

AO-10
Rev. 1/2001FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2000Report 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, D. Brooks		2. Court or Organization United States District Court for the Western District of Pennsylvania		3. Date of Report 9/18/01
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge-Active		5. Report Type (check appropriate type) X <u>Nomination</u> , Date <u>9/10/01</u> ____ Initial ____ Annual ____ Final		6. Reporting Period 1/1/00 - 9/17/01
7. Chambers or Office Address United States District Court 319 Washington Street - Room 104 Johnstown, PA 15901		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.)POSITIONNAME OF ORGANIZATION/ENTITY☐

NONE (No reportable positions.)

1	Trustee	Saint Francis College, Loretto, PA (now known as Saint Francis University)
2		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of Instructions.)DATEPARTIES AND TERMS☒

NONE (No reportable agreements.)

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of Instructions.)DATESOURCE AND TYPEGROSS INCOME
(yours, not spouse's)

☐	NONE (No reportable non-investment income.)		
1	2000	Keystone Financial - Vice President, Commercial Lending Salary (\$)	\$
2	2001	M & T Bank - Vice President, Commercial Lending Salary (\$)	\$
3	2001	Promistar Bank - Vice President, Commercial Lending Salary (\$)	\$
4			\$
5			\$

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting	Date of Report
Smith, D. Brooks	9/18/01

V REIMBURSEMENTS -- transportation, lodging, food, entertainment.
(Includes those to spouse and dependent children. See pp. 25-27 of Instructions.)

SOURCE	DESCRIPTION
☐ NONE (No such reportable reimbursements.)	
Dickinson School of Law	April 6, 2000 - Carlisle, PA - Annual Seniors Dinner (hotel and dinner)
George Mason University - Law and Economics Center	May 5-12, 2000 - Tucson, AR - Law & Economics Institute (travel, housing and food)
Allegheny County Bar Association	June 15-16, 2000 - Champion, PA - Bench/Bar Conference (hotel and food)
USAID (East/West Management Institute)	July 5-15, 2000 - Sofia and Varna, Bulgaria - Two (2) Workshops on Judicial Ethics (Travel, housing and per diem for food, etc.)
USAID (East/West Management Institute)	October 19-26, 2000 - Sofia and Hissaria, Bulgaria - Two (2) Workshops on Intellectual Property Rights (travel, housing and per diem for food, etc.)
ABA/CEELI (American Bar Association Central and East European Law Initiative)	May 10-18, 2001 - Chelyabinsk & Moscow, Russia - Criminal Procedure Workshop (travel, housing and food)
Allegheny County Bar Association	June 14-16, 2001 - Champion, PA - Bench/Bar Conference (hotel and food)

. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of Instructions.)

SOURCE	DESCRIPTION	VALUE
☐ NONE (No such reportable gifts.)		
		\$
		\$
		\$
		\$

[. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-33 of Instructions.)

CREDITOR	DESCRIPTION	VALUE CODE*
☒ NONE (No reportable liabilities.)		

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A Description of Assets (including trust assets) <i>Place "X" after each asset exempt from prior disclosure.</i>	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 Code1 (A-H)	Type (e.g., div. rent or int.)	Value Code2 (J-P)	Value Method Code3 (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date Month- Day	(2) Value Code2 (J-P)	(4) Gain Code (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets,									
Governor Prime Money Mkt (S) 1,5	A	int.	J	T					
Governor Prime Money Mkt 2,5	A	int.	J	T					
Governor Aggressive Growth Fd. (S) 1,6	A	div.	J	T					
Governor Established Growth Fd. (S) 1,7	A	div.	J	T					
Governor Lifestyle Growth Fd. 2,8	A	int./ div.	J	T					
Governor Municipal Bond Fd (J) 9	A	int.	J	T	Sell	4/23/01 J	A		
Keystone Financial Inc. (J) 3 (common)	C	div.			Sell	10/1/00 K	D		
Keystone Financial Inc. (S) 1,3 (common)	B	div.	J	T	Buy	2/2/00 J			
KP Miller Realty (LP) 2	A	div.	J	W					
M&T Bank (J) (common)	B	div.	L	T	Merger	10/1/00 L			
Master's Select Equity Fd. (S) 1	A	div.	J	T					
Mid-State Bank (now Keystone/M&T) 401K(S)	E	div./ int.	M	T					
Promistar Bank (S) (common) 1	A	div.	J	T	Buy	5/15/01 J			
Promistar Bank (J) (svgs)	A	int.	J	T	opened Account	3/22/01 J			
Promistar Bank (J) (eking)	A	int.	J	T	Opened Account	3/22/01 J			
Promistar Bank (S) svgs)	A	int.	J	T	Opened Account	8/24/01 J			

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;
F=\$50,001-\$100,000; G=\$100,001-\$1,000,000; H1=\$1,000,001-\$5,000,000; H2=More than \$5,000,000

Value Codes: J=\$15,000 or less; K=\$15,001-\$50,000; L=\$50,001-\$100,000; M=\$100,001-\$250,000;
(See Col. C1, 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

Value Method Codes: Q=Appraisal; R=Cost (real estate only); S=Assessment; T=Cash/Market;
(See Col. C2) U=Book value; V=Other; W=Estimated

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V Page 2 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

A Description of Assets (including trust assets) <i>Place "(X)" after each asset exempt from prior disclosure.</i>	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			
	Amt Code1 (A-H)	Type (e.g. div. rent or int.)	Value Code2 (J-P)	Value Method Code (Q-W)	Type (e.g. buy, sell, merger, redemption)	(2) Date Month Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller if private transaction
☐ NONE (No reportable income, assets, or transactions)									
17 Promistar Bank 401K (S)	A	div./ int.	J	T	Opened	7/1/01	J		
18 Raymond James IRA4	A	div./ int.	J	T					
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34									

Income/Gain Codes (See Col. B1, 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
Value Codes (See Col. C1, D3)	I=\$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	
Value Method Codes (See Col. C2)	Q=Appraisal U=Book value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

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

Held in spouse's self-directed M&T Securities (formerly Keystone Brokerage) IRA

Held in self-directed M&T Securities (formerly Keystone Brokerage) IRA

Keystone Financial completed a merger with M&T Bank on October 1, forcing sale of a portion of position

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.

Name changed 1/01 to Vision Institutional Money Market Fund

Name changed 1/01 to Vision Small Cap Stock Class A

Name changed 1/01 to Vision Large Cap Core Class A

Name changed 1/01 to Vision Managed Aggressive Growth A

Name changed 1/01 to Vision Muni Income Fund

V. 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

September 18, 2001

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

FINANCIAL STATEMENT

NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS				LIABILITIES			
Cash on hand and in banks	13	075	32	Notes payable to banks-secured by residence	20	000	00
U.S. Government securities-add schedule			00	Notes payable to banks-unsecured			00
Listed securities-add schedule (M & T Bank stock 1,317.77 shares @ \$64.95/sh.)	85	589	16	Notes payable to relatives			00
Unlisted securities--add schedule			00	Notes payable to others			00
Accounts and notes receivable:			00	Accounts and bills due			00
Due from relatives and friends			00	Unpaid income tax			00
Due from others			00	Other unpaid income and interest			00
Doubtful			00	Real estate mortgages payable-add schedule			00
Real estate owned-add schedule (Residence)	225	000	00	Chattel mortgages and other liens payable			00
Real estate mortgages receivable			00	Other debts-itemize:			00
Autos and other personal property	50	000	00				
Cash value-life insurance	85	407	11				
Other assets itemize: 401(K) KHS	151	606	06				
IRA - KHS (See Attachment "D")	30	891	47				
IRA - DBS (See Attachment "D")	47	232	18				
IRA - DBS (See Attachment "D")	42	079	10	Total liabilities	20	000	00
Govt. Thrift Plan - DBS	144	921	48	Net Worth	855	801	88
Total Assets	875	801	88	Total liabilities and net worth	875	801	88
CONTINGENT LIABILITIES				GENERAL INFORMATION			
As endorser, comaker or guarantor			00	Are any assets pledged? (Add schedule)	No		
Leases or contracts (vehicle lease \$405.88 x 24 pyts)	9	741	12	Are you defendant in any suits or legal actions?	No		
Legal Claims			00	Have you ever taken bankruptcy?	No		