

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) Smith, Thomas B.	2. Court or Organization District Court--Middle District of Florida	3. Date of Report 06/9/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) MJ--Full Time until 07/25/2019 and now on recall	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address United States Courthouse 401 West Central Blvd. Suite 6-550 Orlando, Florida 32801		
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. Member of Execcutive Council	Business Law Section of the Florida Bar
2. Member of Working Group	Sedona Conference
3.	
4.	
5.	

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

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. 2020	State of Florida Employee Pension Plan--No Control
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Smith, Thomas B.

Date of Report

06/9/2021

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. 2020	State of Florida--Pension	\$55,034.88
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. 2020	Orlando Health--Hourly Wages
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.				

Name of Person Reporting	Date of Report
Smith, Thomas B.	06/9/2021

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 10

Name of Person Reporting

Smith, Thomas B.

Date of Report

06/9/2021

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 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. Truist Bank Account	A	Interest	K	T	Open		K		
2. Fidelity MSCI Financials Index ETF	A	Dividend			Buy	03/20/20	J		
3. Fidelity MSCI Financials Index ETF	A	Dividend			Buy (add'l)	05/15/20	J		
4. Fidelity MSCI Financials Index ETF	A	Dividend			Buy (add'l)	06/11/20	J		
5. Fidelity MSCI Financials Index ETF	A	Dividend			Sold	06/30/20	K	C	
6. Walt Disney Company		None			Buy	07/13/20	J		
7. Walt Disney Company		None			Sold	08/06/20	J	A	
8. SPDR SER TR S&P Semiconductor ETF	A	Dividend	J	T	Buy	03/31/20	J		
9. Dow Jones Average Index ETF	A	Dividend	J	T	Buy	03/31/20	J		
10. Fiserv Inc. Stock	A	Dividend			Buy	08/10/20	J		
11. Fiserv Inc. Stock	A	Dividend			Sold	12/23/20	J	A	
12. JP Morgan Chase & Co. stock	A	Dividend	J	T	Buy	08/10/20	J		
13. Blackrock, Inc. stock	A	Dividend	J	T	Buy	08/12/20	J		
14. Simon Property Group, Inc.	A	Dividend			Buy	08/18/20	J		
15. Simon Property Group, Inc.	A	Dividend			Sold	11/12/20	J	A	
16. Simon Property Group, Inc.	A	Dividend	J	T	Buy	11/30/20	J		
17. ETF Managers Trust ETFMG Alternative Harvest ETF	A	Dividend	J	T	Buy	09/01/20	J		

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	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Smith, Thomas B.

Date of Report

06/9/2021

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 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)
18. Newmont Corp. Common Stock		None			Buy	11/06/20	J		
19. Newmont Corp. Common Stock		None			Sold	12/23/20	J	A	
20. American Center ETF TR American Century Focused Large Cap Value Fund	A	Dividend	J	T	Buy	12/23/20	J		
21. Microsoft Corp. Stock		None			Buy	11/10/20	J		
22. Microsoft Corp. Stock		None			Sold	12/23/20	J	A	
23. Dynavax Stock		None	J	T	Buy	12/04/20	J		
24. Bitcoin		None	K	T	Buy	12/11/20	J		
25. Ethereum		None	K	T	Buy	12/30/20	J		
26. Valic Fixed Account Plus fixed income annuity	B	Dividend	J	T					
27. Country Life Insurance Company Life Policy single premium whole life	A	Dividend	J	T					
28. SunTrust Bank Account	A	Interest	N	T					
29. McCoy Federal Credit Union	A	Interest	K	T					
30. AB High Income Fund	A	Dividend	K	T	Buy (add'l)	04/15/20	L		
31. AB High Income Fund	A	Dividend	L	T					
32. Angel Oak Multi Strategy	A	Dividend		T	Sold (part)	03/06/20	K		
33. Angel Oak Multi Strategy	A	Dividend		T	Buy (add'l)	10/16/20	K		
34. Angel Oak Multi Strategy	A	Dividend	L	T					

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Smith, Thomas B.

Date of Report

06/9/2021

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 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. Doubleline Core Fixed Income CL	A	Dividend		T	Buy (add'l)	10/16/20	J		
36. Doubleline Core Fixed Income CL	A	Dividend		T	Buy (add'l)	11/13/20	J		
37. Doubleline Core Fixed Income CL	D	Dividend	N	T					
38. Goldman Sachs GQG Partners Intl OPP1	A	Dividend	L	T	Buy	11/13/20	L		
39. JPMorgan Emerging Markets Equity Class I	A	Dividend		T	Buy	04/09/20	M		
40. JPMorgan Emerging Markets Equity Class I	A	Dividend		T	Sold (part)	10/16/20	K	D	
41. JPMorgan Emerging Markets Equity Class I	A	Dividend	M	T					
42. iShares Russell 2000 ETF	A	Dividend	K	T	Buy	04/09/20	K		
43. iShares Russell 2000 ETF	A	Dividend		T	Buy (add'l)	11/13/20	J		
44. iShares TR MSCI ACWI EX US	A	Dividend	M	T	Buy	04/09/20	M		
45. iShares TR MBS ETF	A	Dividend	K	T	Buy	03/06/20	K		
46. iShares TR Barclays 7-10 year	A	Int./Div.		T	Buy	03/03/20	K		
47. iShares TR Barclays 7-10 year	A	Int./Div.		T	Sold (part)	04/15/20	J	A	
48. iShares TR Barclays 7-10 year	A	Int./Div.	K	T					
49. iShares TR MSCI EAFE Min VL	A	Dividend			Sold (part)	04/09/20	L	A	
50. iShares TR MSCI EAFE Min VL	A	Dividend			Sold	11/13/20	L	A	
51. SPDR Gold TR Gold SHS	A	Dividend		T	Buy	03/03/20	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Smith, Thomas B.

Date of Report

06/9/2021

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 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. SPDR Gold TR Gold SHS	A	Dividend		T	Sold (part)	4/09/20	J	A	
53. SPDR Gold TR Gold SHS	A	Dividend	K	T					
54. Schwab Strategic TR US Mid-Cap ETF	A	Dividend		T	Buy	04/09/20	L		
55. Schwab Strategic TR US Mid-Cap ETF	A	Dividend	L	T					
56. SPDR Ser Tr S&P 600 Small Cap ETF	A	Dividend			Sold	04/09/20	K	A	
57. SPDR S&P Midcap 400 ETF	A	Dividend			Sold	04/09/20	K	A	
58. PIMCO Income Fund Institutional Fund	A	Int./Div.		T	Buy (add'l)	03/13/20	J		
59. Pimco Income Fund Institutional Fund	A	Int./Div.			Buy (add'l)	10/16/20	K		
60. Pimco Income Fund Institutional Fund	A	Int./Div.	M	T					
61. Vanguard Index FDS Vanguard Growth formerly Vanguard Index TR Vipers	A	Dividend		T	Sold (part)	03/03/20	K	B	
62. Vanguard Index FDS Vanguard Growth formerly Vanguard Index TR Vipers	A	Dividend		T	Sold (part)	10/16/20	K	D	
63. Vanguard Index FDS Vanguard Growth formerly Vanguard Index TR Vipers	B	Dividend	N	T					
64. Vanguard Index FDS Vanguard Value ETF formerly Vanguard Index TR	B	Dividend	N	T					
65. Vanguard FTSE Developed Market ETF	A	Dividend			Sold (part)	03/03/20	L	A	
66. Vanguard FTSE Developed Market ETF	A	Dividend			Sold	04/09/20	K	A	
67. Vanguard Intl Equity Index FDS FTSE EMR MKT ETF	A	Dividend			Sold	04/09/20	K	A	
68. DFA International Core Equity	A	Dividend			Buy (add'l)	03/13/20	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	

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)
69. DFA International Core Equity	A	Dividend			Sold	04/09/20	M	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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Smith, Thomas B.

Date of Report

06/9/2021

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

Section VII, Investments and Trusts Line 1 is the account in which the investment advisor holds my uninvested cash. According to my investment advisor the name of the account changed from Federated Prime Obligations Trust SH Money Market to Truist Bank Account due to a bank merger. I have attempted, without success, to obtain the date when this occurred.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Smith, Thomas B.

Date of Report

06/9/2021

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/ Thomas B. 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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544