AO 10
Rev. 1/2021

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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	12/28/2021
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	01/01/2020 **to** 12/31/2020
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.	2020	State of Alabama Judicial Retirement (Retirement Systems of Alabama)	$58,725.00
2.	2020	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.	2020	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.	12/28/2021

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.	C	Rent (Crop)	O	W					
6. Farm Rental House: Madison County, Ala.	D	Rent (House)	M	W					
7. Crown Life Ins. - Cash Value Whole Life Policy	A	Dividend	J	T					
8. Apple, Inc. Common	D	Dividend	O	T					
9. Clorox Co. Common	B	Dividend	L	T					
10. [redacted] § 457(b) Deferred Comp Account (H):									
11. -- Fidelity Contrafund	C	Dividend	L	T					
12. -- Nationwide Fixed Account	B	Interest	K	T					
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) (H)									
17. -- NUVEEN CO ALL EQ ALLOC PTF A	A	Dividend	K	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	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		

Name of Person Reporting	Date of Report
Smith, Jr., Charles L.	12/28/2021

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. Education IRA No. 1 (H):									
19. -- Morgan Stanley Bank NA	A	Interest	J	T					
20. -- Facebook Common		None	K	T					
21. -- Apple, Inc. Common	A	Dividend	L	T					
22. -- SNAP, Inc. Class A		None	J	T					
23. -- CVS Health Corp Common	A	Dividend	J	T					
24. -- Tanger Factory Outlet Centers	A	Dividend	J	T					
25. -- Fedeerated Prime Cash Obligations WS	A	Dividend	J	T					
26. Education IRA No. 2 (H):									
27. -- Morgan Stanley Bank NA	A	Interest	J	T					
28. -- Facebook Common		None	K	T					
29. -- Ford Motor Co New	A	Dividend	J	T					
30. -- Tanger Facory Outlet Centers	A	Dividend	J	T					
31. -- Federated Prime Cash Obligations WS	A	Dividend	J	T					
32. Education IRA No. 4 (H):									
33. -- Morgan Stanley Bank NA	A	Interest	J	T					
34. -- Facebook Common		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	P2 =$5,000,001 - $25,000,000	
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☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
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35. -- Ford Motor Co New	A	Dividend	J	T					
36. -- Federated Prime Cash Obligation WS	A	Dividend	J	T					
37. Coca Cola Bottling Co. Common	A	Dividend	J	T					
38. Trust No. 1 (H):	A	Dividend	K	T					
39. -- Morgan Stanley Bank NA	A	Interest	J	T					
40. -- Franklin Federal Tax Free Income FD Class A	B	Interest	K	T					
41. -- Federated Prime Cash Obligations WS	A	Dividend	J	T					
42. Vanguard Age-Based Aggressive Growth (Section 529 Plan aka Upromise)	A	Dividend	K	T					
43. Walt Disney Common	B	Dividend	K	T					
44. Education IRA No. 5 (H):									
45. -- Morgan Stanley Bank NA	A	Interest	J	T					
46. -- Facebook Common		None	K	T					
47. -- SNAP, Inc. Class A		None	J	T					
48. -- Ford Motor Co New	A	Dividend	J	T					
49. -- Tanger Factory Outlet Centers	A	Dividend	J	T					
50. -- Federated Prime Cash Obligations Ws	A	Dividend	J	T					
51. -- Albertsons Companies, Inc.	A	Dividend	J	T	Buy	06/26/20	J		

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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52. Trust No. 2 (H):									
53. -- Morgan Stanley Bank NA	A	Interest	K	T					
54. -- Facebook Common		None	L	T	Sold (part)	12/23/20	K	E	
55. -- Illumina Inc. Common		None	K	T					
56. -- Apple Inc. Common	B	Dividend	L	T					
57. -- CVS Health Corp Common	A	Dividend	J	T					
58. -- Ford Motor Co New	A	Dividend	J	T					
59. -- Tanger Factory Outlet Centers	A	Dividend	J	T					
60. -- Qual Comm Inc.	A	Dividend	K	T					
61. -- Leidos Holding Inc.	A	Dividend	J	T					
62. -- Federated Prime Cash Obligations Ws	A	Dividend	J	T					
63. Facebook Common		None	L	T					
64. Alabama College Counts 529 Plan (H):									
65. -- Vanguard Growth Index Fund	C	Dividend	M	T					
66. -- Vanguard Total Bond Market Index Fund	B	Dividend	K	T					
67. -- Vanguard Short Term bond Index Fund	B	Dividend	K	T					
68. Educational IRA No. 6 (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. -- Morgan Stanley Bank NA	A	Interest	J	T					
70. -- SNAP, Inc. Class A		None	J	T					
71. -- Ford Motor Co New	A	Dividend	J	T					
72. -- Tanger Factory Outlet Centers	A	Dividend	J	T					
73. -- Federated Cash Obligations WS	A	Dividend	J	T					
74. -- Albertsons Companies, Inc.	A	Dividend	J	T	Buy	06/26/20	J		
75. Roth IRA (H):									
76. -- Morgan Stanley Bank NA	A	Interest	J	T					
77. -- Facebook Inc. Common		None	K	T					
78. -- Franklin Income A	A	Interest	J	T					
79. -- Apple Inc. Common	A	Dividend	L	T					
80. -- CVS Health Corp Common	A	Dividend	J	T					
81. -- Federated Prime Cash Obligations WS	A	Dividend	J	T					
82. -- Albertsons Companies, Inc.	A	Dividend	J	T	Buy	06/26/20	J		
83. [redacted] Traditional IRA (Rollover from § 457(b) Plan) (H):									
84. -- Sterne Agee Insured Deposit Program	A	Interest	J	T					
85. -- Valley View Place LLC		None	N	T					

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86. -- Qual Comm Inc.	A	Dividend	J	T					
87. -- Leidos Holdings Inc.	A	Dividend	J	T					
88. Bryant Bank Account	A	Interest	M	T					
89. Regions Bank Account	A	Interest	J	T					
90. Roth IRA No. 2 (H) (X):									
91. -- Morgan Stanley Bank NA	A	Interest	J	T					
92. -- SNAP, Inc. Class A		None	J	T					
93. -- Tanger Factory Outlet Centers	A	Dividend	J	T					
94. -- Federated Prime Cash Obligations WS	A	Dividend	J	T					
95. -- Albertsons Companies, Inc.	A	Dividend	J	T	Buy	06/26/20	J		
96. CVS Health Corp Common	A	Dividend	J	T					
97. Ford Motor Co New	A	Dividend	J	T					
98. Federated Prime Cash Obligations WS	D	Dividend	O	T					
99. -- Leidos Holdings Inc.	A	Dividend	L	T					
100. Albertsons Companies, Inc.	A	Dividend	J	T	Buy	06/26/20	J		
101. MSBNA Preferred Savings - QC	A	Interest	J	T	Buy	03/18/20	J		

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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Smith, Jr., Charles L.	12/28/2021

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

Name of Person Reporting	Date 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/ 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