

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) Smith, Rebecca B.	2. Court or Organization Eastern District of Virginia	3. Date of Report 05/12/2017
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 01/01/2016 to 12/31/2016
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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Name of Person Reporting

Smith, Rebecca B.

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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.)*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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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 4-34)									
4. Schwab Govt. Money Fund	A	Int./Div.	L	T					
5. Standard & Poor's Midcap 400 (now IShares S & P 400)	A	Int./Div.	J	T					
6. IShares TR Bond, now IShares Int Credit Bond	A	Int./Div.	K	T					
7. Wisdomtree Trust now Wisdomtree Emrg Mkts	A	Int./Div.	K	T					
8. IShares S & P 500 Value	B	Int./Div.	L	T					
9. Vanguard FTSE ETF	B	Int./Div.	K	T					
10. Wisdomtree Small Cap	A	Int./Div.	J	T					
11. Taxable Bonds:									
12. Gov't Natl Mtg. Assn Pool 5/15/20 Medium Term Notes	A	Int./Div.	J	T					
13. Fed Farm CR BK 6/8/17	A	Int./Div.	K	T					
14. Conocophillips 10/15/16	A	Int./Div.			Matured	10/15/16	J	A	
15. Amgen 11/15/21	A	Int./Div.	J	T					
16. Maryland St Sta 12/15/18	A	Int./Div.	J	T					
17. Fla Hurricane 7/1/16		None			Matured	07/01/16	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 = \$250,000,001 - \$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. UST Infl Idx 1/15/21		None	J	T					
19. BP Capital Mkt P 10/1/20	A	Int./Div.	J	T					
20. Pfizer Inc. 3/15/19		None			Redeemed	12/15/16	J	A	
21. US Treasury Note 2/15/22	A	Int./Div.	J	T					
22. Altera Corporaltion 11/15/18	A	Int./Div.	J	T					
23. Amazon 11/29/17	A	Int./Div.	J	T					
24. Georgia Power Co 4/15/16		None			Matured	04/15/16	J	A	
25. John Deere Capital 9/11/20	A	Int./Div.	J	T					
26. Procter & Gamble 8/15/23	A	Int./Div.	J	T					
27. Fairfax County VA 4/1/22	A	Int./Div.	J	T					
28. Florida Hurricane 7/1/20	A	Int./Div.	J	T					
29. US Treasury NT (5/15/21)	A	Int./Div.	J	T	Buy	08/23/16	J		
30. US Treasury NT (11/15/23)	A	Int./Div.	J	T	Buy	05/18/16	J		
31. US Treasury NT (2/15/24)	A	Int./Div.	J	T	Buy	11/16/16	J		
32. Tennessee Valley Authority (4/1/18)	A	Int./Div.	J	T	Buy	07/28/16	J		
33. Oracle Corporation (7/8/19)	A	Int./Div.	J	T	Buy	12/15/16	J		
34. Microsoft Corp. (2/12/22)	A	Int./Div.	J	T	Buy	06/02/16	J		

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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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Farm, [REDACTED]		None	N	W					
36. Investment Account #2 directing (line 37)									
37. Brokerage Account #2 holding (lines 38-95)									
38. Schwab Govt Money Fund	A	Int./Div.	K	T					
39. Equities/Stocks:									
40. A T & T Inc.	A	Dividend	J	T					
41. Ace Limited (name change to Chubb Ltd on 1/19/16)	A	Dividend	K	T					
42. Auto Data Processing	A	Dividend	K	T					
43. Cisco Systems Inc.	A	Dividend	K	T					
44. Dollar Tree Inc.		None	K	T					
45. DuPont E I De Nemours & Co.	A	Dividend	K	T					
46. Duke Energy Corp.	A	Dividend	J	T					
47. Exxon Mobil Corp.	B	Dividend	K	T					
48. General Electric Co.	B	Dividend	L	T					
49. Honeywell International	B	Dividend	L	T					
50. Johnson & Johnson	B	Dividend	K	T					
51. J.P. Morgan Chase & Co.	A	Dividend	K	T					

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52. Kraft Foods, Inc name changed to Mondelez on 10/2/12	A	Dividend	K	T					
53. Microsoft Corp.	A	Dividend	K	T					
54. Pepsico Inc.	A	Dividend	K	T					
55. Verizon Communications	A	Dividend	J	T					
56. Canadian Natl Ry Co	A	Dividend	K	T					
57. Home Depot	A	Dividend	K	T					
58. Proctor & Gamble	A	Dividend	J	T					
59. Travelers Companies	A	Dividend	K	T					
60. Vanguard Div Appreciation	A	Dividend	K	T					
61. Chevron Corporation	A	Dividend	J	T					
62. Wal-Mart Stores Inc	A	Dividend	K	T					
63. Apple Inc	A	Dividend	K	T					
64. Amgen Incorporated	A	Dividend	K	T					
65. CSX Corp	A	Dividend			Sold	01/13/16	J	A	
66. McDonalds Corp	A	Dividend	K	T					
67. Kraft FoodsGroup now Kraft Heinz Co.	A	Dividend	K	T					
68. Deere & Co		None			Sold	04/07/16	K	A	

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69. Delta Airlines Inc.	A	Dividend	K	T					
70. Discover Financial SVCS	A	Dividend	J	T					
71. Toyota Motor CP		None			Sold	04/07/16	K	A	
72. Aetna Inc.	A	Dividend	J	T					
73. Gilead Sciences Inc.		None			Sold	07/01/16	J	A	
74. Skyworks Solutions	A	Dividend	J	T					
75. Valero Energy Corp.	A	Dividend	J	T					
76. Wells Fargo & Co.		None			Sold	11/16/16	K	A	
77. Adobe Systems Inc.	B	Dividend	K	T	Buy	04/07/16	K		
78. Alphabet Inc.	A	Dividend	J	T	Buy	02/01/16	K		
79. Starbucks Corp	A	Dividend	K	T	Buy	04/07/16	K		
80. Stryker Corp	A	Dividend	J	T	Buy	07/01/16	J		
81. Unitedhealth Grp Inc.	A	Dividend	K	T	Buy	10/10/16	K		
82. Walt Disney Co	A	Dividend	K	T	Buy	11/29/16	K		
83. Vanguard Ftse Developed	A	Dividend	J	T	Buy	02/01/16	J		
84. Tax Exempt Bonds:									
85. Fairfax Cnty Va ECO 05/15/17	A	Interest	J	T					

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86. Hanover County VA Eco 04/01/18	A	Interest	K	T					
87. Virginia St Res Aut 11/01/19	A	Interest	K	T					
88. Richmond Va Met 7/15/22	B	Interest	K	T					
89. Fairfax Co Wtr Au 4/1/21	A	Interest	J	T					
90. Charlottesville Va 7/15/27	A	Interest	J	T					
91. Fairfax Cnty Va Wtr 4/1/20	A	Interest	K	T					
92. Falls Church VA 7/15/23	A	Interest	K	T					
93. VA CLG BLDG Auth 9/1/17	B	Interest	K	T					
94. VA St Pub Sch Auth (12/1/21)	B	Interest	K	T	Buy	11/29/16	K		
95. Poquoson VA (2/15/27)	A	Interest	K	T	Buy	06/07/16	K		
96. Wells Fargo	A	Interest	M	T					
97. Rental Property #1, Norfolk, VA	E	Rent	N	W					
98. C.A. Associates, 2%, Norfolk, VA	D	Dividend	K	W					
99. GJF Currituck Beach Associates, NC		None			Closed	12/31/16	J	A	
100. Friends of Cedar Point Country Club		None	J	T					
101. IRA-Brokerage Acct #3 directing and holding (lines 102-136									
102. UBS Financial Services IRA Partial Dist.	D	Distribution	M	T					

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103. Washington Real Estate Investment Fund	A	Int./Div.	K	T					
104. iShares Trust Russell 1000 Value Index	A	Int./Div.	J	T					
105. iShares Trust Russell 1000 Growth Index	B	Int./Div.			Sold	01/29/16	J	B	
106. iShares Trust Russell Midcap Value Index	B	Int./Div.	J	T					
107. iShares Trust Russell Midcap Growth Index	B	Int./Div.	J	T					
108. iShares MSCI EAFE Index Fund	A	Int./Div.	J	T					
109. iShares MSCI Emerging Markets Index		None	J	T					
110. Vanguard Index Funds Vanguard Value ETF	B	Int./Div.	J	T					
111. Vanguard Index Funds Vanguard Small Cap	B	Int./Div.	J	T					
112. Vanguard Index Funds Vanguard Growth	B	Int./Div.	J	T					
113. Vanguard REIT ETF	A	Int./Div.	J	T					
114. iShares iBoxx \$ Invt Gra De Corp Fund		None	J	T					
115. iShares iBoxx High Yield Corp		None			Sold	01/29/16	J	A	
116. SPDR Barclays Capital High Yield ETF		None			Sold	01/29/16	J	A	
117. Fed. Govt Income Fund Class A		None	J	T					
118. Lord Abbett Intermediate Tax Fund		None	K	T					
119. Thornburg Limited Term Fund		None	K	T					

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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		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. Wells Fargo Advantage Intermediate		None	K	T					
121. Wells Fargo Advantage Municipal Fund	A	Int./Div.	K	T					
122. iShares 7-10 Year Treas Bond ETF		None	J	T					
123. Blackrock High Yield		None	K	T					
124. Goldman Sachs Strategic Income		None	K	T					
125. Nuveen Symphony Floating		None	K	T					
126. Prudential Short Term Corporate Bond		None	K	T					
127. Virtus Multi-Sector Short Term Bond		None	K	T					
128. AQR Managed Futures Strategy	A	Int./Div.	J	T					
129. iShares 7-10 year treas bond ETF		None	J	T					
130. Powershares ETF Trust II		None			Sold	01/29/16	J	A	
131. Alps/Corecommodity Mangm Complete		None	J	T					
132. iShares Tips Bond ETF		None	J	T	Buy	11/01/16	J		
133. Tax Exempt Bonds:									
134. Virginia Small Business Fing Auth 11/1/21	A	Interest	K	T					
135. Arlington Cnty Va IDA 7/1/31	B	Interest	K	T					
136. Roanoke VA EDA Hosp 7/1/20	C	Interest	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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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. Brokerage Account #4 directing and holding (lines 138-162)									
138. Resource Management Tax Free Fund (now UBS Bank USA Dep Acct)		None	J	T					
139. Equities/Stocks:									
140. iShares Trust Russell 1000 Value Index Fund	A	Dividend			Sold	01/29/16	J	A	
141. iShares Trust Russell 1000 Growth Index Fund	B	Dividend	J	T					
142. iShares Trust Russell Midcap Index Fund	B	Dividend	J	T					
143. iShares MSCI EAFE Index Fund		None	J	T					
144. Vanguard Index Funds Vanguard Value	A	Dividend	J	T					
145. Vanguard Index Funds Vanguard Growth	B	Dividend	J	T					
146. iShares iBoxx \$ Invt Gra De Corporate		None	J	T					
147. iShares Barclays Inter CR BD FD (now iShares Inter CR BD FD)		None	J	T					
148. AQR Managed Futures Strategy Fund		None	J	T					
149. iShares MSCI Emerging Markets		None	J	T					
150. Vanguard Index Funds Vanguard Small Cap	B	Dividend	J	T					
151. iShares Inter Credit Bond		None	J	T					
152. iShares Natl Amt-Free Muni Bond		None	J	T					
153. Market Vectors ETF Trust Inter Municipal (now Vaneck Vectors)		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 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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Smith, Rebecca B.

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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. Market Vectors ETF Trust Short Municipal (now Vaneck Vectors)		None	K	T					
155. Market Vectors High Yield Muni ETF (now Vaneck Vectors)		None	K	T					
156. Powershares ETF Trust II (now Powershares Senior Ln)		None	J	T					
157. Metropolitan West Total	A	Dividend	K	T					
158. Alps/Corecommodity mangm		None	J	T					
159. iShares MSCI Japan EFT		None			Sold	11/28/16	J	A	
160. iShares US PFD Stock EFT Index		None	J	T					
161. SPDR Euro Stoxx 50 ETF	A	Dividend	J	T	Buy	01/29/16	J		
162. Pimco Total Return Active ETF		None	J	T	Buy	01/29/16	J		
163. NUZ Investments LLC	B	Distribution			Sold	06/06/16	K	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	
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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
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