

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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, George C.	2. Court or Organization United States District Court, Southern District of Ohio	3. Date of Report 04/18/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address Honorable George C. Smith United States District Court 85 Marconi Boulevard, Room 101 Columbus, OH 43215		
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.		
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Smith, George C.

Date of Report

04/18/2018

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. 2017	Pension, Public Employees Retirement System	\$90,963.98
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.	
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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Smith, George C.

Date of Report

04/18/2018

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, George C.

Date of Report

04/18/2018

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. Fifth Third Bank, Columbus, OH	A	Interest	K	T					
2. Reassure America Life Ins. Co. Ft. Wayne, IN	A	Dividend	K	T					
3. East Liberty Quarry & Farm, East Liberty, OH	D	Rent	M	W					
4. Merrill Lynch Trust- American Balanced Fund	A	Interest	K	T					
5. Huntington National Bank	A	Interest	J	T					
6. New England Fin. Met Life Co. Var. Flex Life Cash Value	C	Dividend	K	T					
7. Ohio State Higher Ed., Common Rev. Hosp.	A	Interest			Redeemed	01/17/17	J	A	
8. Sidney, Ohio Var. Purp. GO Bonds	A	Interest	K	T					
9. Allen Co. Hospital Facility	A	Interest	J	T					
10. Butler County OH Hosp. Fac.	A	Interest	K	T					
11. N Ridgeville City Schools	A	Interest	J	T					
12. Montgomery Co. OH Trans. Bonds, Austin Rd. Interchange	A	Interest	J	T					
13. State of Ohio Hospital Revenue Bond (Univ. Hospitals Health Sys. Inc.	A	Int./Div.			Redeemed	01/17/17	J	A	
14. Franklin Cnty OH Rev Trinity Hlth CR GRP	A	Int./Div.			Buy	01/24/17	J		
15. Franklin Cnty OH Rev Trinity Hlth CR GRP	A	Int./Div.			Sold	06/06/17	J	A	
16. Lucas Cnty OH Hosp Rev Promedica HC	A	Int./Div.			Buy	01/24/17	J		
17. Lucas Cnty OH Hosp Rev Promedica HC	A	Int./Div.			Sold	06/06/17	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Smith, George C.

Date of Report

04/18/2018

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. Allergan PLC	A	Int./Div.	J	T	Buy	12/18/17	J		
19. Alphabet Inc. Non Voting Cap Stk CL C	A	Int./Div.	J	T	Buy	12/18/17	J		
20. Apple Inc.	A	Int./Div.	J	T	Buy	12/18/17	J		
21. Berkshire Hathaway Inc.	A	Int./Div.	J	T	Buy	12/18/17	J		
22. CVS Health Corporation	A	Int./Div.	J	T	Buy	12/18/17	J		
23. Cisco Systems Inc.	A	Int./Div.	J	T	Buy	12/18/17	J		
24. Disney Walt Company	A	Int./Div.	J	T	Buy	12/18/17	J		
25. Expeditors Intl Wash Inc	A	Int./Div.	J	T	Buy	12/18/17	J		
26. Exxon Mobile Corp	A	Int./Div.	J	T	Buy	12/18/17	J		
27. Fastenal Co	A	Int./Div.	J	T	Buy	12/18/17	J		
28. General Electric Company	A	Int./Div.	J	T	Buy	12/18/17	J		
29. Harley Davidson Inc.	A	Int./Div.	J	T	Buy	12/18/17	J		
30. Home Depot Inc.	A	Int./Div.	J	T	Buy	12/18/17	J		
31. International Business Machine Corp.	A	Int./Div.	J	T	Buy	12/18/17	J		
32. Johnson & Johnson	A	Int./Div.	J	T	Buy	12/18/17	J		
33. Johnson & Johnson	A	Int./Div.	J	T	Sold (part)	12/20/17	J	A	
34. Microsoft Corp	A	Int./Div.	J	T	Buy	12/18/17	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Smith, George C.

Date of Report

04/18/2018

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. Microsoft Corp	A	Int./Div.	J	T	Sold (part)	12/20/17	J	A	
36. JPMorgan Chase & Co	A	Int./Div.	J	T	Buy	12/18/17	J		
37. Northern Trust Corp	A	Int./Div.	J	T	Buy	12/18/17	J		
38. O'Reilly Automotive Inc	A	Int./Div.	J	T	Buy	12/18/17	J		
39. Omnicom Group	A	Int./Div.	J	T	Buy	12/18/17	J		
40. Omnicom Group	A	Int./Div.	J	T	Sold (part)	12/20/17	J	A	
41. Pfizer Incorporated	A	Int./Div.	J	T	Buy	12/18/17	J		
42. Pfizer Incorporated	A	Int./Div.	J	T	Sold (part)	12/20/17	J	A	
43. Progressive Corp Ohio	A	Int./Div.	J	T	Buy	12/18/17	J		
44. TJX Cos Inc New	A	Int./Div.	J	T	Buy	12/18/17	J		
45. TE Connectivity Ltd	A	Int./Div.	J	T	Buy	12/18/17	J		
46. TE Connectivity Ltd	A	Int./Div.	J	T	Sold (part)	12/20/17	J	A	
47. Union Pacific Corp	A	Int./Div.	J	T	Buy	12/18/17	J		
48. Union Pacific Corp	A	Int./Div.	J	T	Sold (part)	12/20/17	J	A	
49. US Bancorp New	A	Int./Div.	J	T	Buy	12/18/17	J		
50. US Bancorp New	A	Int./Div.	J	T	Sold (part)	12/20/17	J	A	
51. Vanguard Intl Equity Etf Index FDS Ftse Emerging Mkts Etf	A	Int./Div.	J	T	Buy	12/18/17	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Smith, George C.

Date of Report

04/18/2018

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. Vanguard Intl Equity Etf Index FDS Ftse Emerging Mkts Etf	A	Int./Div.	J	T	Sold (part)	12/20/17	J	A	
53. Vanguard Reit Etf	A	Int./Div.	J	T	Buy	12/18/17	J		
54. Vanguard Small Cap Etf	A	Int./Div.	J	T	Buy	12/18/17	J		
55. Vanguard FTSE Etf Developed Markets Etf	A	Int./Div.	J	T	Buy	12/18/17	J		
56. Vanguard FTSE Etf Developed Markets Etf	A	Int./Div.	J	T	Sold (part)	12/20/17	J	A	
57. Wells Fargo & Co New	A	Int./Div.	J	T	Buy	12/18/17	J		
58. Wells Fargo & Co New	A	Int./Div.	J	T	Sold (part)	12/20/17	J	A	
59. Ishares Core S&P Small-Cap Etf De	A	Int./Div.	J	T	Buy	10/12/17	J		
60. Ishares MSCI EAFE Etf De	A	Int./Div.	J	T	Buy	10/12/17	J		
61. Ishares IBOXX \$ Invst Grade Corporate Bond Etf De	A	Int./Div.	J	T	Buy	10/12/17	J		
62. Ishares US Credit Bond Etf De	A	Int./Div.	K	T	Buy	10/12/17	K		
63. Ishares JP Morgan USD Emerging Markets Bond Etf	A	Int./Div.	K	T	Buy	10/12/17	K		
64. Ishares US Treasury Bond Etf De	A	Int./Div.	J	T	Buy	10/12/17	K		
65. Ishares US Treasury Bond Etf De	A	Int./Div.	J	T	Sold (part)	12/19/17	J	A	
66. Ishares Core MSCI EAFE Etf De	A	Int./Div.	J	T	Buy	10/12/17	J		
67. PIMCO Enhanced Short Mat Active Exchange-Traded FD De	A	Int./Div.	J	T	Buy	10/12/17	J		
68. SPDR Bloomberg Barclays High Yield Bond Etf De	A	Int./Div.	J	T	Buy	10/12/17	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

Smith, George C.

Date of Report

04/18/2018

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)

69. Vanguard Value Etf De	A	Int./Div.	J	T	Buy	10/12/17	J		
70. Vanguard Mid-Cap Etf De	A	Int./Div.	J	T	Buy	10/12/17	J		
71. Vanguard Growth Etf De	A	Int./Div.	J	T	Buy	10/12/17	J		
72. Vanguard Total World Stk Etf De	A	Int./Div.	J	T	Buy	10/12/17	J		
73. Vaneck Vectors JP Morgan EM Local Currency Bond Etf De	A	Int./Div.	J	T	Buy	10/12/17	J		
74.									

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, George C.

Date of Report

04/18/2018

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Smith, George C.

Date of Report

04/18/2018

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/ George C. 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