AO 10
Rev. 1/2017

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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	08/08/2017
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	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2016 **to** 12/31/2016
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.		
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.	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.	2016	State of Alabama Judicial Retirement (Retirement Systems of Alabama)	$58,725.00
2.	2016	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.	2016	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.	08/08/2017

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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
1. U.S. Savings Bonds-Series EE	A	Interest	J	T					
2. Regions Financial Corp. Common	A	Dividend	J	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.	D	Rent (Crop)	P1	W					
6. Farm Rental House: Madison County, Ala.	C	Rent (House)	L	W					
7. Crown Life Ins. - Cash Value	A	Dividend	J	T					
8. Apple, Inc. Common	B	Dividend	M	T					
9. Clorox Co. Common	B	Dividend	K	T					
10. Spouse's § 457(b) Deferred Comp Account (H):									
11. -- American Century Value Fund	C	Dividend	K	T					
12. -- Fidelity Contrafund	C	Dividend	L	T					
13. -- Nationwide Fixed Account	C	Interest	M	T					
14. -- Nationwide Large Cap Growth Fund	A	Dividend	L	T					
15. -- SEI Institutional Managed Trusts S & P 500 Index Fund	A	Dividend	J	T					
16. -- Neuberger Berman Equity Trust	C	Dividend	K	T					
17. Madison Co. AL Retirement Fund	B	Interest	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.	08/08/2017

VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

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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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
18. Am Family Broadcasting Corp (Retirement)		None	J	T					
19. PACT (Ala. Prepaid Affordable College Tuition plan)	A	Interest	K	T					
20. Legg Mason Scholars Choice (Section 529 Plan) All EquityA - No Control	B	Dividend	J	T					
21. Education IRA No. 1 (H):									
22. -- Morgan Stanley Bank NA	A	Interest	J	T					
23. -- Adtran, Inc. Common	A	Dividend			Sold	04/28/16	J	A	
24. -- Facebook Common	A	Dividend	J	T					
25. -- Apple, Inc. Common	A	Dividend	J	T	Buy	04/28/16	J		
26. Education IRA No. 2 (H):									
27. -- Morgan Stanley Bank NA	A	Interest	J	T					
28. -- Adtran, Inc. Common	A	Dividend			Sold	04/28/16	J	A	
29. -- Overstock.Com, Inc. Common		None	J	T					
30. -- Facebook Common	A	Dividend	J	T					
31. Education IRA No. 3 (H):									
32. -- Morgan Stanley Bank N.A.	A	Interest	J	T					
33. -- Adtran, Inc. Common	A	Dividend			Sold	04/28/16	J	A	
34. -- Facebook Common	A	Dividend	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
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35. Education IRA No. 4 (H):									
36. -- Morgan Stanley Bank NA	A	Interest	J	T					
37. -- Adtran, Inc. Common	A	Dividend			Sold	04/28/16	J	A	
38. -- Overstock.Com, Inc. Common		None	J	T					
39. -- Facebook Common	A	Dividend	J	T					
40. -- NRG Yield, Inc. Common	A	Dividend	J	T	Buy	04/28/16	J		
41. Coca Cola Bottling Co. Common	A	Dividend	J	T					
42. Trust No. 1 (H):	A	Dividend	K	T					
43. -- Morgan Stanley Bank NA	A	Interest	J	T					
44. -- Franklin Federal Tax Free Income FD Class A	A	Interest	K	T					
45. Vanguard Age-Based Aggressive Growth (Section 529 Plan aka Upromise)	A	Dividend	K	T					
46. Adtran, Inc. Common	A	Dividend			Sold	04/28/16	J	A	
47. Walt Disney Common	A	Dividend	K	T					
48. Education IRA No. 5 (H):									
49. -- Morgan Stanley Bank NA	A	Interest	J	T					
50. -- Facebook Common	A	Dividend	J	T					
51. -- NRG Yield, Inc. Common	A	Dividend	J	T	Buy	04/28/16	J		

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52. Trust No. 2 (H):									
53. -- Morgan Stanley Bank NA	A	Interest	K	T					
54. -- Facebook Common	A	Dividend	K	T					
55. -- Illumina Inc. Common		None	J	T	Buy	04/28/16	J		
56. -- Apple Inc. Common	A	Dividend	J	T	Buy	04/28/16	J		
57. -- NRG Yield Inc. Common	A	Dividend	J	T	Buy	04/28/16	J		
58. Facebook Common	A	Dividend	J	T					
59. Alabama College Counts 529 Plan (H):									
60. -- Vanguard Growth Index Fund	B	Dividend	K	T	Sold (part)	09/01/16	J	B	
61. Educational IRA No. 6 (H):									
62. -- Morgan Stanley Bank NA	A	Interest	J	T					
63. --NRG Yield Inc. Common	A	Dividend	J	T	Buy	04/28/16	J		
64. Roth IRA (H):									
65. -- Morgan Stanley Bank NA	A	Interest	K	T	Sold (part)	12/13/16	J	B	Mandatory Age Distribution
66. -- Facebook Inc. Common	A	Dividend	J	T					
67. -- Franklin Income A	A	Interest	K	T					
68. -- Apple Inc. Common	A	Dividend	J	T	Buy	04/28/16	J		

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69. -- NRG Yield Inc.	A	Dividend	J	T	Buy	04/28/16	J		
70. Spouse's Traditional IRA (Rollover from § 457(b) Plan) (H):									
71. -- Sterne Agee Insured Deposit Program	A	Interest	K	T					
72. -- Valley View Place LLC		None	M	T					
73. Bryant Bank Account	A	Interest	M	T					
74. Regions Bank Account		None	J	T					
75. NRG Yield Inc. Common	A	Dividend	J	T	Buy	04/28/16	J		
76. Roth IRA No. 2 (H) (X):									
77. -- Morgan Stanley Bank NA	A	Interest	J	T					

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

Name of Person Reporting	Date of Report
Smith, Jr., Charles L.	08/08/2017

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
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One Columbus Circle, N.E.
Washington, D.C. 20544