

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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, Otrrie D.	2. Court or Organization U.S.D.C. MO, Western District	3. Date of Report 3/28/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Court Judge (Senior)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address Room 8552 U.S. Courthouse 400 East 9th Street Kansas City, MO 64106		
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Director	YMCA of the Rockies
2.	Trustee	BSW Trust dated February 1, 1994
3.		
4.		
5.		

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. _____

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

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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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Name of Person Reporting

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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. Microsoft Corp - Com Stk	A	Dividend	K	T	Sold (part)	07/16/13	J	C	
2.					Sold (part)	11/13/13	J	C	
3. Oracle Corp	A	Dividend			Sold (part)	01/03/13	J	A	
4.					Sold	07/15/13	K	B	
5. Garmin Ltd.	B	Dividend			Sold	07/12/13	K	D	
6. Vanguard 500 Index Fund	A	Dividend	K	T					
7. Cerner Corp.		None	K	T	Sold (part)	07/01/13	J	C	
8. Berkshire Hathaway, CL B		None	K	T	Sold (part)	07/01/13	K	B	
9. Powershares QQQ Trust Series I	A	Dividend			Sold (part)	01/03/13	J	B	
10.					Sold	07/01/13	K	B	
11. McDonalds Corp.	A	Dividend	K	T					
12. Southern Co.	B	Dividend			Sold (part)	05/14/13	J	B	
13.					Sold (part)	07/16/13	J	A	
14.					Sold	08/29/13	J	A	
15. Highwood Properties, Inc.	A	Dividend			Sold	08/29/13	J	A	
16. Invesco Mtg Capital, Inc.	B	Dividend			Sold	07/08/13	J	A	
17. Duke Energy Holding	B	Dividend	K	T	Sold (part)	09/05/13	J	A	

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 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P = \$250,000,001 - \$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	

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18. Merck & Company, Inc.	B	Dividend	K	T	Sold (part)	01/03/13	J	B	
19.					Sold (part)	09/20/13	J	C	
20. PPL Corporation	B	Dividend			Sold (part)	05/14/13	J	A	
21.					Sold	07/01/13	K	A	
22. Sunoco Logistics Ptnrs, LP	B	Dividend	K	T	Sold (part)	01/30/13	J	C	
23.					Sold (part)	07/01/13	J	B	
24. Royal Dutch Shell, ADR, Class A	A	Dividend	K	T	Buy	08/30/13	K		
25. EBAY	A	Dividend			Buy	07/16/13	K		
26.					Sold	12/05/13	K	A	
27. OVBC	A	Dividend			Buy	07/15/13	K		
28.					Sold (part)	11/13/13	J	A	
29.					Sold	11/20/13	J	A	
30. Chevron Corp	B	Dividend	K	T	Buy	07/12/13	K		
31. Amazon com. Inc.		None	J	T	Buy	07/08/13	J		
32. Health Care REIT	A	Dividend			Buy	07/08/13	K		
33.					Sold	12/05/13	K	A	
34. Pepsico	A	Dividend	K	T	Buy	07/08/13	K		

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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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35. Johnson & Johnson	A	Dividend	K	T	Buy	07/08/13	K		
36. American Water Works	A	Dividend	K	T	Buy	07/08/13	K		
37. Apple	A	Dividend	K	T	Buy	05/15/13	K		
38. BSW Living Trust 2/1/94	D	Int./Div.	N	T					
39. -KCMO Spl Oblig Rfdg Rev Downtown Arena									
40. -PSI Energy, Inc., Deb.									
41. -TVA Power Bond 1995 Series B									
42. -FHLM Corp Multiclass Mtg Ser 1125 CL Z									
43. -FHLM Corp Multiclass Mtg Ser 2520 CL LL					Redeemed (part)	04/17/13	J	A	
44.					Redeemed (part)	07/15/13	J	A	
45. -FNMA Remic Pass Thru Cfts 1999-18 CL LL					Redeemed (part)	07/22/13	J	A	
46.					Redeemed	10/21/13	J	A	
47. -GNM Assn Ser 2002-51 CL D									
48. -FNMA Remic Pass Thru Cfts 2002-48 CL LL					Redeemed (part)	01/25/13	J	A	
49.					Redeemed (part)	02/25/13	J	A	
50. -FNMA Remic Pass Thru Cfts 2002-86 CL BB					Redeemed (part)	10/25/13	J	A	
51.					Redeemed (part)	12/26/13	J	A	

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52. -FHLM Corp Multiclass Mtg Ser 2696 CL LL					Redeemed (part)	05/15/13	J	A	
53.					Redeemed (part)	07/15/13	J	A	
54.					Redeemed (part)	11/15/13	J	A	
55. -Insured Municipal Income Trust Ser No 461									
56. -Invesco Global 45 Dividend									
57. -Wal-Mart Stores Inc									
58. -Capital Income Builder Fund CL A									
59. -Franklin MO Tax-Free Inc Fund CL A									
60. -Ferrellgas Partners LP									
61. -Chevron Corp									
62. -CocaCola Co									
63. -Conoco Phillips									
64. -DTE Energy									
65. -GlaxoSmithKline									
66. -Merck & Co									
67. -Microsoft Corp									
68. -PIMCO Total Ret Fund CL A									

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

Part VII, #35 of 2012 Report (which is # 56 of 2013 Report) and #47 of 2012 Report - Invesco Global 45 Dividend is a unit trust in which the balance is rolled into a new trust which is assigned a different series number, usually correlating to the date of the roll over. The filer has only one investment in Invesco Global 45 Dividend unit trust. The two investments reported for the 2012 reporting period were a result of the filer's misunderstanding. For clarity, in this report the series number is omitted. It will likewise be omitted in future reports. Because there has always been only one investment in this unit trust, the investment shown at VII, #47 of the 2012 Report is omitted from this filing.

Part VII, #54, #55, #56, #57, #58, #59 and # 60 of 2012 Report are all part of the BSW-Power of Attorney 3/29/11. Investments under a power of attorney are no longer reported and, thus, have been omitted from this filing.

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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/ Ortrie D. Smith**

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
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Washington, D.C. 20544