

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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, LISA M.	2. Court or Organization U.S.DISTRICT COURT, SDNY	3. Date of Report 06/12/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. MAGISTRATE JUDGE FULL TIM	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address UNITED STATES COURTHOUSE 300 QUARROPAS STREET WHITE PLAINS, NY 10601		
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Custodian	On behalf of minor child #1's Stifel Nicolaus Investment Accounts
2.	Custodian	On behalf of minor child #2's Stifel Nicolaus Investment Accounts
3.	Custodian	On behalf of minor child #1's New York's College Savings Program
4.	Custodian	On behalf of minor child #2's New York's College Savings Program
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2013	Pace University School of Law for teaching	\$9,735.03
2. 2013	Self Employment (published article)	\$4,000.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2013	Wages from Ridgefield Hardware Co., Ridgefield, CT
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.				

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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.		

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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. Fidelity NY Municipal Money Market Fund	A	Dividend	J	T					
2. Fidelity IRA (Puritan Fund)	A	Dividend	K	T					
3. Fidelity IRA (Fidelity Fund)	A	Dividend	J	T					
4. Fidelity IRA (Cash Reserves)	A	Dividend	J	T					
5. Webster Bank, Wilton CT -Savings account		None			Closed	12/31/13	J		
6. Webster Bank, Wilton CT -- Checking Account		None	L	T					
7. Fidelity Growth and Income Fund	A	Dividend	J	T	Buy (add'l)	04/05/13	J		
8. Fidelity Growth and Income Fund	A	Dividend	J	T	Buy (add'l)	07/05/13	J		
9. Fidelity Growth and Income Fund	A	Dividend	J	T	Buy (add'l)	10/07/13	J		
10. Fidelity Growth and Income Fund	A	Dividend	J	T	Buy (add'l)	12/16/13	J		
11. Fidelity Growth and Income Fund	A	Distribution	J	T	Buy (add'l)	12/16/13	J		
12. Fidelity Dividend Growth Fund	A	Distribution	J	T	Buy (add'l)	09/09/13	J		
13. Fidelity Dividend Growth Fund	A	Distribution	J	T	Buy (add'l)	09/09/13	J		
14. Fidelity Dividend Growth Fund	A	Dividend	J	T	Buy (add'l)	09/09/13	J		
15. Fidelity Dividend Growth Fund	A	Distribution	J	T	Buy (add'l)	12/16/13	J		
16. Fidelity Dividend Growth Fund	A	Distribution	J	T	Buy (add'l)	12/16/13	J		
17. Fidelity Dividend Growth Fund	A	Dividend	J	T	Buy (add'l)	12/16/13	J		

1. Income Gain Codes:	A ~\$1,000 or less (See Columns B1 and D4)	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	F ~\$50,001 - \$100,000 J ~\$15,000 or less (See Columns C1 and D3)	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes	N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	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.)

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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)

18. HSBC IRA (T. Rowe Price Dividend Growth Fund)	A	Dividend	J	T					
19. HSBC, White Plains, NY		None	J	T					
20. Cisco Systems Common Stock	A	Dividend	J	T	Buy (add'l)	04/24/13	J		
21. Cisco Systems Common Stock	A	Dividend	J	T	Buy (add'l)	07/24/13	J		
22. Cisco Systems Common Stock	A	Dividend	J	T	Buy (add'l)	10/23/13	J		
23. Century Link Communications Common Stock	A	Dividend	J	T	Buy (add'l)	03/22/13	J		
24. Century Link Communications Common Stock	A	Dividend	J	T	Buy (add'l)	06/14/13	J		
25. Century Link Communications Common Stock	A	Dividend	J	T	Buy (add'l)	09/19/13	J		
26. Century Link Communications Common Stock	A	Dividend	J	T	Buy (add'l)	12/06/13	J		
27. Walt Disney Common Stock		None	J	T					
28. Long Island Power Auth. N.Y. Elec. Systems Bonds		None	K	T					
29. Nassau Co. N.Y. Ind'l. Dev. Agency Bonds		None	K	T					
30. Municipal Assistance Corp. For City of Troy, N.Y. Bonds		None	K	T					
31. Long Island Power Auth. Bonds		None	J	T					
32. Stifel Nicolaus IRA money market	A	Dividend	J	T					
33. Stifel Nicolaus investment account money market	A	Dividend	J	T					
34. Fidelity Custodial Acc't for minor child #1 (cash account)	A	Interest			Closed	07/18/13	K		

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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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. Stifel Nicolaus Custodial Acc't for minor child #1 (cash account)	A	Interest	K	T	Open	07/18/13	K		
36. Fidelity Custodial Acc't for minor child #2 (cash account)	A	Interest			Closed	07/18/13	J		
37. Fidelity Custodial Acc't for minor child #2 (cash account)	A	Interest	J	T	Open	07/18/13	J		
38. General Electric common stock	A	Dividend	J	T	Buy (add'l)	01/25/13	J		
39. General Electric common stock	A	Dividend	J	T	Buy (add'l)	04/25/13	J		
40. General Electric common stock	A	Dividend	J	T	Buy (add'l)	07/25/13	J		
41. General Electric common stock	A	Dividend	J	T	Buy (add'l)	10/25/13	J		
42. Citigroup common stock	A	Dividend	J	T	Buy (add'l)	02/22/13	J		
43. Citigroup common stock	A	Dividend	J	T	Buy (add'l)	05/24/13	J		
44. Citigroup common stock	A	Dividend	J	T	Buy (add'l)	08/23/13	J		
45. Citigroup common stock	A	Dividend	J	T	Buy (add'l)	11/22/13	J		
46. Pfizer common stock	A	Dividend	J	T					
47. Fidelity Unique Coll. Inv. Plan 2015		None	J	T					
48. Fidelity Unique Coll. Inv. Plan 2018		None	J	T					
49. NY College Savgs Prgrm A/C Mod Age Based Option: Conserv Gr		None	J	T					
50. NY College Savgs Prgrm A/C Mod Age Based Option: Mod Growth		None	J	T					
51. Capital One Financial Corp Common Stock	A	Dividend	J	T	Buy (add'l)	02/22/13	J		

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52. Capital One Financial Corp Common Stock	A	Dividend	J	T	Buy (add'l)	05/23/13	J		
53. Capital One Financial Corp Common Stock	A	Dividend	J	T	Buy (add'l)	08/15/13	J		
54. Capital One Financial Corp Common Stock	A	Dividend	J	T	Buy (add'l)	11/21/13	J		
55. Citadel Broadcasting Corp. common stock		None	J	T					
56. Freeport McMoran Copper & Gold, Inc. Common Stock	A	Dividend	J	T	Buy (add'l)	02/01/13	J		
57. Freeport McMoran Copper & Gold, Inc. Common Stock	A	Dividend	J	T	Buy (add'l)	05/01/13	J		
58. Freeport McMoran Copper & Gold, Inc. Common Stock	A	Dividend	J	T	Buy (add'l)	07/01/13	J		
59. Freeport McMoran Copper & Gold, Inc. Common Stock	A	Dividend	J	T	Buy (add'l)	08/01/13	J		
60. Freeport McMoran Copper & Gold, Inc. Common Stock	A	Dividend	J	T	Buy (add'l)	11/01/13	J		
61. Aim Invesco Intermediate Term Muni Income Fund Class Y	A	Dividend	K	T	Buy (add'l)	01/03/13	J		Stifel Inv't a/c
62. Aim Invesco Intermediate Term Muni Income Fund Class Y	A	Dividend	K	T	Buy (add'l)	02/04/13	J		Stifel Inv't a/c
63. Aim Invesco Intermediate Term Muni Income Fund Class Y	A	Dividend	K	T	Buy (add'l)	03/04/13	J		Stifel Inv't a/c
64. Aim Invesco Intermediate Term Muni Income Fund Class Y	A	Dividend	K	T	Buy (add'l)	04/02/13	J		Stifel Inv't a/c
65. Aim Invesco Intermediate Term Muni Income Fund Class Y	A	Dividend	K	T	Buy (add'l)	05/02/13	J		Stifel Inv't a/c
66. Aim Invesco Intermediate Term Muni Income Fund Class Y	A	Dividend	K	T	Buy (add'l)	06/04/13	J		Stifel Inv't a/c
67. Aim Invesco Intermediate Term Muni Income Fund Class Y	A	Dividend	K	T	Buy (add'l)	06/14/13	J		Stifel Inv't a/c
68. Aim Invesco Intermediate Term Muni Income Fund Class Y	A	Dividend	K	T	Buy (add'l)	07/02/13	J		Stifel Inv't a/c

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69. Aim Invesco Intermediate Term Muni Income Fund Class Y	A	Dividend	K	T	Buy (add'l)	08/02/13	J		Stifel Inv't a/c
70. Aim Invesco Intermediate Term Muni Income Fund Class Y	A	Dividend	K	T	Buy (add'l)	09/04/13	J		Stifel Inv't a/c
71. Aim Invesco Intermediate Term Muni Income Fund Class Y	A	Dividend	K	T	Buy (add'l)	09/25/13	J		Stifel Inv't a/c
72. Aim Invesco Intermediate Term Muni Income Fund Class Y	A	Dividend	K	T	Buy (add'l)	10/02/13	J		Stifel Inv't a/c
73. Aim Invesco Intermediate Term Muni Income Fund Class Y	A	Dividend	K	T	Buy (add'l)	11/04/13	J		Stifel Inv't a/c
74. Aim Invesco Intermediate Term Muni Income Fund Class Y	A	Dividend	K	T	Buy (add'l)	12/03/13	J		Stifel Inv't a/c
75. Artisan Funds Mid Cap Value	A	Distribution	J	T	Sold (part)	04/18/13	J	A	Stifel Inv't a/c
76. Artisan Funds Mid Cap Value	A	Distribution	J	T	Sold (part)	09/25/13	J	A	Stifel Inv't a/c
77. Artisan Funds Mid Cap Value	A	Distribution	J	T	Buy (add'l)	11/25/13	J		Stifel Inv't a/c
78. Artisan Funds Mid Cap Value	A	Distribution	J	T	Buy (add'l)	11/25/13	J		Stifel Inv't a/c
79. Artisan Funds Mid Cap Value	A	Dividend	J	T	Buy (add'l)	11/25/13	J		Stifel Inv't a/c
80. Columbia Funds Marsico Growth Fund	A	Dividend			Sold	06/14/13	J	C	Stifel Inv't a/c
81. DWS Municipal Trust Strategic High Yield	A	Dividend			Buy (add'l)	01/28/13	J		Stifel Inv't a/c
82. DWS Municipal Trust Strategic High Yield	A	Dividend			Buy (add'l)	02/25/13	J		Stifel Inv't a/c
83. DWS Municipal Trust Strategic High Yield	A	Dividend			Buy (add'l)	03/25/13	J		Stifel Inv't a/c
84. DWS Municipal Trust Strategic High Yield	A	Dividend			Buy (add'l)	04/25/13	J		Stifel Inv't a/c
85. DWS Municipal Trust Strategic High Yield	A	Dividend			Buy (add'l)	05/28/13	J		Stifel Inv't a/c

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86. DWS Municipal Trust Strategic High Yield	A	Dividend			Buy (add'l)	06/14/13	J		Stifel Inv't a/c
87. DWS Municipal Trust Strategic High Yield	A	Dividend			Buy (add'l)	06/25/13	J		Stifel Inv't a/c
88. DWS Municipal Trust Strategic High Yield	A	Dividend			Buy (add'l)	07/03/13	J		Stifel Inv't a/c
89. DWS Municipal Trust Strategic High Yield	A	Dividend			Buy (add'l)	07/26/13	J		Stifel Inv't a/c
90. DWS Municipal Trust Strategic High Yield	A	Dividend			Buy (add'l)	08/27/13	J		Stifel Inv't a/c
91. DWS Municipal Trust Strategic High Yield	A	Dividend			Buy (add'l)	09/25/13	J		Stifel Inv't a/c
92. DWS Municipal Trust Strategic High Yield	A	Dividend			Sold	09/25/13	J	A	Stifel Inv't a/c
93. DWS Municipal Trust Managed Municipal Bond Fund	A	Dividend	J	T	Sold (part)	09/25/13	J	A	Stifel Inv't a/c
94. DWS Municipal Trust Managed Municipal Bond Fund	A	Dividend	J	T	Buy (add'l)	01/28/13	J		Stifel Inv't a/c
95. DWS Municipal Trust Managed Municipal Bond Fund	A	Dividend	J	T	Buy (add'l)	02/25/13	J		Stifel Inv't a/c
96. DWS Municipal Trust Managed Municipal Bond Fund	A	Dividend	J	T	Buy (add'l)	03/25/13	J		Stifel Inv't a/c
97. DWS Municipal Trust Managed Municipal Bond Fund	A	Dividend	J	T	Buy (add'l)	04/25/13	J		Stifel Inv't a/c
98. DWS Municipal Trust Managed Municipal Bond Fund	A	Dividend	J	T	Buy (add'l)	05/28/13	J		Stifel Inv't a/c
99. DWS Municipal Trust Managed Municipal Bond Fund	A	Dividend	J	T	Buy (add'l)	06/14/13	J		Stifel Inv't a/c
100. DWS Municipal Trust Managed Municipal Bond Fund	A	Dividend	J	T	Buy (add'l)	06/25/13	J		Stifel Inv't a/c
101. DWS Municipal Trust Managed Municipal Bond Fund	A	Dividend	J	T	Buy (add'l)	07/03/13	J		Stifel Inv't a/c
102. DWS Municipal Trust Managed Municipal Bond Fund	A	Dividend	J	T	Buy (add'l)	07/26/13	J		Stifel Inv't a/c

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)
103. DWS Municipal Trust Managed Municipal Bond Fund	A	Dividend	J	T	Buy (add'l)	08/27/13	J		Stifel Inv't a/c
104. DWS Municipal Trust Managed Municipal Bond Fund	A	Dividend	J	T	Buy (add'l)	09/25/13	J		Stifel Inv't a/c
105. DWS Municipal Trust Managed Municipal Bond Fund	A	Dividend	J	T	Buy (add'l)	10/28/13	J		Stifel Inv't a/c
106. DWS Municipal Trust Managed Municipal Bond Fund	A	Dividend	J	T	Buy (add'l)	11/25/13	J		Stifel Inv't a/c
107. DWS Municipal Trust Managed Municipal Bond Fund	A	Dividend	J	T	Buy (add'l)	12/26/13	J		Stifel Inv't a/c
108. Davis NY Venture	A	Distribution	J	T	Sold (part)	04/18/13	J	A	Stifel Inv't a/c
109. Davis NY Venture	A	Distribution	J	T	Sold (part)	09/25/13	J	A	Stifel Inv't a/c
110. Davis NY Venture	A	Distribution	J	T	Buy (add'l)	07/02/13	J		Stifel Inv't a/c
111. Davis NY Venture	A	Dividend	J	T	Buy (add'l)	07/02/13	J		Stifel Inv't a/c
112. Davis NY Venture	A	Distribution	J	T	Buy (add'l)	07/02/13	J		Stifel Inv't a/c
113. Davis NY Venture	A	Distribution	J	T	Buy (add'l)	12/20/13	J		Stifel Inv't a/c
114. Davis NY Venture	A	Dividend	J	T	Buy (add'l)	12/20/13	J		Stifel Inv't a/c
115. Davis NY Venture	A	Distribution	J	T	Buy (add'l)	12/20/13	J		Stifel Inv't a/c
116. Dodge & Cox International Stock Fund	A	Dividend	J	T	Sold (part)	06/14/13	J	A	Stifel Inv't a/c
117. Dodge & Cox International Stock Fund	A	Dividend	J	T	Buy (add'l)	09/25/13	J		Stifel Inv't a/c
118. Dodge & Cox International Stock Fund	A	Dividend	J	T	Buy (add'l)	12/23/13	J		Stifel Inv't a/c
119. Fidelity Advisor New Insights Instl Cl	B	Distribution	J	T	Buy	06/14/13	J		Stifel Inv't a/c

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)
120. Fidelity Advisor New Insights Instl Cl	A	Dividend	J	T	Sold (part)	09/25/13	J	A	Stifel Inv't a/c
121. Fidelity Advisor New Insights Instl Cl	B	Distribution	J	T	Buy (add'l)	12/16/13	J		Stifel Inv't a/c
122. Heartland Value Plus Instl Cl I	A	Dividend	J	T	Sold (part)	06/14/13	J	A	Stifel Inv't a/c
123. Heartland Value Plus Instl Cl I	A	Dividend	J	T	Sold (part)	09/25/13	J	A	Stifel Inv't a/c
124. Heartland Value Plus Instl Cl I	A	Distribution	J	T	Buy (add'l)	12/30/13	J		Stifel Inv't a/c
125. Heartland Value Plus Instl Cl I	A	Distribution	J	T	Buy (add'l)	12/30/13	J		Stifel Inv't a/c
126. Heartland Value Plus Instl Cl I	A	Dividend	J	T	Buy (add'l)	12/30/13	J		Stifel Inv't a/c
127. Nationwide Geneva Mid Cap Gr Instl Svc Class	A	Distribution	J	T	Buy (add'l)	12/17/13	J		Stifel Inv't a/c
128. Nationwide Geneva Mid Cap Gr Instl Svc Class	A	Distribution	J	T	Sold (part)	09/25/13	J	A	Stifel Inv't a/c
129. MFS Ser Tr Intl Growth	A	Dividend	J	T	Sold (part)	04/18/13	J	A	Stifel Inv't a/c
130. MFS Ser Tr Intl Growth	A	Dividend	J	T	Buy (add'l)	09/25/13	J		Stifel Inv't a/c
131. MFS Ser Tr Intl Growth	A	Dividend	J	T	Buy (add'l)	12/16/13	J		Stifel Inv't a/c
132. MFS Ser Tr Intl Growth	A	Distribution	J	T	Buy (add'l)	12/16/13	J		Stifel Inv't a/c
133. Oppenheimer Developing Markets Cl Y	A	Distribution	J	T	Buy	09/25/13	J		Stifel Inv't a/c
134. Oppenheimer Developing Markets Cl Y	A	Distribution	J	T	Buy (add'l)	12/09/13	J		Stifel Inv't a/c
135. Oppenheimer Developing Markets Cl Y	A	Dividend	J	T	Buy (add'l)	12/09/13	J		Stifel Inv't a/c
136. Pioneer Ser Oak Ridge Small Cap Growth Fund	A	Distribution	J	T	Buy (add'l)	11/26/13	J		Stifel Inv't a/c

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	

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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. Pioneer Ser Oak Ridge Small Cap Growth Fund	A	Distribution	J	T	Sold (part)	06/14/13	J	A	Stifel Inv't a/c
138. Pioneer Ser Oak Ridge Small Cap Growth Fund	A	Distribution	J	T	Sold (part)	09/25/13	J	A	Stifel Inv't a/c
139. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Buy (add'l)	01/03/13	J		Stifel Inv't a/c
140. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Buy (add'l)	02/04/13	J		Stifel Inv't a/c
141. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Buy (add'l)	03/04/13	J		Stifel Inv't a/c
142. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Buy (add'l)	04/02/13	J		Stifel Inv't a/c
143. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Buy (add'l)	05/02/13	J		Stifel Inv't a/c
144. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Buy (add'l)	06/04/13	J		Stifel Inv't a/c
145. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Buy (add'l)	06/14/13	J		Stifel Inv't a/c
146. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Buy (add'l)	07/02/13	J		Stifel Inv't a/c
147. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Buy (add'l)	08/02/13	J		Stifel Inv't a/c
148. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Buy (add'l)	09/04/13	J		Stifel Inv't a/c
149. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Sold (part)	09/25/13	J	A	Stifel Inv't a/c
150. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Buy (add'l)	10/02/13	J		Stifel Inv't a/c
151. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Buy (add'l)	11/04/13	J		Stifel Inv't a/c
152. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Buy (add'l)	12/03/13	J		Stifel Inv't a/c
153. Artisan Funds Mid Cap Value	A	Dividend	J	T	Sold (part)	03/18/13	J	A	Part of Stifel IRA

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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☐ 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. Artisan Funds Mid Cap Value	A	Dividend	J	T	Buy (add'l)	09/25/13	J		Part of Stifel IRA
155. Artisan Funds Mid Cap Value	A	Distribution	J	T	Buy (add'l)	11/25/13	J		Part of Stifel IRA
156. Artisan Funds Mid Cap Value	A	Distribution	J	T	Buy (add'l)	11/25/13	J		Part of Stifel IRA
157. Artisan Funds Mid Cap Value	A	Dividend	J	T	Buy (add'l)	11/25/13	J		Part of Stifel IRA
158. Columbia Funds Ser Trust Marsico Growth Fund Class Z		None			Sold	06/14/13	J	B	Part of Stifel IRA
159. Fidelity Advisor New Insight Mutual Fund Institutional Class	A	Distribution	J	T	Buy	06/14/13	J		Part of Stifel IRA
160. Fidelity Advisor New Insight Mutual Fund Institutional Class	A	Distribution	J	T	Buy (add'l)	12/16/13	J		Part of Stifel IRA
161. Fidelity Advisor New Insight Mutual Fund Institutional Class	A	Distribution	J	T	Sold (part)	09/25/13	J	A	Part of Stifel IRA
162. Oppenheimer Developing Markets Class Y	A	Dividend	J	T	Buy	09/25/13	J		Part of Stifel IRA
163. Oppenheimer Developing Markets Class Y	A	Dividend	J	T	Buy (add'l)	12/09/13	J		Part of Stifel IRA
164. Oppenheimer Developing Markets Class Y	A	Distribution	J	T	Buy (add'l)	12/09/13	J		Part of Stifel IRA
165. Davis New York Venture Fund Class Y	A	Distribution	J	T	Buy (add'l)	07/02/13	J		Part of Stifel IRA
166. Davis New York Venture Fund Class Y	A	Dividend	J	T	Buy (add'l)	07/02/13	J		Part of Stifel IRA
167. Davis New York Venture Fund Class Y	A	Distribution	J	T	Buy (add'l)	07/02/13	J		Part of Stifel IRA
168. Davis New York Venture Fund Class Y	A	Distribution	J	T	Buy (add'l)	12/20/13	J		Part of Stifel IRA
169. Davis New York Venture Fund Class Y	A	Distribution	J	T	Buy (add'l)	12/20/13	J		Part of Stifel IRA
170. Davis New York Venture Fund Class Y	A	Dividend	J	T	Buy (add'l)	12/20/13	J		Part of Stifel IRA

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)
171. Davis New York Venture Fund Class Y	A	Dividend	J	T	Sold (part)	03/18/13	J	A	Part of Stifel IRA
172. Davis New York Venture Fund Class Y	A	Dividend	J	T	Sold (part)	09/25/13	J	A	Part of Stifel IRA
173. Dodge & Cox Intl Stock Fund	A	Dividend	J	T	Buy (add'l)	09/25/13	J		Part of Stifel IRA
174. Dodge & Cox Intl Stock Fund	A	Dividend	J	T	Buy (add'l)	12/23/13	J		Part of Stifel IRA
175. Franklin US Government Secs Advisor Cl	A	Dividend	J	T	Buy	09/25/13	J		Part of Stifel IRA
176. Franklin US Government Secs Advisor Cl	A	Dividend	J	T	Buy (add'l)	10/02/13	J		Part of Stifel IRA
177. Franklin US Government Secs Advisor Cl	A	Dividend	J	T	Buy (add'l)	11/04/13	J		Part of Stifel IRA
178. Franklin US Government Secs Advisor Cl	A	Dividend	J	T	Buy (add'l)	12/03/13	J		Part of Stifel IRA
179. Franklin US Government Secs Advisor Cl	A	Dividend	J	T	Buy (add'l)	12/31/13	J		Part of Stifel IRA
180. Harbor Fund Bond Fund	A	Dividend	J	T	Buy (add'l)	04/02/13	J		Part of Stifel IRA
181. Harbor Fund Bond Fund	A	Dividend	J	T	Buy (add'l)	07/01/13	J		Part of Stifel IRA
182. Harbor Fund Bond Fund	A	Dividend	J	T	Buy (add'l)	09/30/13	J		Part of Stifel IRA
183. Harbor Fund Bond Fund	A	Dividend	J	T	Buy (add'l)	12/19/13	J		Part of Stifel IRA
184. Harbor Fund Bond Fund	A	Dividend	J	T	Sold (part)	09/25/13	J	A	Part of Stifel IRA
185. Heartland Value Plus Instl Cl I	A	Distribution	J	T	Buy (add'l)	12/30/13	J		Part of Stifel IRA
186. Heartland Value Plus Instl Cl I	A	Distribution	J	T	Buy (add'l)	12/30/13	J		Part of Stifel IRA
187. Heartland Value Plus Instl Cl I	A	Dividend	J	T	Buy (add'l)	12/30/13	J		Part of Stifel IRA

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	

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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)
188. Heartland Value Plus Instl C1 I	A	Distribution	J	T	Sold (part)	09/25/13	J	A	Part of Stifel IRA
189. Nationwide Mutual New Geneva Mid Cap Growth Instl Svc Class	A	Distribution	J	T	Buy (add'l)	09/25/13	J		Part of Stifel IRA
190. Nationwide Mutual New Geneva Mid Cap Growth Instl Svc Class	A	Distribution	J	T	Buy (add'l)	12/17/13	J		Part of Stifel IRA
191. MFS Ser Tr X Intl Growth Fd C1 I	A	Dividend	J	T	Sold (part)	03/18/13	J	A	Part of Stifel IRA
192. MFS Ser Tr X Intl Growth Fd C1 I	A	Dividend	J	T	Buy (add'l)	09/25/13	J		Part of Stifel IRA
193. MFS Ser Tr X Intl Growth Fd C1 I	A	Distribution	J	T	Buy (add'l)	12/16/13	J		Part of Stifel IRA
194. MFS Ser Tr X Intl Growth Fd C1 I	A	Dividend	J	T	Buy (add'l)	12/16/13	J		Part of Stifel IRA
195. Pimco Fds Hi Yld C1 P	A	Dividend	J	T	Buy (add'l)	01/02/13	J		Part of Stifel IRA
196. Pimco Fds Hi Yld C1 P	A	Dividend	J	T	Buy (add'l)	02/01/13	J		Part of Stifel IRA
197. Pimco Fds Hi Yld C1 P	A	Dividend	J	T	Buy (add'l)	03/01/13	J		Part of Stifel IRA
198. Pimco Fds Hi Yld C1 P	A	Dividend	J	T	Buy (add'l)	04/01/13	J		Part of Stifel IRA
199. Pimco Fds Hi Yld C1 P	A	Dividend	J	T	Buy (add'l)	05/01/13	J		Part of Stifel IRA
200. Pimco Fds Hi Yld C1 P	A	Dividend	J	T	Buy (add'l)	06/03/13	J		Part of Stifel IRA
201. Pimco Fds Hi Yld C1 P	A	Dividend	J	T	Buy (add'l)	07/01/13	J		Part of Stifel IRA
202. Pimco Fds Hi Yld C1 P	A	Dividend	J	T	Buy (add'l)	08/01/13	J		Part of Stifel IRA
203. Pimco Fds Hi Yld C1 P	A	Dividend	J	T	Buy (add'l)	09/03/13	J		Part of Stifel IRA
204. Pimco Fds Hi Yld C1 P	A	Dividend	J	T	Buy (add'l)	10/01/13	J		Part of Stifel IRA

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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Name of Person Reporting

SMITH, LISA M.

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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)
205. Pimco Fds Hi Yld Cl P	A	Dividend	J	T	Buy (add'l)	11/01/13	J		Part of Stifel IRA
206. Pimco Fds Hi Yld Cl P	A	Dividend	J	T	Buy (add'l)	12/02/13	J		Part of Stifel IRA
207. Pimco Fds Hi Yld Cl P	A	Distribution	J	T	Buy (add'l)	12/12/13	J		Part of Stifel IRA
208. Pimco Fds Hi Yld Cl P	A	Distribution	J	T	Sold (part)	09/25/13	J	A	Part of Stifel IRA
209. Pioneer Ser TR I Oak Ridge Small Cap Growth Fund Class Y	A	Distribution	J	T	Buy (add'l)	11/26/13	J		Part of Stifel IRA

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.)*

For Part I, minor children's accounts were moved from Fidelity to Stifel Nicolaus.

For Part VII (Investments and Trusts)

+ Entries 61-74, Aim Tax Exempt Van Kampen Intermediate Term Muni Income Fund name changed to Aim Invesco Intermediate Term Municipal Income CL Y.

+ Entries 127-128, 189-190, Highmark Geneva Mid Cap Gr, Fiduciary Class Shares mutual fund renamed to Nationwide Mutual New Geneva Mid Cap Growth Institutional Svc Class

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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/ LISA M. 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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Washington, D.C. 20544