

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) Smith , William E.	2. Court or Organization District of Rhode Island	3. Date of Report 07/08/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III -- active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address U.S. Courthouse One Exchange Terrace Providence, RI 02903		
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	Family Service of Rhode Island
2. Director	Rhode Island Burn Foundation
3. Director	Roger Williams University School of Law
4. Trustee	Roger Williams University
5. Director	Frank Church Institute, Boise State University

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. 2019	Roger Williams University School of Law; agreement to teach Judicial Process Seminar; spring and falls semesters
2. 2012	Elsevier Publishing Co; agreement author book with two coauthor (Drs. Peter Snyder and Linda Mayers)
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. 2019	Roger Williams University School of Law - teaching	\$28,440.00
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. 2019	Commerce RI - salary
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
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.)*

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.		

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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. American Beacon Bridgeway LC Value; Appraisal date: 12/31/2019	A	Dividend	K	Q	Buy	8/28/19	K		
2. Barclays Bank Structured Note; Appraisal date: 12/31/2019	A	Interest	K	Q	Buy	8/30/19	K		
3. HSBC Structured Note; Appraisal date: 12/31/2019	A	Interest	K	Q	Buy	8/30/19	K		
4. JP Morgan Structured Note; Appraisal date: 12/31/2019	A	Interest	K	Q	Buy	8/30/19	K		
5. American Funds Europacific Growth; Appraisal date: 12/31/2019	A	Dividend	K	Q	Buy	8/28/19	K		
6. Fidelity Advisor Total Bond; Appraisal date: 12/31/2019	A	Int./Div.	K	Q	Buy	8/28/19	K		
7. IShares Core SP Mid Cap ETF; Appraisal date: 12/31/2019	A	Int./Div.	K	Q	Buy	8/28/19	K		
8. IShares Core Total US Stock Market ETF; Appraisal date: 12/31/2019	A	Dividend	K	Q	Buy	8/28/19	K		
9. Invesco Oppenheimer Developing Mkts Fund; Appraisal date: 12/31/2019	A	Int./Div.	K	Q	Buy	8/28/19	K		
10. PGIM Short Term Bond Fund; Appraisal date: 12/31/2019	A	Dividend	J	Q	Buy	8/28/19	J		
11. Invesco QQQ ETF; Appraisal date: 12/31/2019	A	Dividend	K	Q	Buy	8/28/19	J		
12. Invesco S&P 500 Equal Weight ETF; Appraisal date: 12/31/2019	A	Dividend	K	Q	Buy	8/28/19	K		
13. SPDR Series Tr S&P Dividend ETF; Appraisal date: 12/31/2019	A	Dividend	K	Q	Buy	8/28/19	K		
14. Vanguard Small Cap ETF; Appraisal date: 12/31/2019	A	Dividend	K	Q	Buy	8/28/19	J		
15. Vanguard Growth ETF; Appraisal date: 12/31/2019	A	Dividend	K	Q	Buy	8/28/19	K		
16.									
17.									

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 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =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	

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

Part I. Positions (continued)

6. Director, YMCA of Greater Providence

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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/ William E. 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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