

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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, Jr., Milan D.	2. Court or Organization Ninth Circuit	3. Date of Report 04/24/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address United States Court of Appeals Suite 2325, 222 N Sepulveda Bl El Segundo, California 90245		
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	Western Justice Center
2.	Director	Ninth Judicial Circuit Historical Society
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. 2017

Self Employed Attorney

2. 2017

Gogian Foundation-Trustee

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.)*

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. General Electric Co.	B	Dividend	K	T	Buy (add'l)	04/25/17	J		
2.					Sold (part)	01/31/17	J	A	
3.					Sold (part)	08/31/17	J	A	
4. Intuitive Surgical Inc.		None	K	T	Sold (part)	06/16/17	J	D	
5.					Sold (part)	11/17/17	J	B	
6. American Tower Corp CL A	A	Dividend	K	T	Sold (part)	08/28/17	J	B	
7. Pepsico Incorporated	B	Dividend	K	T	Sold (part)	07/21/17	J	A	
8. Canadian Natl Ry Co.	A	Dividend	K	T	Sold (part)	03/24/17	J	C	
9.					Sold (part)	06/16/17	J	C	
10. Aetna: Whole Life Insurance Policy		None			Sold	10/20/17	L	A	
11. Quanta SVCS Inc		None	K	T	Sold (part)	01/05/17	J	D	
12. Oneok Inc New	C	Dividend	L	T					
13. Williams Partners LP Com Unit Ltd Part Int	B	Distribution	K	T					
14. Ishares Trust Barclays 1-3 Yr. Treasury Bd FD	B	Dividend	N	T	Buy (add'l)	04/25/17	J		
15.					Sold (part)	03/29/17	J	A	
16.					Sold (part)	05/04/17	J	A	
17.					Sold (part)	11/17/17	K	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 = \$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 \$5,000,000	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.					Sold (part)	11/29/17	K	A	
19. MFA Mortgage Investments Inc. (MFA Financial Inc)	C	Dividend	K	T	Sold (part)	04/13/17	J	A	
20.					Sold (part)	06/16/17	J	A	
21. Putnam Managed Municipal Income Trust- SBI	A	Dividend	J	T					
22. Putnam Municipal Opportunities Trust-SBI	B	Dividend	K	T					
23. Ishares Trust Iboxx \$ Investop Investment Grade Bond Fund	D	Dividend	M	T	Buy (add'l)	04/25/17	J		
24.					Buy (add'l)	06/16/17	K		
25. Ishares Barclays Intermediate Credit Bond Fund	D	Dividend	M	T	Buy (add'l)	03/24/17	J		
26.					Buy (add'l)	04/25/17	J		
27.					Sold (part)	09/13/17	J	A	
28. Ishares Barclays 1-3 YR Credit Bond Fund ETF	D	Dividend	N	T	Buy (add'l)	03/24/17	J		
29.					Buy (add'l)	04/25/17	J		
30.					Sold (part)	07/21/17	J	A	
31.					Sold (part)	09/13/17	J	A	
32. Ishares Core US Credit Bond (FKA Ishares Test Barclay Credit Bond ETF)	B	Dividend	L	T					
33. Ameren Corp	B	Dividend	K	T	Sold (part)	04/20/17	J	A	
34.					Sold (part)	07/21/17	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	
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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)

35. Abbott Laboratories	A	Dividend	K	T	Sold (part)	06/16/17	J	A	
36. Enterprise Products Partners LP	B	Distribution	K	T					
37. Blackrock Income Trust Inc	B	Dividend	K	T					
38. Gabelli Dividend & Income Fund	D	Dividend	M	T	Buy (add'l)	04/25/17	J		
39.					Sold (part)	09/28/17	J	A	
40. Eli Lilly & Co	A	Dividend	K	T	Buy (add'l)	04/25/17	J		
41.					Sold (part)	03/17/17	J	B	
42.					Sold (part)	03/29/17	J	A	
43. Tekla Healthcare Invs Sh Ben Int (FKA H & Q Healthcare Investors SBI)	B	Dividend	K	T					
44. Managed Duration Invt Grade Mun FD	B	Dividend	K	T	Sold (part)	06/16/17	J	A	
45. Ishares TR S&P Short Term Natl Amtr	A	Dividend	M	T	Buy (add'l)	01/30/17	L		
46. Textron Inc	A	Dividend	J	T	Sold (part)	06/16/17	J	A	
47. Vanguard Scottsdale Funds Vanguard Short Term Corp Bond ETF	D	Dividend	N	T	Buy (add'l)	03/24/17	J		
48.					Buy (add'l)	03/27/17	K		
49.					Buy (add'l)	04/25/17	J		
50.					Sold (part)	04/20/17	J	A	
51.					Sold (part)	04/25/17	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. BlackRock Credit Allocation	D	Dividend	L	T	Buy (add'l)	04/20/17	J		
53.					Buy (add'l)	04/25/17	J		
54. Ishares Trust S&P Global Info Technology Sector Index Fund	B	Dividend	M	T	Sold (part)	03/28/17	J	A	
55.					Sold (part)	04/20/17	J	B	
56.					Sold (part)	06/16/17	J	B	
57.					Sold (part)	07/21/17	J	B	
58.					Sold (part)	08/25/17	J	B	
59.					Sold (part)	10/30/17	J	B	
60.					Sold (part)	11/17/17	J	B	
61. Calamos Global Dynamic Income Fund	C	Dividend			Sold (part)	04/25/17	J	A	
62.					Sold (part)	07/20/17	K	B	
63.					Sold (part)	08/25/17	J	A	
64.					Sold (part)	10/26/17	K	C	
65.					Sold (part)	11/17/17	J	C	
66.					Sold	12/06/17	K	C	
67. Corning Inc	B	Dividend	L	T	Sold (part)	01/30/17	J	A	
68.					Sold (part)	03/24/17	J	B	

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69.					Sold (part)	04/20/17	J	A	
70.					Sold (part)	05/04/17	J	A	
71.					Sold (part)	07/21/17	J	B	
72.					Sold (part)	08/25/17	J	B	
73. Koninklijke Philips Electrs N V Sponsored ADR New 2000	B	Dividend	K	T	Sold (part)	03/17/17	J	A	
74.					Sold (part)	04/25/17	J	A	
75.					Sold (part)	06/16/17	J	C	
76.					Sold (part)	06/29/17	J	A	
77. Columbia Fds Ser TR IX Tax Exempt FD CL A	B	Dividend	K	T					
78. Ishares TR 2017 S&P AMT Free Municipal Ser Fd	A	Dividend			Sold	09/08/17	K	A	
79. Gabelli Healthcare & Wellness Trust	C	Dividend	K	T	Sold (part)	04/20/17	J	A	
80.					Sold (part)	06/16/17	J	B	
81.					Sold (part)	07/21/17	J	A	
82. BlackRock Equity Dividend Trust	C	Dividend	L	T	Sold (part)	04/25/17	J	A	
83. Centerpoint Energy Inc.	A	Dividend	J	T	Sold (part)	01/10/17	J	A	
84.					Sold (part)	03/17/17	J	A	
85.					Sold (part)	04/25/17	J	A	

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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86.					Sold (part)	05/04/17	J	A	
87.					Sold (part)	08/25/17	J	A	
88. American Electric Power Co Inc	A	Dividend	J	T	Buy (add'l)	04/25/17	J		
89.					Sold (part)	11/29/17	J	A	
90. Pimco ETF TR Enhanced Short Maturity	D	Dividend	N	T	Buy (add'l)	04/25/17	J		
91.					Buy (add'l)	08/29/17	J		
92. Southern Co	A	Dividend	K	T					
93. Ishares TR Dow Jones SEL Divid Index FD	B	Dividend	K	T					
94. FirstEnergy Corp	A	Dividend	J	T					
95. Sempra Energy	A	Dividend	K	T	Buy (add'l)	04/25/17	J		
96.					Sold (part)	03/29/17	J	A	
97. Anworth Mortgage Asset Corp	D	Dividend	L	T	Sold (part)	01/31/17	J	A	
98.					Sold (part)	03/24/17	J	A	
99.					Sold (part)	03/28/17	J	A	
100.					Sold (part)	04/20/17	J	A	
101.					Sold (part)	04/25/17	J	A	
102.					Sold (part)	09/28/17	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
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103. Frontier Communications Corp	B	Dividend			Buy (add'l)	02/28/17	J		
104.					Buy (add'l)	07/21/17	J		
105.					Sold (part)	03/24/17	J	A	
106.					Sold (part)	03/28/17	J	A	
107.					Sold (part)	06/16/17	J	A	
108.					Sold	09/18/17	J	A	
109. Eaton Vance Risk Managed Global Diversified Equity Income	B	Dividend	K	T					
110. Eaton Vance Tax Managed Global Diversified Equity Income	B	Dividend			Sold (part)	06/16/17	J	B	
111.					Sold	07/11/17	K	D	
112. Intel Corp	B	Dividend	L	T	Sold (part)	04/25/17	J	A	
113.					Sold (part)	09/28/17	J	B	
114.					Sold (part)	10/30/17	J	A	
115.					Sold (part)	11/17/17	J	B	
116.					Sold (part)	12/18/17	J	B	
117. Abbvie Inc.	B	Dividend	L	T	Sold (part)	09/13/17	J	A	
118.					Sold (part)	11/17/17	J	C	
119. Merck & Co. Inc.	B	Dividend	K	T	Sold (part)	09/28/17	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	

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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)
120. Air Lease Corporation	A	Dividend	K	T	Sold (part)	03/24/17	J	A	
121.					Sold (part)	08/25/17	J	A	
122. Eaton Vance California Municipal Bond Fund	B	Dividend	K	T	Sold (part)	09/28/17	J	A	
123. iShares 2018 AMT Free Muni Term ETF	A	Dividend	K	T					
124. Conagra Foods Inc.	A	Dividend	K	T	Buy (add'l)	06/16/17	J		
125. Citigroup Inc Com	A	Dividend	K	T	Buy (add'l)	03/17/17	J		
126.					Buy (add'l)	04/25/17	J		
127.					Buy (add'l)	08/25/17	J		
128.					Buy (add'l)	12/18/17	J		
129.					Sold (part)	05/31/17	J	A	
130. Neuberger Berman Real Estate Securities Income Fund	B	Dividend	K	T	Buy (add'l)	01/30/17	J		
131.					Sold (part)	01/17/17	J	B	
132. iShares 3 to 7 Year Treasury Bond ETF	D	Dividend	N	T	Buy (add'l)	03/24/17	K		
133.					Buy (add'l)	04/25/17	J		
134.					Buy (add'l)	11/17/17	J		
135.					Sold (part)	12/04/17	M	A	
136.					Sold (part)	12/18/17	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 \$5,000,000	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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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)
137. Ishares US ETF Tr Short Term Maturity Bond ETF	C	Dividend	N	T					
138. One Gas Inc.	A	Dividend	K	T	Sold (part)	06/16/17	J	B	
139. Ishares Tr 0-5 Yr Invt Grade Corp Bd ETF	B	Dividend	M	T	Buy (add'l)	08/28/17	L		
140. Nuveen California AMT Free Municipal Income Fund	B	Dividend			Sold (part)	06/16/17	J	A	
141.					Sold	10/26/17	K	C	
142. SPDR Nuveen Barclays Short Term Municipal Bond ETF	A	Dividend			Sold	01/30/17	K	A	
143. Ishares Gold Trust		None	K	T	Buy (add'l)	04/25/17	J		
144.					Sold (part)	06/29/17	J	A	
145. Central Fund of Canada LTD CL-A Non Voting Shares	A	Dividend	K	T	Buy (add'l)	01/30/17	J		
146.					Buy (add'l)	06/29/17	J		
147. Pimco Intermediate Municipal Bond Active Exchange Traded Fund	B	Dividend	L	T	Buy (add'l)	03/24/17	J		
148.					Buy (add'l)	09/13/17	J		
149.					Buy (add'l)	09/29/17	K		
150.					Sold (part)	05/04/17	J	A	
151. Alps ETF TR Alerian MLP	B	Dividend	K	T	Buy (add'l)	01/31/17	J		
152.					Buy (add'l)	04/20/17	J		
153.					Buy (add'l)	05/31/17	J		

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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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)
154.					Buy (add'l)	07/20/17	J		
155.					Sold (part)	04/25/17	J	A	
156. Pattern Energy Group Inc Class A	B	Dividend	K	T	Buy (add'l)	03/24/17	J		
157.					Buy (add'l)	03/29/17	J		
158.					Buy (add'l)	04/13/17	J		
159.					Sold (part)	04/25/17	J	A	
160. Centurylink Inc	B	Dividend	K	T	Buy (add'l)	03/24/17	K		
161.					Buy (add'l)	11/17/17	J		
162.					Buy (add'l)	11/29/17	J		
163.					Buy (add'l)	12/18/17	J		
164.					Sold (part)	03/24/17	K	A	
165.					Sold (part)	03/27/17	J	A	
166.					Sold (part)	09/18/17	K	A	
167. Communications Sales & Leasing Inc Com	A	Dividend			Buy (add'l)	01/31/17	J		
168.					Merged (with line 243)	02/27/17	K		
169. Bank of Nova Scotia	A	Dividend	J	T	Sold (part)	04/25/17	J	A	
170. Vanguard Calif Tax Free Intermediate Term Tax Exempt Fund	A	Dividend	L	T	Buy (add'l)	06/16/17	K		

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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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)
171.					Buy (add'l)	11/17/17	K		
172.					Buy (add'l)	12/29/17	L		
173.					Sold (part)	03/23/17	K	A	
174. Eaton Corporation	A	Dividend	J	T					
175. Vanguard Short Term Government Bond ETF	C	Dividend	N	T	Buy (add'l)	01/30/17	K		
176.					Buy (add'l)	04/25/17	J		
177.					Sold (part)	11/17/17	K	A	
178. US Govt Money Market Fund RBS Reserve Class		None			Closed	02/27/17	M		
179. Transamerica Advisors: Whole Life Insurance Policy		None	K	T					
180. Aurora National Life Assurance: Whole Life Insurance Policy		None	K	T					
181. Metlife: Whole Life Insurance Policy	A	Int./Div.	J	T					
182. Lamb Weston Holdings Inc Common Stock	A	Dividend	K	T	Buy (add'l)	01/30/17	J		
183.					Buy (add'l)	03/24/17	J		
184. Orbital Atk Inc Com	A	Dividend	J	T	Buy (add'l)	01/31/17	J		
185.					Buy (add'l)	03/17/17	J		
186.					Buy (add'l)	03/24/17	J		
187.					Buy (add'l)	04/20/17	J		

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 \$5,000,000	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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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)
188.					Buy (add'l)	08/25/17	J		
189.					Sold (part)	04/25/17	J	A	
190.					Sold (part)	09/21/17	J	C	
191.					Sold (part)	11/17/17	J	C	
192.					Sold (part)	11/28/17	J	B	
193. Tsakos Energy Navig USD1	A	Dividend			Buy (add'l)	04/25/17	J		
194.					Sold (part)	05/31/17	J	A	
195.					Sold	12/29/17	J	A	
196. Vaneck Vectors ETF TR Gold Miners ETF	A	Dividend	K	T	Buy (add'l)	03/24/17	J		
197.					Sold (part)	05/04/17	J	A	
198. Alps ETF TR Sprott Gold Miners ETF	A	Dividend	K	T	Buy (add'l)	01/30/17	J		
199.					Buy (add'l)	03/24/17	J		
200. Euronav NV	A	Dividend			Sold	01/30/17	K	A	
201. SPDR Ser TR S&P Biotech ETF	A	Dividend	J	T	Buy (add'l)	06/29/17	J		
202.					Sold (part)	04/25/17	J	A	
203. Franco-Nevada Corporation	A	Dividend	K	T	Buy (add'l)	01/31/17	J		
204.					Buy (add'l)	04/25/17	J		

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 \$5,000,000	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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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)
205.					Buy (add'l)	07/20/17	J		
206. Pimco Stocksplus Short Fund Class	A	Dividend	J	T	Buy (add'l)	06/29/17	J		
207.					Sold (part)	04/25/17	J	A	
208. Allergan PLC	A	Dividend			Buy	01/31/17	J		
209.					Buy (add'l)	07/20/17	J		
210.					Sold	09/28/17	J	A	
211. Vanguard FTSE Developed Markets ETF	B	Dividend	L	T	Buy (add'l)	01/30/17	K		
212.					Buy (add'l)	03/24/17	K		
213. Schwab Target 2030 Fund	A	Dividend	K	T					
214. Schwab CA Tax Free Bond	B	Dividend	L	T					
215. Albemarle Corporation	A	Dividend	K	T	Buy	04/20/17	J		
216.					Buy (add'l)	06/16/17	J		
217.					Buy (add'l)	07/20/17	J		
218.					Buy (add'l)	08/25/17	J		
219. Cryoport Inc Com		None	K	T	Buy	08/31/17	J		
220.					Buy (add'l)	09/11/17	J		
221.					Buy (add'l)	09/13/17	J		

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 \$5,000,000	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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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)
222.					Buy (add'l)	09/28/17	J		
223.					Buy (add'l)	11/17/17	J		
224. International Business Machines Corp	A	Dividend	K	T	Buy	08/31/17	J		
225.					Buy (add'l)	09/28/17	J		
226. Kroger Co		None	J	T	Buy	11/17/17	J		
227. Warrior Met Coal Inc Common Stock	D	Dividend	K	T	Buy	08/28/17	J		
228.					Buy (add'l)	11/17/17	J		
229. Vaneck Vectors ETF TR Amt Free Intermediate Muni Index ETF	A	Dividend	K	T	Buy	03/24/17	K		
230. Thornburg California Limited Term Municipal Fund CL I	A	Dividend	M	T	Buy	03/23/17	K		
231.					Buy (add'l)	04/20/17	K		
232.					Buy (add'l)	07/24/17	K		
233.					Buy (add'l)	08/28/17	K		
234.					Buy (add'l)	09/11/17	K		
235.					Sold (part)	12/29/17	L	A	
236. RBC Insured Deposits	A	Int./Div.	M	T	Open	02/27/17	M		
237. B&G Foods Inc		None	K	T	Buy	11/17/17	J		
238.					Buy (add'l)	11/28/17	J		

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		

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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)

239.					Buy (add'l)	12/18/17	J		
240. Energy Transfer Partners LP		None	K	T	Buy	11/17/17	K		
241.					Buy (add'l)	11/28/17	J		
242.					Buy (add'l)	12/18/17	J		
243. Uniti Group Inc	A	Dividend	K	T	Buy	05/31/17	J		
244.					Buy (add'l)	08/25/17	J		
245.					Buy (add'l)	08/29/17	J		
246.					Buy (add'l)	11/17/17	J		
247.					Buy (add'l)	11/28/17	J		
248.					Sold (part)	04/25/17	J	A	
249. Windstream Holdings Inc Com	A	Dividend			Buy	03/24/17	J		
250.					Buy (add'l)	06/16/17	J		
251.					Sold (part)	06/16/17	J	A	
252.					Sold	08/03/17	J	A	
253. Frontier Communications Corporation 11.125% Mandatory Conv PFD	C	Dividend	J	T	Buy	03/31/17	K		
254.					Buy (add'l)	04/25/17	J		
255.					Buy (add'l)	06/16/17	J		

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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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)

256.					Buy (add'l)	11/20/17	J		
257.					Sold (part)	06/16/17	J	A	
258.					Sold (part)	07/21/17	J	A	
259.					Sold (part)	08/25/17	J	A	
260.					Sold (part)	09/19/17	J	A	
261. BT Group PLC American Depository Shs	A	Dividend	J	T	Buy	03/24/17	J		
262.					Buy (add'l)	04/13/17	J		

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.)*

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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/ Milan D. 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
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