

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, LISA M.	2. Court or Organization U.S.DISTRICT COURT, SDNY	3. Date of Report 08/12/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. MAGISTRATE JUDGE FULL TIME	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 UNITED STATES COURTHOUSE 300 QUARROPAS STREET WHITE PLAINS, NY 10601		
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.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.		
2.		
3.		

Table with 2 columns: Name of Person Reporting (SMITH, LISA M.), Date of Report (08/12/2020)

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.)

Table with 3 columns: DATE, SOURCE AND TYPE, INCOME (yours, not spouse's). Row 1: 1. 2019, Pace University School of Law - Teaching, \$2,235.04

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.)

Table with 2 columns: DATE, SOURCE AND TYPE. Row 1: 1. 2019, Wages from Ridgefield Hardware Co., Ridgefield, CT

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

[x] NONE (No reportable reimbursements.)

Table with 5 columns: SOURCE, DATES, LOCATION, PURPOSE, ITEMS PAID OR PROVIDED. Rows 1-5 are empty.

Name of Person Reporting	Date of Report
SMITH, LISA M.	08/12/2020

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 14

Name of Person Reporting

SMITH, LISA M.

Date of Report

08/12/2020

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 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. Chase Cash accounts		None	J	T					
2. TD Bank Cash account		None	J	T					
3. Fidelity NY Municipal Money Market Fund		None			Closed	01/10/19	J		
4. Fidelity IRA (Fidelity Fund--FFIDX)	A	Dividend	K	T					
5. Fidelity IRA (Cash Reserves)	A	Dividend	K	T					
6. Webster Bank, Wilton CT -- Checking Account		None	K	T					
7. HSBC IRA (Fidelity Puritan Fund) (X)	A	Dividend	K	T					
8. HSBC IRA (T. Rowe Price Dividend Growth Fund)	A	Dividend	K	T					
9. HSBC Cash Account		None	J	T					
10.									
11. Investment Account #1(H)									
12. - Stifel Nicolaus money market account	A	Interest	J	T					
13.									
14. - Vanguard Treasury Money Market Fund	A	Dividend	L	T	Buy	11/01/19	L		
15.									
16. - Invesco Intermediate Term Muni Income Fund Class Y	A	Dividend			Buy (add'l)	02/22/19	J		
17.					Sold (part)	05/22/19	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 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	

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18.					Sold	10/31/19	K	A	
19.									
20. - American High Income Bond Fund	A	Dividend			Buy	05/22/19	J		
21.					Sold	10/31/19	J	A	
22. - Blackrock Equity Dividend Fund	A	Dividend			Buy (add'l)	02/22/19	J		
23.					Buy (add'l)	08/23/19	J		
24.					Sold	10/31/19	J		
25.									
26. - Columbia Contrarian Core Fund					Sold (part)	02/22/19	J	A	
27.					Buy (add'l)	08/23/19	J		
28.					Sold	10/31/19	J	A	
29.									
30. - American Beacon International Equity Fund					Buy (add'l)	02/22/19	J		
31.					Sold (part)	08/23/19	J		
32.					Sold	10/31/19	J	A	
33.									
34. -Fidelity Advisor New Insights Fund Instl Cl	A	Distribution			Sold (part)	02/22/19	J	A	

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
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

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35.					Buy (add'l)	08/23/19	J		
36.					Sold	10/31/19	J	A	
37.									
38. - FMI International Fund					Sold (part)	02/22/19	J		
39.					Buy (add'l)	05/22/19	J		
40.					Buy (add'l)	08/23/19	J		
41.					Sold	10/31/19	J	A	
42.									
43. - Goldman Small Cap Insights Fund					Sold (part)	02/22/19	J	A	
44.					Buy (add'l)	05/22/19	J		
45.					Buy (add'l)	08/23/19	J		
46.					Sold	10/31/19	J	A	
47.									
48. - Ivy Mid Cap Growth Fund					Sold (part)	02/22/19	J	A	
49.					Sold	10/31/19	J	A	
50.									
51. - MFS Intl Growth Fund					Sold (part)	02/22/19	J	A	

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

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

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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

FINANCIAL DISCLOSURE REPORT

Page 7 of 14

Name of Person Reporting SMITH, LISA M.	Date of Report 08/12/2020
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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)
52.					Sold (part)	08/23/19	J	A	
53.					Sold	10/31/19	J	A	
54.									
55. - Nuveen Small Cap Value Fund					Sold (part)	02/22/19	J		
56.					Sold (part)	08/23/19	J		
57.					Sold	10/31/19	J		
58.									
59. - Invesco Oppenheimer Developing Markets Fund CI Y					Sold (part)	02/22/19	J	A	
60.					Sold (part)	05/22/19	J	A	
61.					Sold (part)	08/23/19	J	A	
62.					Sold	10/31/19	J	A	
63.									
64. - Wells Fargo Special Mid Cap Value Fund					Sold (part)	02/22/19	J		
65.					Sold (part)	08/23/19	J		
66.					Sold	10/31/19	J	A	
67.									
68. - Meridian Small Cap Growth Fund					Sold (part)	02/22/19	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 8 of 14

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	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69.					Sold (part)	08/23/19	J	A	
70.					Sold	10/31/19	J		
71.									
72. - Thornburg Ltd Term Muni Fund	A	Dividend			Buy (add'l)	02/22/19	J		
73.					Sold (part)	05/22/19	J		
74.					Sold	10/31/19	J	A	
75. Investment Account #2(H)									
76. -- Stifel Insured Bank Program	A	Interest	J	T					
77.									
78. -- Franklin NY Tax Free Income Fund, Cl A (FNYTX)	A	Dividend	J	T					
79.									
80. Retirement Account #1(H)									
81. Stifel Nicolaus IRA money market	A	Interest	J	T					
82.									
83. - American Beacon International Equity Fund	A	Dividend	J	T	Buy (add'l)	02/22/19	J		
84.					Sold (part)	08/23/19	J		
85.									

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 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
2 Value Codes (See Columns C1 and D3)					
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value				

FINANCIAL DISCLOSURE REPORT

Page 9 of 14

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86. - Blackrock Equity Dividend Fund	A	Dividend	J	T	Sold (part)	02/13/19	J		
87.					Sold (part)	02/22/19	J		
88.									
89. - Columbia Contrarian Core Fund Class Z	A	Dividend	J	T	Buy (add'l)	02/22/19	J		
90.					Buy (add'l)	08/23/19	J		
91.									
92. - FMI International Fund Instl	A	Dividend	J	T	Buy (add'l)	05/22/19	J		
93.					Sold (part)	02/22/19	J		
94.									
95. - Fidelity Advisor New Insights Mutual Fund Institutional Class	A	Dividend	J	T	Buy (add'l)	08/23/19	J		
96.					Sold (part)	02/22/19	J	A	
97.									
98. - Goldman Sachs Intl Small Cap Insights Fund	A	Dividend	J	T	Buy (add'l)	05/22/19	J		
99.					Sold (part)	02/22/19	J	A	
100.									
101. - Harbor Bond Fund	A	Dividend	J	T	Buy (add'l)	08/23/19	J		
102.					Sold (part)	02/22/19	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	
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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 14

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103.									
104. - Ivy Mid Cap Growth Fund	A	Distribution	J	T	Buy	02/22/19	J		
105.					Sold (part)	02/13/19	J	A	
106.									
107. - JP Morgan Govt Bond Fund	A	Dividend	J	T	Buy	02/22/19	J		
108.									
109. - MFS Intl Growth Fd Cl I	A	Dividend	J	T	Sold (part)	02/22/19	J	A	
110.					Sold (part)	08/23/19	J	A	
111.									
112. - Meridian Sm Cap Gr Fund Investor Class	A	Distribution	J	T	Buy (add'l)	02/22/19	J		
113.					Sold (part)	08/23/19	J	A	
114.									
115. - Nuveen Small Cap Value Fund	A	Dividend	J	T	Buy (add'l)	02/22/19	J		
116.					Sold (part)	08/23/19	J		
117.									
118. - PGIM High Yield	A	Dividend	J	T	Buy	05/22/19	J		
119.					Sold (part)	08/23/19	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 11 of 14

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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)
120.									
121. - Invesco Oppenheimer Developing Markets Fund Class Y	A	Dividend	J	T	Buy (add'l)	02/22/19	J		
122.					Sold (part)	02/13/19	J	A	
123.					Sold (part)	05/22/19	J	A	
124.					Sold (part)	08/23/19	J	A	
125.									
126. Vanguard Short Term Federal Fund	A	Dividend			Buy (add'l)	02/22/19	J		
127.					Sold (part)	02/13/19	J	A	
128.					Sold	05/22/19	J	A	
129.									
130. - Wells Fargo Govt Securities Fund Admin Class	A	Dividend			Sold (part)	02/13/19	J		
131.					Sold	02/22/19	J		
132.									
133. - Wells Fargo Special Mid Cap Value Fund	A	Dividend	J	T	Sold (part)	08/23/19	J		
134.									
135. Inherited IRA(H)									
136. - Stifel Insured Bank Program	A	Interest	J	T					

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		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
137.									
138. - Verizon (VZ)	A	Dividend	J	T					
139.									
140. - Franklin Income Fund, Advisor Class	A	Dividend			Sold	10/30/19	J		
141.									
142. - Ishares S&P Mid Cap 400 Growth ETF (IJK)	A	Dividend	J	T	Sold (part)	10/30/19	J	A	
143.									
144. - Ishares S&P Small Cap 600 Growth ETF (IJT)	A	Dividend	J	T	Sold (part)	10/30/19	J	A	
145.									
146. - Janus Balanced Fund	A	Dividend	J	T	Buy	10/31/19	J		

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

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

FINANCIAL DISCLOSURE REPORT

Page 13 of 14

Name of Person Reporting

SMITH, LISA M.

Date of Report

08/12/2020

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

VII. Investments

1. Rows 59 & 121: Invesco acquired the Oppenheimer Funds in May of 2019 and changed the name of Oppenheimer Developing Markets Fund to Invesco Oppenheimer Developing Markets Fund.

FINANCIAL DISCLOSURE REPORT

Page 14 of 14

Name of Person Reporting

SMITH, LISA M.

Date of Report

08/12/2020

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/ LISA M. 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