		
60. UltraShort S & P 500 ProShares		None			Buy (add'l)	07/22/09	J		
61. UltraShort S & P 500 ProShares					Sold (part)	08/14/09	J		
62. UltraShort S & P 500 ProShares					Sold	08/14/09	J		
63. Ultrashort Russell 2000 Reg ETF		None			Sold	05/05/09	K		
64. MBIA/Claymore MGD Dura Inv Grd Muni Fd	C	Dividend	L	T	Buy (add'l)	07/16/09	K		
65. Los Angeles CA USD GO B/E 7-1-09	B	Interest			Redeemed	07/01/09	K		
66. Tamarack Instl Prime Fd	C	Int./Div.	O	T					
67. Bank of NY Mellon Corp	A	Dividend			Sold	10/29/09	J	C	
68. Money Mkt Oblig Trust Auto Cash Mgmt	B	Int./Div.	K	T					

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2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	F = Cash Market	
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69. American Capital Agency Corp	D	Dividend	L	T	Buy (add'l)	03/31/09	J		
70. American Capital Agency Corp		None			Buy (add'l)	03/05/09	J		
71. American Capital Agency Corp					Buy (add'l)	05/06/09	J		
72. American Capital Agency Corp					Sold (part)	07/08/09	J	A	
73. American Capital Agency Corp					Sold (part)	07/08/09	J	A	
74. American Capital Agency Corp					Sold (part)	07/22/09	J	B	
75. American Capital Agency Corp					Buy (add'l)	12/23/09	J		
76. Williams Partners LP Com Unit Ltd Part Int	C	Distribution	K	T	Sold (part)	03/05/09	J		
77. Williams Partners LP Com Unit Ltd Part Int					Buy (add'l)	03/05/09	J		
78. Williams Partners LP Com Unit Ltd Part Int					Buy (add'l)	03/31/09	J		
79. Williams Partners LP Com Unit Ltd Part Int					Sold (part)	05/06/09	J	A	
80. Ishares Barclays Short Treasury Bond Fund ETF		None			Buy (add'l)	01/30/09	M		
81. Ishares Barclays Short Treasury Bond Fund ETF					Sold (part)	05/06/09	L		
82. Ishares Barclays Short Treasury Bond Fund ETF					Sold (part)	05/07/09	K		
83. Ishares Barclays Short Treasury Bond Fund ETF					Sold (part)	07/22/09	J		
84. Ishares Barclays Short Treasury Bond Fund ETF					Sold (part)	08/20/09	K		
85. Ishares Barclays Short Treasury Bond Fund ETF					Sold (part)	08/20/09	J		

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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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86. Ishares Barclays Short Treasury Bond Fund ETF					Sold	09/16/09	L		
87. Ishares Barclays Short Treasury Bond Fund ETF	A	Dividend							
88. Ishares Trust Barclays 1-3 Yr. Treasury Bd FD	D	Dividend	M	T	Sold (part)	07/22/09	J		
89. Capstead Mtg Corp Com No Par	D	Dividend	L	T	Buy (add'l)	03/31/09	J		
90. Capstead Mtg Corp Com No Par		None			Buy (add'l)	05/06/09	J		
91. MFA Mortgage Investments Inc.	C	Dividend	K	T	Buy (add'l)	03/31/09	J		
92. MFA Mortgage Investments Inc.		None			Sold (part)	07/08/09	J		
93. MFA Mortgage Investments Inc.					Sold (part)	08/20/09	J		
94. Hatteras Financial Corp	C	Dividend	K	T	Buy (add'l)	03/05/09	J		
95. Hatteras Financial Corp					Buy (add'l)	05/06/09	J		
96. Franklin/Templeton Hard Currency Fund CI A		None			Sold	01/08/09	J		
97. Templeton Global Bond Fund CI A		None			Sold	01/08/09	J		
98. Putnam Managed Municipal Income Trust-SBI	C	Dividend	L	T	Buy (add'l)	05/06/09	J		
99. Putnam Managed Municipal Income Trust-SBI					Buy (add'l)	05/07/09	J		
100. Putnam Managed Municipal Income Trust-SBI					Buy (add'l)	05/08/09	J		
101. Putnam Municipal Opportunities Trust-SBI	C	Dividend	L	T	Buy (add'l)	03/06/09	J		
102. Putnam Municipal Opportunities Trust-SBI					Buy (add'l)	03/09/09	K		

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
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 P3 = \$25,000,001 - \$50,000,000
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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
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	(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)
103. Seligman Select Municipal Fund Inc.	B	Interest	M	T	Buy (add'l)	03/06/09	K		
104. Seligman Select Municipal Fund Inc.					Buy (add'l)	05/06/09	K		
105. Discover Bank Greenwood DE 4.400%; 8/03/09	B	Interest			Redeemed	08/03/09	K		
106. Comerica Bank Detroit, MI; 4.16%; 08/07/09	A	Interest			Redeemed (part)	08/07/09	K		
107. Comerica Bank Detroit, MI; 4.16%; 08/07/09					Redeemed	08/07/09	K		
108. Westernbank PR; 5.20%; 08/07/10	B	Interest	K	T					
109. Comerica Bank Detroit, MI; 2.536%; 8/7/09	A	Interest			Redeemed	08/07/09	K		
110. Huntington Natl Bank Columbus, OH; 3.06%; 09/03/09	A	Interest			Redeemed	09/03/09	K	B	
111. Fidelity Advisor Mun Income Fund Cl. T	B	Dividend	K	T	Buy (add'l)	12/23/09	K		
112. Capital One Bank Glen Allen, VA; 2.27%; 02/23/09	A	Interest			Redeemed	02/23/09	K	A	
113. Bank North GA Alpharetta; 3.35%; 04/30/09	B	Interest			Redeemed	04/30/09	K		
114. Huntington Natl Bank Columbus, OH; 2.47%; 09/03/09	A	Interest			Redeemed	09/03/09	K	B	
115. Gabelli Gbl Util Inc Trust	A	Dividend	J	T	Sold (part)	01/28/09	K		
116. Ishares Trust Iboxx \$ Investop Investment Grade Bond Fund	C	Dividend	M	T	Buy	03/31/09	L		
117. Ishares Trust Iboxx \$ Investop Investment Grade Bond Fund					Buy (add'l)	11/05/09	K		
118. Ishares Trust Iboxx \$ Investop Investment Grade Bond Fund					Buy (add'l)	12/24/09	K		
119. Ishares Trust Iboxx \$ Investop Investment Grade Bond Fund					Buy (add'l)	11/05/09	J		

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 Q = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 I = \$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)	O = 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
Smith, Jr., Milan D.

Date of Report
05/14/2010

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 Barclays Intermediate Credit Bond Fund	D	Dividend	M	T	Buy	03/31/09	L		
121. Ishares Barclays Intermediate Credit Bond Fund					Buy (add'l)	03/31/09	L		
122. Ishares Barclays Intermediate Credit Bond Fund			M	T	Buy (add'l)	09/16/09	J		
123. Ishares Barclays MBS Bond Fund ETF	D	Dividend	N	T	Buy	03/31/09	L		
124. Ishares Barclays MBS Bond Fund ETF					Buy	05/07/09	L		
125. Ishares Barclays MBS Bond Fund ETF					Buy (add'l)	07/08/09	L		
126. Ishares Barclays MBS Bond Fund ETF					Buy (add'l)	05/06/09	L		
127. Ishares Barclays 1-3 YR Credit Bond Fund ETF	C	Dividend	M	T	Buy	05/05/09	L		
128. Ishares Barclays 1-3 YR Credit Bond Fund ETF					Buy (add'l)	05/06/09	M		
129. Proshares Ultrashort Midcap400 ETF		None			Buy	05/06/09	K		
130. Proshares Ultrashort Midcap400 ETF					Sold	07/22/09	J		
131. Annaly Capital Management Inc.	C	Dividend	L	T	Buy	03/31/09	J		
132. Annaly Capital Management Inc.					Buy (add'l)	05/06/09	J		
133. Annaly Capital Management Inc.					Buy (add'l)	07/22/09	K		
134. Annaly Capital Management Inc.					Buy (add'l)	07/23/09	J		
135. Annaly Capital Management Inc.					Buy (add'l)	12/23/09	J		
136. Annaly Capital Management Inc.					Buy (add'l)	12/24/09	J		

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = 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	

137. Linn Energy LLC		None	K	T	Buy	07/23/09	K	
138. Copano Energy LLC		None	K	T	Buy	08/14/09	J	
139. Copano Energy LLC					Buy (add'l)	09/16/09	J	
140. Ishares Trust Barclays Credit Bond Fund ETF	A	Dividend	M	T	Buy	08/20/09	L	
141. Ishares Trust Barclays Credit Bond Fund ETF					Buy (add'l)	12/23/09	L	
142. Ameren Corp	A	Dividend	K	T	Buy	09/16/09	K	
143. Ameren Corp					Buy (add'l)	12/23/09	J	
144. Proshares Ultrashort MSCI EAFE ETF		None			Sold	05/06/09	J	
145. Cenovus Energy Inc	A	Dividend	J	T				
146. Encana Corp	A	Dividend	K	T				
147. Ishares Barclays Short Treasury Bond Fund ETF	B	Dividend	M	T	Buy	01/30/09	M	
148. Ishares Barclays Short Treasury Bond Fund ETF					Sold (part)	05/06/09	L	A
149. Ishares Barclays Short Treasury Bond Fund ETF					Sold (part)	05/07/09	K	
150. Ishares Barclays Short Treasury Bond Fund ETF					Sold (part)	07/23/09	M	
151. Ishares Barclays Short Treasury Bond Fund ETF					Sold (part)	09/16/09	K	
152. Ishares Barclays Short Treasury Bond Fund ETF					Sold (part)	10/09/09	K	
153. Ishares Barclays Short Treasury Bond Fund ETF					Buy (add'l)	12/23/09	M	

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = \$15,001 - \$50,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,001 - \$500,000,000	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, Jr., Milan D.

Date of Report
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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)
154. Abbot Laboratories	A	Dividend	K	T	Buy	05/06/09	K		
155. Abbot Laboratories					Buy (add'l)	12/23/09	J		
156. Proshares Ultrashort S&P 500 ETF		None			Buy	05/06/09	K		
157. Proshares Ultrashort S&P 500 ETF					Sold	08/14/09	K		
158. Teppco Partners LP Units LTD Partnership Int	A	Distribution			Buy	07/22/09	K		
159. Teppco Partners LP Units LTD Partnership Int					Merged (with line 163)	10/27/09			
160. Ishares Trust Barclays Credit Bond Fund ETF	B	Dividend	M	T	Buy	08/20/09	L		
161. Ishares Trust Barclays Credit Bond Fund ETF					Buy (add'l)	09/19/09	K		
162. H & Q Life Sciences Investors SBI			K	T	Buy	10/09/09	K		
163. Enterprise Products Partners LP	A	Distribution	K	T	Buy	11/05/09	J		
164. Powershares Global Exchange Trades FD TR Weekly VRDO Tax Fre	A	Dividend	L	T	Buy	05/06/09	L		
165. Powershares Global Exchange Trades FD TR Weekly VRDO Tax Fre					Buy (add'l)	08/20/09	J		
166. Powershares Global Exchange Trades FD TR Weekly VRDO Tax Fre					Buy (add'l)	11/05/09	J		
167. Franklin Templeton Funds US Govt Securities Ser C1 A	B	Dividend			Buy	01/08/09	K		
168. Franklin Templeton Funds US Govt Securities Ser C1 A					Buy (add'l)	02/04/09	J		
169. Franklin Templeton Funds US Govt Securities Ser C1 A					Buy (add'l)	03/04/09	J		
170. Franklin Templeton Funds US Govt Securities Ser C1 A					Buy (add'l)	04/03/09	J		

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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Smith, Jr., Milan D.

Date of Report

05/14/2010

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)
171. Franklin Templeton Funds US Govt Securities Ser C1 A					Buy (add'l)	05/05/09	J		
172. Franklin Templeton Funds US Govt Securities Ser C1 A					Buy (add'l)	06/03/09	J		
173. Franklin Templeton Funds US Govt Securities Ser C1 A					Buy (add'l)	07/06/09	J		
174. Franklin Templeton Funds US Govt Securities Ser C1 A					Buy (add'l)	08/05/09	J		
175. Franklin Templeton Funds US Govt Securities Ser C1 A					Buy (add'l)	09/03/09	J		
176. Franklin Templeton Funds US Govt Securities Ser C1 A					Buy (add'l)	10/05/09	J		
177. Franklin Templeton Funds US Govt Securities Ser C1 A					Buy (add'l)	11/04/09	J		
178. Franklin Templeton Funds US Govt Securities Ser C1 A					Buy (add'l)	12/03/09	J		
179. Franklin Templeton Funds US Govt Securities Ser C1 A					Sold	12/23/09	K		
180. Teco Energy Inc X (Not On 2008 Report)		None	K	T					
181. Blackrock Income Trust Inc		None	K	T	Buy	12/23/09	J		
182. Blackrock Income Trust Inc					Buy (add'l)	12/24/09	J		
183. DWS Drenman Value Income Edge Fund Inc New		None	J	T	Buy	12/23/09	J		
184. Franklin Investors Secs Tr Adjustable US Govt Secs Fund		None	K	T	Buy	12/23/09	K		
185. Gabelli Dividend & Income Fund		None	J	T	Buy	12/23/09	J		
186. Ishares Trust Barclays 1-3 Yr Credit Bond Fund ETF		None	L	T	Buy	12/23/09	L		
187. H J Heinz Co		None	J	T	Buy	12/23/09	J		

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 I = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 I12 = 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

Smith, Jr., Milan D.

Date of Report

05/14/2010

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)
188. H & Q Life Sciences Investors SBI		None	J	T	Buy	12/23/09	J		
189. Eli Lilly & Co		None	J	T	Buy	12/23/09	J		
190. Statoil Asa Sponsored ADR		None	J	T	Buy	12/23/09	J		
191. St Jude Medical Inc		None	J	T	Buy	12/23/09	J		
192. Windstream Corp		None	J	T	Buy	12/23/09	J		
193. M & I Marshall & Isley Bk Milwaukee Wis C/D FDIC DUE 2/26/2		None	K	T	Buy	03/09/09	K		
194. United Western Bk Denver Co C/D FDIC Ins to Limits Due 6/30/	A	Interest	K	T	Buy	06/30/09	K		
195.									
196.									

1. Income Gain Codes: (See Columns B1 and D3)	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 I12 = 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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of Report.)*

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Name of Person Reporting

Smith, Jr., Milan D.

Date of Report

05/14/2010

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 accounts of wife which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY
AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

PORT MAY BE SUBJECT TO CIVIL

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