

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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, Orrie D.	2. Court or Organization U.S.D.C. MO, Western District	3. Date of Report 4/3/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Court Judge (Senior)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address Room 8552 U.S. Courthouse 400 East 9th Street Kansas City, MO 64106		
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.	Director	YMCA of the Rockies
2.		
3.		
4.		
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Smith, Ortrie D.

Date of Report

4/3/2015

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. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Smith, Ortrie D.

Date of Report

4/3/2015

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Smith, Ortrio D.

Date of Report

4/3/2015

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. Microsoft Corp - Com Stk	A	Dividend	K	T	Sold (part)	02/18/14	J	D	
2. Vanguard 500 Index Fund	A	Dividend			Sold	02/18/14	K	B	
3. Cerner Corp.		None	L	T	Buy (add'l)	02/18/14	K		
4.					Sold (part)	03/11/14	J	A	
5.					Sold (part)	04/21/14	J	A	
6.					Buy (add'l)	06/19/14	K		
7.					Sold (part)	07/02/14	J	A	
8.					Sold (part)	09/29/14	J	B	
9. Berkshire Hathaway, CL B		None	L	T	Buy (add'l)	02/18/14	K		
10.					Sold (part)	03/11/14	J	B	
11.					Sold (part)	04/21/14	J	B	
12.					Sold (part)	05/19/14	J	B	
13.					Buy (add'l)	11/17/14	J		
14. McDonalds Corp.	A	Dividend			Sold	02/18/14	K	B	
15. Duke Energy Holding	B	Dividend	K	T					
16. Merck & Company, Inc.	B	Dividend			Sold	03/11/14	J	B	
17. Sunoco Logistics Ptnrs, LP	B	Dividend	K	T					

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		

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Smith, Ortrio D.

Date of Report

4/3/2015

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. Royal Dutch Shell, ADR, Class A	A	Dividend			Sold	11/14/14	K	B	
19. Chevron Corp	B	Dividend			Sold	11/14/14	K	B	
20. Amazon com. Inc.		None	K	T	Buy (add'l)	05/19/14	J		
21. Pepsico	A	Dividend			Sold	02/18/14	K	A	
22. Johnson & Johnson	A	Dividend	K	T	Sold (part)	05/19/14	J	A	
23. American Water Works	A	Dividend	K	T					
24. Apple	A	Dividend	K	T					
25. Google		None	K	T	Buy	01/15/14	K		
26. NXP Semiconductors		None	J	T	Buy	03/20/14	J		
27.					Buy (add'l)	09/09/14	J		
28. Markel Corp.		None	K	T	Buy	09/09/14	K		
29.					Sold (part)	09/29/14	K	A	
30.					Buy (add'l)	11/14/14	J		
31. Reaves Utility	B	Dividend	K	T	Buy	08/28/14	J		
32.					Buy (add'l)	09/10/14	J		
33.					Buy (add'l)	11/14/14	J		
34. Brookfield Infrastructure	B	Dividend	K	T	Buy	08/28/14	J		

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		

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Smith, Ortrie D.

Date of Report

4/3/2015

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.					Buy (add'l)	09/12/14	J		
36.					Buy (add'l)	11/14/14	J		
37.					Sold (part)	12/19/14	J	A	
38. Skyworks	A	Dividend	K	T	Buy	07/01/14	J		
39.					Buy (add'l)	09/09/14	J		
40.					Sold (part)	09/29/14	J	A	
41. Priceline Group		None			Buy	07/02/14	J		
42.					Sold	09/12/14	J	A	
43. Mastercard	A	Dividend			Buy	08/28/14	J		
44.					Buy (add'l)	09/09/14	J		
45.					Sold	09/29/14	K	A	
46. Intel	A	Dividend			Buy	08/28/14	J		
47.					Sold	09/29/14	K	B	
48. BSW Living Trust 2/1/94	D	Int./Div.							
49. -KCMO Spl Oblig Rfdg Rev Downtown Arena					Redeemed	08/15/14	J	A	
50. -PSI Energy, Inc., Deb.					Sold	08/15/14	J	A	
51. -TVA Power Bond 1995 Series B					Redeemed	08/15/14	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 7 of 10

Name of Person Reporting

Smith, Ortrio D.

Date of Report

4/3/2015

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. -FHLM Corp Multiclass Mtg Ser 1125 CL Z					Redeemed	08/15/14	K	B	
53. -FHLM Corp Multiclass Mtg Ser 2520 CL LL					Redeemed	08/15/14	J	A	
54. -GNM Assn Ser 2002-51 CL D					Redeemed	08/15/14	J	A	
55. -FNMA Remic Pass Thru Cfs 2002-48 CL LL					Redeemed	08/15/14	J	A	
56. -FNMA Remic Pass Thru Cfs 2002-86 CL BB					Redeemed	08/15/14	J	A	
57. -FHLM Corp Multiclass Mtg Ser 2696 CL LL					Redeemed	08/15/14	J	A	
58. -Insured Municipal Income Trust Ser No 461					Sold	08/15/14	J	A	
59. -Invesco Global 45 Dividend					Sold	08/15/14	J	A	
60. -Wal-Mart Stores Inc					Sold (part)	06/05/14	J	B	
61.					Sold	08/15/14	K	B	
62. -Capital Income Builder Fund CL A					Sold	05/05/14	K	A	
63. -Franklin MO Tax-Free Inc Fund CL A					Sold	08/15/14	K	A	
64. -Ferrellgas Partners LP					Sold	04/08/14	J	A	
65. -Chevron Corp					Sold	08/15/14	K	A	
66. -CocaCola Co					Sold	08/15/14	K	A	
67. -Conoco Phillips					Sold	08/15/14	J	A	
68. -DTE Energy					Sold	08/15/14	K	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 8 of 10

Name of Person Reporting

Smith, Ortrie D.

Date of Report

4/3/2015

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. -GlaxoSmithKline					Sold	08/15/14	J	A	
70. -Merck & Co					Sold	08/15/14	K	A	
71. -Microsoft Corp					Sold	08/15/14	K	A	
72. -PIMCO Total Ret Fund CL A					Sold	08/15/14	K	B	
73. -Proctor & Gamble	A	Dividend			Buy	01/21/14	K		
74.					Sold	08/15/14	K	A	
75. -Verizon Communications	A	Dividend			Buy	02/21/14	J		
76.					Sold	08/15/14	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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Smith, Ortrie D.

Date of Report

4/3/2015

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

Part VII, #38 - 68 of 2013 Report and #48 - 76 of 2014 Report consisted of the holdings under the BSW Trust. The filer served as the sole Trustee. BSW died in 2014. The Trust holdings were liquidated and distributed according to the terms of the Declaration of Trust.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Smith, Ortrie D.

Date of Report

4/3/2015

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/ Ortrie D. 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