

FINANCIAL DISCLOSURE REPORT FINAL FILING

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, Rebecca B.	2. Court or Organization Eastern District of Virginia	3. Date of Report 05/10/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address United States District Court 600 Granby Street Norfolk, Virginia 23510		
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. Insert signature on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Director	General Douglas MacArthur Foundation, Norfolk, Va
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.	

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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. 2011 _____

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.)*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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. Branch Bank & Trust Co. Bank Account	A	Interest	J	T					
2. Investment Account #1 directing (line 3)									
3. IRA-Brokerage Account #1 holding (lines 4-29)									
4. Schwab Govt. Money Fund	A	Int./Div.	J	T					
5. Hampton Roads Bankshares Inc		None	J	T					
6. Standard & Poor's Midcap 400	A	Int./Div.	J	T					
7. Tr MSCI EAFE Index Fund		None	L	T					
8. Standard & Poor's 500 Depository Receipts Trust	B	Int./Div.	M	T					
9. A T & T Inc New	A	Int./Div.	J	T					
10. Verizon Communications	A	Int./Div.	J	T					
11. IShares MSCI Emrg Mkt Fd		None			Sold	01/31/11	K	A	
12. IShares S & P Sncap Value	A	Int./Div.	J	T					
13. IShares TR Barclays Bond Intermediate	B	Int./Div.	K	T					
14. IShares TR Barclays Fund Aggregate	A	Int./Div.	J	T					
15. IShares Tr Cohen & Steer	B	Int./Div.	J	T					
16. SPDR Trust Unit Sr 1		None	J	T					
17. IShares Barclays Bond (1-3 yr credit bond)		None	K	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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	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. iShares Trust (High Yield Corp)	A	Int./Div.	J	T					
19. Vanguard MSCI Emerging Markets		None	K	T	Buy	01/26/11	K		
20. Taxable Bonds:									
21. Gov't Natl Mtg. Assn Pool 5/15/20 Medium Term Notes		None	J	T					
22. US TSY Inflation Index Notes 7-15-13	A	Int./Div.	J	T					
23. U.S. T-Note 5/31/13	A	Int./Div.	K	T					
24. U.S. T-Note 8/15/12	A	Int./Div.	J	T					
25. U.S. T-Note 8/15/15	A	Int./Div.	J	T					
26. U.S. T-Note 10/31/11		None			Sold	10/31/11	J		
27. Fed Farm CR BK 6/8/17	A	Int./Div.	K	T					
28. Conocophillips 10/15/16	A	Int./Div.	J	T					
29. Amgen 11/15/21	A	Int./Div.	J	T	Buy	11/18/11	J		
30. Farm, [REDACTED] VA		None	N	W					
31. Investment Account #2 directing (line 32)									
32. Brokerage Account #2 holding (lines 33-89)									
33. Schwab Govt Money Fund	A	Int./Div.	K	T					
34. Equities/Stocks:									

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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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35. A T & T Inc.	B	Dividend	K	T					
36. Ace Limited	A	Dividend	J	T					
37. Auto Data Processing	A	Dividend	K	T					
38. Cisco Systems Inc.	A	Dividend	J	T					
39. Dollar Tree Inc.		None	K	T					
40. DuPont E I De Nemours & Co.	A	Dividend	J	T					
41. Duke Energy Corp.	A	Dividend	J	T					
42. Exxon Mobil Corp.	A	Dividend	K	T					
43. General Electric Co.	B	Dividend	K	T					
44. Hampton Roads Bankshares		None	J	T					
45. Hewlett-Packard Company		None			Sold	09/16/11	J	B	
46. Honeywell International	A	Dividend	K	T					
47. Johnson & Johnson	A	Dividend	K	T					
48. J.P. Morgan Chase & Co.	A	Dividend	J	T					
49. Kraft Foods, Inc.	A	Dividend	K	T					
50. Medtronic Inc.	A	Dividend	J	T					
51. Microsoft Corp.	A	Dividend	K	T					

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52. Pepsico Inc.	A	Dividend	K	T					
53. Raytheon Company		None			Sold	09/16/11	J		
54. Tyco International Ltd.		None			Sold	09/19/11	J		
55. Verizon Communications	A	Dividend	J	T					
56. Canadian Natl Ry Co	A	Dividend	J	T					
57. Chesapeake Energy Corp	A	Dividend	J	T					
58. Harris Corporation	A	Dividend	J	T					
59. Home Depot	A	Dividend	J	T					
60. Intel Corp	A	Dividend	J	T					
61. Marathon Oil Corp	A	Dividend	J	T					
62. Proctor & Gamble	A	Dividend	J	T					
63. Travelers Companies	A	Dividend	K	T					
64. Rydex SGI MGD Futures		None	K	T					
65. Vanguard Div Appreciation	B	Dividend	K	T					
66. Chevron Corporation	A	Dividend	K	T					
67. Noble Corp.		None	J	T					
68. Wal-Mart Stores Inc	A	Dividend	J	T					

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69. SPDR Index Shares Fund		None	J	T					
70. Apple Inc		None	K	T	Buy	09/16/11	K		
71. Marathon Pete Corp	A	Dividend	J	T	Spinoff (from line 61)	07/01/11	J		
72. Plum Creek Timber Co		None	J	T	Buy	04/18/11	J		
73. Tax Exempt Bonds:									
74. Arlington Cnty VA 2/1/13		None			Redeemed	02/01/11	K		
75. Bristol, VA 11/1/16	A	Interest	J	T					
76. Chesterfield Cnty 1/15/14		None			Redeemed	01/18/11	J		
77. Fairfax Cnty VA 10/1/11		None			Redeemed	10/11/11	J		
78. Middle Riv. Regl. 5/15/12	A	Interest	K	T					
79. Montgomery Cnty, VA 1/15/11		None			Redeemed	01/18/11	K		
80. Prince William County VA CTF Partn 6/1/15	A	Interest	J	T					
81. Virginia College Bl. 9/1/15	A	Interest	J	T					
82. Virginia College Bl. 4/1/16	A	Interest	K	T					
83. VA Res Auth Infrastructure Rev. Pooled Loan Bond 11/1/14	A	Interest	K	T					
84. Appamattox Cnty Va 05/01/14	A	Interest	K	T					
85. Fairfax Cnty Va ECO 05/15/17	A	Interest	J	T					

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86. Virginia St Hsg 04/01/13		None	J	T					
87. Hanover County VA Eco 04/01/18	A	Interest	K	T	Buy	03/09/11	J		
88. Norfolk Va Arpt Aut 07/01/13	A	Interest	K	T	Buy	04/29/11	K		
89. Virginia St Res Aut 11/01/19	A	Interest	K	T	Buy	05/19/11	K		
90. Wells Fargo	A	Interest	M	T					
91. Rental Property #1, Norfolk, VA	E	Rent	N	W					
92. C.A. Associates, 2%, Norfolk, VA	D	Dividend	K	W					
93. GJF Currituck Beach Associates, NC		None	J	W					
94. IRA - Equi-Vest		None	K	T					
95. Deferred Annuity - Equitable Life Ins. Co.		None	K	T					
96. Holly Holdings, Inc.	D	Interest	N	T					
97. Friends of Cedar Point Country Club	A	Interest	J	T	Buy	06/30/11	J		
98. IRA-Brokerage Acct #3 directing and holding (lines 99-115)									
99. UBS Pace Money Market Investment Fund		None			Sold	10/25/11	J		
100. First Eagle Sogen Global Fund	A	Int./Div.	J	T					
101. Washington Real Estate Investment Fund		None	J	T					
102. Eaton Vance Traditional Worldwide Health Sciences	A	Int./Div.	J	T					

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103. Ivy Small Cap Value Fund	A	Int./Div.	J	T					
104. Matthews China Fund	B	Int./Div.	J	T					
105. Nuveen Tradewinds Global		None	J	T					
106. Oppenheimer Global Opportunities Fund	B	Int./Div.	J	T					
107. Federated Capital Income Fund	B	Int./Div.	J	T					
108. Janus Balanced Fund	A	Int./Div.	J	T					
109. Calvert Income Fund	A	Int./Div.	J	T					
110. Federated Government Income Secs Fund	A	Int./Div.	K	T					
111. Blackrock Global Allocation Fund	A	Int./Div.	J	T					
112. Ivy Asset Strategy Fund	A	Int./Div.	J	T					
113. Tax Exempt Bonds:									
114. VA St Pub Sch Auth 8/1/20		None			Sold	08/11/11	K		
115. Virginia Beach Va Pub Impt 7/15/23	A	Interest	J	T					
116. Brokerage Account #4 directing and holding (lines 117-144)									
117. Resource Management Tax-Free Fund, Inc.	A	Interest	J	T					
118. Equities/Stocks:									
119. iShares Trust Russell 1000 Value Index Fund	A	Dividend	J	T					

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120. IShares Trust Russell 1000 Growth Index Fund	A	Dividend	J	T					
121. IShares Trust Russell Midcap Index Fund		None	J	T					
122. IShares MSCI EAFE Index Fund		None	J	T					
123. Rydex ETF Trust S & P 500	A	Dividend	J	T					
124. Vanguard Intl Equity Index Fd		None	J	T					
125. Vanguard Divid Appreciation ETF	B	Dividend	J	T					
126. IShares Iboxx S Invt Gra De Corporate Bond Fund		None			Sold	09/21/11	J		
127. IShares Barclays 1-3 yr Treas Bond Fund	A	Dividend	K	T					
128. IShares Barclays Tips Bond Fund	A	Dividend	J	T	Buy	09/28/11	J		
129. IShares Barclays MBS Bond Fd		None	J	T					
130. SPDR Barclays Capital Int Term Treasury ETF	B	Dividend	K	T					
131. SPDR Lehman Intl Treas Bond		None			Sold	09/28/11	J		
132. IShares S & P GSCI Commodity Ind		None			Sold	05/17/11	J		
133. Powershares DB Multi Section Commodity		None			Sold	05/17/11	J		
134. IShares Barclays 20+ year Treasury Bd	B	Dividend	K	T					
135. SPDR Ser Trust Nuveen Barclays Cap Short Term Bd		None			Sold	01/25/11	K		
136. SPDR Gold Trust	B	Dividend			Sold	03/25/11	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)
137. Permanent Portfolio Fund Inc.	A	Dividend	J	T					
138. Pimco All Assets		None			Sold	09/22/11	J		
139. First Trust Exchange Traded Fund II	A	Dividend	J	T	Buy	09/28/11	J		
140. Nuveen Gold Value Opportunities	A	Dividend	J	T	Buy	09/28/11	J		
141. SPDR S & P Dividend ETF	A	Dividend	J	T	Buy	09/28/11	J		
142. Arrow Managed Futures		None	J	T	Buy	09/28/11	J		
143. Robeco Boston Partners		None	K	T	Buy	06/27/11	K		
144. iShares Gold Trust ETF		None	J	T	Buy	09/28/11	K		
145. Brokerage Account #5 directing and holding (lines 146-150)									
146. Henrico Cnty Va Econ Auth Res Care 10/1/35	B	Interest	K	T					
147. Virginia Small Business Fing Auth 11/1/21	A	Interest	K	T					
148. Arlington Cnty Va IDA 7/1/31	A	Interest	K	T	Buy	01/12/11	K		
149. Roanoke VA EDA Hosp 71/20	A	Interest	K	T	Buy	03/04/11	K		
150. B B & T Financial Money Market Acct	A	Interest			Closed	03/04/11	J	A	
151. Heritage Bank Account	A	Interest			Closed	04/14/11	M	D	

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/ **Rebecca 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
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