AO 10
Rev. 1/2019

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2019

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)	2. Court or Organization	3. Date of Report
Smith, Jr., Charles L.	Northern District of Alabama	05/15/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
U.S. District Judge - Senior Status	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2019 **to** 12/31/2019
7. Chambers or Office Address		
United States Courthouse 101 Holmes Avenue Huntsville, Ala. 35801		

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.***

I. POSITIONS. *(Reporting individual only; see pp. 9-13 of filing instructions)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Trustee	Alabama Department of Archives and History
2.	Director	Friends of Alabama Heritage Magazine Foundation
3.		
4.		
5.		

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

☐ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.	1981	Judicial Retirement Fund of Alabama (Retirement fund of former employer, State of Alabama), no control
2.	1981	Madison County, Alabama Retirement Fund (Retirement fund of former employer, Madison County), no control
3.		

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.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.	2019	State of Alabama Judicial Retirement (Retirement Systems of Alabama)	$58,725.00
2.	2019	Madison County, Alabama Retirement	$19,142.00
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.)*

	DATE	SOURCE AND TYPE
1.	2019	Madison County, Alabama Retirement Fund (Retirement Systems of Alabama)
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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
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.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Smith, Jr., Charles L.	05/15/2020

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. U.S. Savings Bonds-Series EE	A	Interest	J	T					
2. Regions Financial Corp. Common	B	Dividend	K	T					
3. Morgan Stanley Bank NA	A	Interest	J	T					
4. Meadowbrook, Ltd. 4.75% Int. in limited partnership		None	J	U					
5. Farm: Madison County, Ala.	D	Rent (Crop)	P1	W	Sold (part)	04/29/19	O	G	See Part VIII
6. Farm Rental House: Madison County, Ala.	D	Rent (House)	M	W					
7. Crown Life Ins. - Cash Value	A	Dividend	J	T					
8. Apple, Inc. Common	D	Dividend	N	T					
9. Clorox Co. Common	B	Dividend	L	T					
10. [redacted] § 457(b) Deferred Comp Account (H):									
11. -- Fidelity Contrafund	C	Dividend	L	T	Sold (part)	07/12/19	M	F	
12. -- Nationwide Fixed Account	B	Interest	K	T	Sold (part)	07/12/19	M	D	
13. Madison Co. AL Retirement Fund	B	Interest	K	T					
14. Am Family Broadcasting Corp (Retirement)		None	J	T					
15. PACT (Ala. Prepaid Affordable College Tuition plan)	A	Interest	K	T					
16. Scholars Choice (Section 529 Plan) - No Control	A	Dividend	J	T					
17. Education IRA No. 1 (H):									

1 Income Gain Codes: (See Columns B1 and D4)	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	
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

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Smith, Jr., Charles L.	05/15/2020

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. -- Morgan Stanley Bank NA	A	Interest	J	T					
19. -- Facebook Common	A	Dividend	K	T					
20. -- Apple, Inc. Common	A	Dividend	K	T					
21. -- SNAP, Inc. Class A		None	J	T					
22. -- CVS Health Corp Common	A	Dividend	J	T					
23. -- Tanger Factory Outlet Centers	A	Dividend	J	T					
24. -- Fedeerated Prime Cash Obligations WS	A	Dividend	J	T	Buy	06/20/19	J		
25. Education IRA No. 2 (H):									
26. -- Morgan Stanley Bank NA	A	Interest	J	T					
27. -- Facebook Common	A	Dividend	K	T					
28. -- Ford Motor Co New	A	Dividend	J	T					
29. -- Tanger Facory Outlet Centers	A	Dividend	J	T					
30. -- Federated Prime Cash Obligations WS	A	Dividend	J	T	Buy	06/20/19	J		
31. Education IRA No. 3 (H):									
32. -- Morgan Stanley Bank N.A.	A	Interest			Sold	04/12/19	J	B	
33. -- Facebook Common	A	Dividend			Sold (part)	01/18/19	J	B	
34. -- (Same Fund)	A	Dividend			Sold	04/12/19	J	C	

1 Income Gain Codes: (See Columns B1 and D4)	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	
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
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Smith, Jr., Charles L.	05/15/2020

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	B		C		D				
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35. Education IRA No. 4 (H):									
36. -- Morgan Stanley Bank NA	A	Interest	J	T					
37. -- Facebook Common	A	Dividend	J	T	Sold (part)	01/18/19	J	A	
38. -- (Same Fund)	A	Dividend	J	T	Sold (part)	04/12/19	J	B	
39. -- Ford Motor Co New	A	Dividend	J	T					
40. -- Federated Prime Cash Obligation WS	A	Dividend	J	T	Buy	06/20/19	J		
41. Coca Cola Bottling Co. Common	A	Dividend	J	T					
42. Trust No. 1 (H):	A	Dividend	K	T					
43. -- Morgan Stanley Bank NA	A	Interest	J	T					
44. -- Franklin Federal Tax Free Income FD Class A	A	Interest	K	T					
45. -- Federated Prime Cash Obligations WS	A	Dividend	J	T	Buy	06/20/19	J		
46. Vanguard Age-Based Aggressive Growth (Section 529 Plan aka Upromise)	A	Dividend	K	T					
47. Walt Disney Common	B	Dividend	K	T					
48. Education IRA No. 5 (H):									
49. -- Morgan Stanley Bank NA	A	Interest	J	T					
50. -- Facebook Common	A	Dividend	K	T					
51. -- SNAP, Inc. Class A		None	J	T					

1 Income Gain Codes: (See Columns B1 and D4)
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

2 Value Codes (See Columns C1 and D3)
J =$15,000 or less
K =$15,001 - $50,000
L =$50,001 - $100,000
M =$100,001 - $250,000
N =$250,001 - $500,000
O =$500,001 - $1,000,000
P1 =$1,000,001 - $5,000,000
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3 Value Method Codes (See Column C2)
Q =Appraisal
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52. -- Ford Motor Co New	A	Dividend	J	T					
53. -- Tanger Factory Outlet Centers	A	Dividend	J	T					
54. -- Federated Prime Cash Obligations Ws	A	Dividend	J	T	Buy	06/20/19	J		
55. Trust No. 2 (H):									
56. -- Morgan Stanley Bank NA	A	Interest	J	T					
57. -- Facebook Common	A	Dividend	L	T					
58. -- Illumina Inc. Common		None	K	T					
59. -- Apple Inc. Common	B	Dividend	K	T					
60. -- CVS Health Corp Common	A	Dividend	J	T					
61. -- Ford Motor Co New	A	Dividend	J	T					
62. -- Tanger Factory Outlet Centers	A	Dividend	J	T					
63. -- Qual Comm Inc.	A	Dividend	J	T	Buy	04/17/19	J		
64. -- Leidos Holding Inc.	A	Dividend	J	T	Buy	12/18/19	J		
65. -- Federated Prime Cash Obligations Ws	A	Dividend	J	T	Buy	06/20/19	J		
66. -- (Same Fund)	A	Dividend	J	T	Sold (part)	12/18/19	J	A	
67. Facebook Common	A	Dividend	L	T					
68. Alabama College Counts 529 Plan (H):									

1 Income Gain Codes: (See Columns B1 and D4)	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
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69. -- Vanguard Growth Index Fund	B	Dividend	M	T					
70. -- Vanguard Total Bond Market Index Fund	A	Dividend	J	T					
71. -- Vanguard Short Term bond Index Fund	A	Dividend	J	T					
72. Educational IRA No. 6 (H):									
73. -- Morgan Stanley Bank NA	A	Interest	J	T					
74. -- SNAP, Inc. Class A		None	J	T					
75. -- Ford Motor Co New	A	Dividend	J	T					
76. -- Tanger Factory Outlet Centers	A	Dividend	J	T					
77. -- Federated Cash Obligations WS	A	Dividend	J	T	Buy	06/20/19	J		
78. Roth IRA (H):									
79. -- Morgan Stanley Bank NA	A	Interest	J	T					
80. -- Facebook Inc. Common	A	Dividend	K	T					
81. -- Franklin Income A	A	Interest	J	T	Sold (part)	12/20/19	J	A	
82. -- Apple Inc. Common	A	Dividend	K	T					
83. -- CVS Health Corp Common	A	Dividend	J	T					
84. -- Federated Prime Cash Obligations WS	A	Dividend	J	T	Buy	06/20/19	J		
85. [redacted] Traditional IRA (Rollover from § 457(b) Plan) (H):									

1 Income Gain Codes: (See Columns B1 and D4) — 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

2 Value Codes (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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

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86. -- Sterne Agee Insured Deposit Program	A	Interest	J	T					
87. -- Valley View Place LLC			M	T					
88. -- (Same Fund)			N	T	Buy (add'l)	07/12/19	N		
89. -- Qual Comm Inc.	A	Dividend	J	T	Buy	04/17/19	J		
90. -- Leidos Holdings Inc.		Dividend	J	T	Buy	12/18/19	J		
91. Bryant Bank Account	A	Interest	M	T					
92. Regions Bank Account	A	Interest	J	T					
93. Roth IRA No. 2 (H) (X):									
94. -- Morgan Stanley Bank NA	A	Interest	J	T					
95. -- SNAP, Inc. Class A		None	J	T					
96. -- Tanger Factory Outlet Centers	A	Dividend	J	T					
97. -- Federated Prime Cash Obligations WS	A	Dividend	J	T	Buy	06/20/19	J		
98. CVS Health Corp Common	A	Dividend	J	T					
99. Ford Motor Co New	A	Dividend	J	T					
100. Morgan Stanley CD	B	Interest			Sold	03/22/19	M	B	
101. Federated Prime Cash Obligations WS	D	Dividend	O	T	Buy	06/20/19	O		
102. -- (Same Fund)	A	Dividend	K	T	Sold (part)	12/18/19	K	A	

1 Income Gain Codes: (See Columns B1 and D4) — 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

2 Value Codes (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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 (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

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103. -- Leidos Holdings Inc.		Dividend	K	T	Buy	12/18/19	K		

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2 Value Codes (See Columns C1 and D3) J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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

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

Re: Part VII, Line 5 (Farm: Madison County, Ala.) -- [redacted] & [redacted] sold part of farm crop land to [redacted]. & [redacted] on April 29, 2019.

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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: s/ Charles L. Smith, Jr.

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

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