

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 05/13/2016
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 01/01/2015 to 12/31/2015
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.		

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. _____

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.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

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Name of Person Reporting

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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 4-39)									
4. Schwab Govt. Money Fund	A	Int./Div.	K	T					
5. Standard & Poor's Midcap 400 (now IShares S & P 400)	A	Int./Div.	J	T					
6. Verizon Communications	A	Int./Div.			Sold	07/29/15	J	B	
7. IShares TR Bond, now IShares Int Credit Bond	A	Int./Div.	K	T					
8. IShares Core now Ishares Core S & P 500	C	Int./Div.			Sold	07/09/15	J	A	
9. IShares Trust (High Yield Corp)		None			Sold	12/01/15	J	A	
10. IShares Tr Barclays Tips		None			Sold	06/24/15	K	A	
11. Wisdomtree Trust now Wisdomtree Emrg Mkts	A	Int./Div.	K	T					
12. Apple Inc	D	Int./Div.			Sold	07/29/15	K	D	
13. BP PLC ADR		None			Sold	07/29/15	J		
14. IShares S & P 500 Value	C	Int./Div.	M	T					
15. Powershares ETF		None			Sold	06/25/15	J		
16. Vanguard FTSE ETF	A	Int./Div.	K	T					
17. Wisdomtree Small Cap	A	Int./Div.	J	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	

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18. Maingate MLP FD CL I		None			Sold	07/31/15	J		
19. IShares TR Bond		None			Sold	08/07/15	K	A	
20. Vanguard Reit	A	Int./Div.			Sold	07/31/15	J	A	
21. Taxable Bonds:									
22. Gov't Natl Mtg. Assn Pool 5/15/20 Medium Term Notes		None	J	T					
23. U.S. T-Note 8/15/15	A	Int./Div.			Matured	08/15/15	J	A	
24. Fed Farm CR BK 6/8/17	A	Int./Div.	K	T					
25. Conocophillips 10/15/16	A	Int./Div.	J	T					
26. Amgen 11/15/21	A	Int./Div.	J	T					
27. Maryland St Sta 12/15/18		None	J	T					
28. Fla Hurricane 7/1/16	A	Int./Div.	J	T					
29. UST Infl Idx 1/15/21		None	J	T					
30. BP Capital Mkt P 10/1/20		None	J	T					
31. Pfizer Inc. 3/15/19		None	J	T					
32. US Treasury Note 2/15/22	A	Int./Div.	J	T	Buy	06/24/15	J		
33. Altera Corporaltion 11/15/18		None	J	T	Buy	08/04/15	J		
34. Amazon 11/29/17	A	Int./Div.	J	T	Buy	08/07/15	J		

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35. Georgia Power Co 4/15/16		None	J	T	Buy	06/25/15	J		
36. John Deere Capital 9/11/20		None	J	T	Buy	11/03/15	J		
37. Procter & Gamble 8/15/23	A	Int./Div.	J	T	Buy	06/16/15	J		
38. Fairfax County VA 4/1/22		None	J	T	Buy	10/26/15	J		
39. Florida Hurricane 7/1/20		None	J	T	Buy	06/23/15	J		
40. Farm, Dinwiddie Co., VA		None	N	W					
41. Investment Account #2 directing (line 42)									
42. Brokerage Account #2 holding (lines 43-100)									
43. Schwab Govt Money Fund	A	Int./Div.	L	T					
44. Equities/Stocks:									
45. A T & T Inc.	A	Dividend	J	T					
46. Ace Limited	A	Dividend	K	T					
47. Auto Data Processing	A	Dividend	K	T					
48. Cisco Systems Inc.	A	Dividend	K	T					
49. Dollar Tree Inc.		None	K	T					
50. DuPont E I De Nemours & Co.	A	Dividend	K	T					
51. Duke Energy Corp.	A	Dividend	J	T					

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52. Exxon Mobil Corp.	B	Dividend	K	T					
53. General Electric Co.	B	Dividend	L	T					
54. Honeywell International	B	Dividend	L	T					
55. Johnson & Johnson	B	Dividend	K	T					
56. J.P. Morgan Chase & Co.	A	Dividend	K	T					
57. Kraft Foods, Inc name changed to Mondelez on 10/2/12	A	Dividend	K	T					
58. Microsoft Corp.	A	Dividend	K	T					
59. Pepsico Inc.	B	Dividend	K	T					
60. Verizon Communications	A	Dividend	J	T					
61. Canadian Natl Ry Co	A	Dividend	K	T					
62. Home Depot	A	Dividend	K	T					
63. Marathon Oil Corp		None			Sold	03/30/15	J	A	
64. Proctor & Gamble	A	Dividend	J	T					
65. Travelers Companies	A	Dividend	K	T					
66. Vanguard Div Appreciation	A	Dividend	K	T					
67. Chevron Corporation	A	Dividend	J	T					
68. Wal-Mart Stores Inc	A	Dividend	K	T					

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69. Apple Inc	A	Dividend	K	T					
70. Amgen Incorporated	A	Dividend	K	T					
71. BP PLC ADR		None			Sold	10/30/15	J	A	
72. CSX Corp	A	Dividend	J	T					
73. Corning Inc		None			Sold	07/21/15	J	A	
74. McDonalds Corp	A	Dividend	K	T					
75. Kraft FoodsGroup now Kraft Heinz Co.	A	Dividend	J	T					
76. Total S A Adr		None			Sold	07/29/15	J		
77. Deere & Co	A	Dividend	K	T					
78. CDK Global Inc. (spinoff of Auto Data Processing)		None			Sold	04/02/15	J	A	
79. Delta Airlines Inc.	A	Dividend	K	T					
80. Discover Financial SVCS	A	Dividend	J	T					
81. Toyota Motor CP		None	K	T					
82. Aetna Inc.		None	J	T	Buy	06/29/15	J		
83. Gilead Sciences Inc.		None	J	T	Buy	10/30/15	J		
84. Skyworks Solutions	A	Dividend	J	T	Buy	10/30/15	J		
85. Valero Energy Corp.	A	Dividend	J	T	Buy	08/20/15	J		

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86. Wells Fargo & Co.		None	K	T	Buy	07/21/15	K		
87. Tax Exempt Bonds:									
88. Bristol, VA 11/1/16		None			Matured	11/02/15	J		
89. Prince William County VA CTF Partn 6/1/15		None			Matured	06/01/15	J		
90. Virginia College Bl. 9/1/15		None			Matured	09/01/15	J		
91. Virginia College Bl. 4/1/16		None			Redeemed	07/23/15	K		
92. Fairfax Cnty Va ECO 05/15/17	A	Interest	J	T					
93. Hanover County VA Eco 04/01/18	A	Interest	K	T					
94. Virginia St Res Aut 11/01/19	A	Interest	K	T					
95. Richmond Va Met 7/15/22	B	Interest	K	T					
96. Fairfax Co Wtr Au 4/1/21	A	Interest	J	T					
97. Charlottesville Va 7/15/27	A	Interest	J	T	Buy	11/12/15	J		
98. Fairfax Cnty Va Wtr 4/1/20		None	K	T	Buy	01/15/15	K		
99. Falls Church VA 7/15/23		None	K	T	Buy	01/15/15	K		
100. VA CLG BLDG Auth 9/1/17	A	Interest	K	T	Buy	11/30/15	K		
101. Wells Fargo	A	Interest	M	T					
102. Rental Property #1, [REDACTED]	E	Rent	N	W					

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103. C.A. Associates, 2%, Norfolk, VA	D	Dividend	K	W					
104. GJF Currituck Beach Associates, NC		None	J	W					
105. Friends of Cedar Point Country Club		None	J	T					
106. IRA-Brokerage Acct #3 directing and holding (lines 107-141)									
107. UBS Financial Services IRA Partial Dist.	D	Distribution	M	T					
108. Washington Real Estate Investment Fund	A	Int./Div.	J	T					
109. IShares Trust Russell 1000 Value Index	A	Int./Div.	J	T					
110. IShares Trust Russell 1000 Growth Index	B	Int./Div.	J	T					
111. IShares Trust Russell Midcap Value Index	B	Int./Div.	J	T					
112. IShares Trust Russell Midcap Growth Index	B	Int./Div.	J	T					
113. IShares MSCI EAFE Index Fund	A	Int./Div.	J	T					
114. IShares MSCI Emerging Markets Index		None	J	T					
115. Vanguard Index Funds Vanguard Value ETF	B	Int./Div.	J	T					
116. Vanguard Index Funds Vanguard Small Cap	B	Int./Div.	J	T					
117. Vanguard Index Funds Vanguard Growth	B	Int./Div.	J	T					
118. Vanguard REIT ETF	A	Int./Div.	J	T					
119. IShares IBoxx \$ Invt Gra De Corp Fund		None	J	T					

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☐ 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. iShares iBoxx High Yield Corp		None	J	T					
121. SPDR Barclays Capital High Yield ETF		None	J	T					
122. Fed. Govt Income Fund Class A		None	J	T					
123. Lord Abbett Intermediate Tax Fund	A	Int./Div.	K	T					
124. Thornburg Limited Term Fund		None	K	T					
125. Wells Fargo Advantage Intermediate	A	Int./Div.	K	T					
126. Wells Fargo Advantage Municipal Fund	A	Int./Div.	K	T					
127. iShares 7-10 Year Treas Bond ETF	A	Int./Div.	J	T					
128. Blackrock High Yield		None	K	T					
129. Goldman Sachs Strategic Income		None	K	T					
130. Nuveen Symphony Floating		None	K	T					
131. Prudential Short Term Corporate Bond		None	K	T					
132. Virtus Multi-Sector Short Term Bond		None	K	T					
133. AQR Managed Futures Strategy	A	Int./Div.	J	T					
134. iShares 7-10 year treas bond ETF	A	Int./Div.	J	T					
135. Powershares ETF Trust II		None	J	T					
136. Alps/Corecommodity Mangm Complete		None	J	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	

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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. Tax Exempt Bonds:									
138. Virginia Small Business Fing Auth 11/1/21	A	Interest	K	T					
139. Arlington Cnty Va IDA 7/1/31	B	Interest	K	T					
140. Roanoke VA EDA Hosp 7/1/20	C	Interest	K	T					
141. Henrico County Va Econ Auth Res Care 10/1/35		None			Sold	04/09/15	K	A	
142. Brokerage Account #4 directing and holding (lines 143-167)									
143. Resource Management Tax Free Fund (now UBS Bank USA Dep Acct)		None	J	T					
144. Equities/Stocks:									
145. iShares Trust Russell 1000 Value Index Fund	A	Dividend	J	T					
146. iShares Trust Russell 1000 Growth Index Fund	B	Dividend	J	T					
147. iShares Trust Russell Midcap Index Fund	B	Dividend	J	T					
148. iShares MSCI EAFE Index Fund	A	Dividend	J	T					
149. Vanguard Index Funds Vanguard Value	A	Dividend	J	T					
150. Vanguard Index Funds Vanguard Growth	B	Dividend	J	T					
151. iShares IBoxx \$ Invt Gra De Corporate		None	J	T					
152. iShares Barclays Inter CR BD FD (now iShares Inter CR BD FD)		None	J	T					
153. iShares IBoxx High Yield Corp Bond		None			Sold	03/24/15	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)
154. SPDR Barclays Capital High Yield		None			Sold	02/25/15	J	A	
155. AQR Managed Futures Strategy Fund	A	Dividend	K	T					
156. iShares MSCI Emerging Markets		None	J	T					
157. Vanguard Index Funds Vanguard Small Cap	B	Dividend	J	T					
158. iShares Inter Credit Bond		None	J	T					
159. iShares Natl Amt-Free Muni Bond		None	J	T					
160. Market Vectors ETF Trust Inter Municipal		None	K	T					
161. Market Vectors ETF Trust Short Municipal		None	K	T					
162. Market Vectors High Yield Muni ETF		None	K	T					
163. Powershares ETF Trust II		None	J	T					
164. Metropolitan West Total		None	K	T					
165. Alps/Corecommodity mangm		None	J	T					
166. iShares MSCI Japan EFT		None	J	T	Buy	08/12/15	J		
167. iShares US PFD Stock EFT Index		None	J	T	Buy	01/23/15	J		
168. NUZ Investments LLC	C	Distribution	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 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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Washington, D.C. 20544