

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, LISA M.	2. Court or Organization U.S.DISTRICT COURT, SDNY	3. Date of Report 09/21/2015
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 01/01/2014 to 12/31/2014
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.	Custodian	On behalf of minor child #1's Stifel ROTH IRA Account

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 11

Name of Person Reporting

SMITH, LISA M.

Date of Report

09/21/2015

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2014	Pace University School of Law for teaching	\$15,155.00
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. 2014	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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

SMITH, LISA M.

Date of Report

09/21/2015

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.	Miles Plant (outgoing law clerk)	framed, autographed sports jersey (Christian Laettner from Duke)	\$400.00
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 11

Name of Person Reporting

SMITH, LISA M.

Date of Report

09/21/2015

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. 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 -- Checking Account		None	L	T					
6. Fidelity Growth and Income Fund	A	Dividend	J	T					
7. Fidelity Dividend Growth Fund	B	Dividend	K	T					
8. HSBC IRA (T. Rowe Price Dividend Growth Fund)	A	Dividend	J	T					
9. HSBC, White Plains, NY		None	J	T					
10. Cisco Systems Common Stock	A	Dividend	J	T					
11. Century Link Communications Common Stock	A	Dividend	J	T					
12. Walt Disney Common Stock	A	Dividend	J	T					
13. Long Island Power Auth. N.Y. Elec. Systems Bonds		None	K	T					
14. Nassau Co. N.Y. Ind'l. Dev. Agency Bonds		None	K	T					
15. Municipal Assistance Corp. For City of Troy, N.Y. Bonds		None	K	T					
16. Long Island Power Auth. Bonds		None	J	T					
17. Stifel ROTH IRA (insured bank program money market)	A	Int./Div.	J	T	Buy	04/14/14	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 5 of 11

Name of Person Reporting

SMITH, LISA M.

Date of Report

09/21/2015

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 I (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. Stifel Nicolaus IRA money market	A	Interest	J	T					
19. Stifel Nicolaus investment account money market	A	Interest	J	T					
20. Stifel Nicolaus Custodial Acc't for minor child #1 (cash account)	A	Interest	K	T					
21. Stifel Nicolaus Custodial Acc't for minor child #2 (X) (cash account)	A	Interest	J	T					
22. General Electric common stock	A	Dividend	J	T					
23. Citigroup common stock	A	Dividend	J	T					
24. Pfizer common stock	A	Dividend	J	T					
25. Fidelity Unique Coll. Inv. Plan 2015		None	J	T					
26. Fidelity Unique Coll. Inv. Plan 2018		None	J	T					
27. NY College Savgs Prgrm A/C Mod Age Based Option: Conserv Gr		None	J	T					
28. NY College Savgs Prgrm A/C Mod Age Based Option: Mod Growth		None	J	T					
29. Capital One Financial Corp Common Stock	A	Dividend	J	T					
30. Citadel Broadcasting Corp. common stock		None			Sold	05/30/14	J		
31. Freeport McMoran Copper & Gold, Inc. Common Stock	A	Dividend	J	T					
32. Invesco Intermediate Term Muni Income Fund Class Y	A	Dividend	K	T	Buy (add'l)	07/16/14	J		Stifel Inv't a/c
33. Invesco Intermediate Term Muni Income Fund Class Y	A	Dividend	K	T	Sold (part)	10/24/14	J	A	Stifel Inv't a/c
34. Artisan Funds Mid Cap Value	A	Dividend	J	T	Buy (add'l)	01/24/14	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 11

Name of Person Reporting

SMITH, LISA M.

Date of Report

09/21/2015

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. Artisan Funds Mid Cap Value	A	Dividend	J	T	Buy (add'l)	10/24/14	J		Stifel Inv't a/c
36. Artisan Funds Mid Cap Value	A	Dividend	J	T	Sold (part)	07/16/14	J	A	Stifel Inv't a/c
37. Blackrock Equity Dividend Fund	A	Dividend	J	T	Buy	02/24/14	J		Stifel Inv't a/c
38. Blackrock Equity Dividend Fund	A	Dividend	J	T	Sold (part)	07/06/14	J	A	Stifel Inv't a/c
39. Blackrock Equity Dividend Fund	A	Dividend	J	T	Sold (part)	10/24/14	J	A	Stifel Inv't a/c
40. Columbia Contrarian Core	A	Dividend	J	T	Buy	01/24/14	J		Stifel Inv't a/c
41. Columbia Contrarian Core	A	Dividend	J	T	Sold (part)	07/16/14	J	A	Stifel Inv't a/c
42. Columbia Contrarian Core	A	Dividend	J	T	Sold (part)	10/24/14	J	A	Stifel Inv't a/c
43. Deutsche Managed Municipal Bond Fund	A	Dividend	J	T	Sold (part)	10/24/14	J	A	Stifel Inv't a/c
44. Davis NY Venture		None			Sold (part)	01/24/14	J	A	Stifel Inv't a/c
45. Davis NY Venture		None			Sold	02/24/14	J	B	Stifel Inv't a/c
46. Dodge & Cox International Stock Fund	A	Dividend	J	T	Sold (part)	07/16/14	J	A	Stifel Inv't a/c
47. Dodge & Cox International Stock Fund	A	Dividend	J	T	Buy (add'l)	10/24/14	J		Stifel Inv't a/c
48. Fidelity Advisor New Insights Instl Cl	A	Dividend	J	T	Sold (part)	01/24/14	J	A	Stifel Inv't a/c
49. Fidelity Advisor New Insights Instl Cl	A	Dividend	J	T	Sold (part)	07/16/14	J	A	Stifel Inv't a/c
50. Fidelity Advisor New Insights Instl Cl	A	Dividend	J	T	Sold (part)	10/24/14	J	A	Stifel Inv't a/c
51. Heartland Value Plus Instl Cl I	A	Dividend	J	T	Buy (add'l)	07/16/14	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person Reporting

SMITH, LISA M.

Date of Report

09/21/2015

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. Heartland Value Plus Instl C1 I	A	Dividend	J	T	Buy (add'l)	10/24/14	J		Stifel Inv't a/c
53. Heartland Value Plus Instl C1 I	A	Dividend	J	T	Sold (part)	01/24/14	J	A	Stifel Inv't a/c
54. Nationwide Geneva Mid Cap Gr Instl Svc Class	A	Distribution	J	T	Buy (add'l)	07/17/14	J		Stifel Inv't a/c
55. Nationwide Geneva Mid Cap Gr Instl Svc Class	A	Distribution	J	T	Sold (part)	01/24/14	J	A	Stifel Inv't a/c
56. Nationwide Geneva Mid Cap Gr Instl Svc Class	A	Distribution	J	T	Sold (part)	10/24/14	J	A	Stifel Inv't a/c
57. MFS Ser Tr Intl Growth	A	Dividend	J	T	Buy (add'l)	07/16/14	J		Stifel Inv't a/c
58. MFS Ser Tr Intl Growth	A	Dividend	J	T	Buy (add'l)	10/24/14	J		Stifel Inv't a/c
59. Oppenheimer Developing Markets C1 Y	A	Dividend	J	T	Buy (add'l)	01/24/14	J		Stifel Inv't a/c
60. Oppenheimer Developing Markets C1 Y	A	Dividend	J	T	Buy (add'l)	10/24/14	J		Stifel Inv't a/c
61. Oppenheimer Developing Markets C1 Y	A	Dividend	J	T	Sold (part)	07/16/14	J	A	Stifel Inv't a/c
62. Oak Ridge Small Cap Growth Fund	A	Distribution	J	T	Sold (part)	10/24/14	J	A	Stifel Inv't a/c
63. Oak Ridge Small Cap Growth Fund	A	Distribution	J	T	Buy (add'l)	07/16/14	J		Stifel Inv't a/c
64. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Sold (part)	07/16/14	J	A	Stifel Inv't a/c
65. Thornburg Ltd Term Muni Fund	A	Dividend	J	T	Sold (part)	10/24/14	J	A	Stifel Inv't a/c
66. Artisan Funds Mid Cap Value	A	Dividend	J	T	Buy (add'l)	10/24/14	J		Part of Stifel IRA
67. Artisan Funds Mid Cap Value	A	Dividend	J	T	Sold (part)	07/16/14	J	A	Part of Stifel IRA
68. Blackrock Equity Dividend Fund	A	Dividend	J	T	Buy	02/24/14	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 11

Name of Person Reporting

SMITH, LISA M.

Date of Report

09/21/2015

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. Blackrock Equity Dividend Fund	A	Dividend	J	T	Sold (part)	07/16/14	J	A	Part of Stifel IRA
70. Blackrock Equity Dividend Fund	A	Dividend	J	T	Sold (part)	10/24/14	J	A	Part of Stifel IRA
71. Columbia Contrarian Core Fund Class Z	A	Dividend	J	T	Buy	01/24/14	J		Part of Stifel IRA
72. Columbia Contrarian Core Fund Class Z	A	Dividend	J	T	Sold (part)	07/16/14	J	A	Part of Stifel IRA
73. Columbia Contrarian Core Fund Class Z	A	Dividend	J	T	Sold (part)	10/24/14	J	A	Part of Stifel IRA
74. Fidelity Advisor New Insight Mutual Fund Institutional Class	A	Dividend	J	T	Buy (add'l)	10/24/14	J		Part of Stifel IRA
75. Fidelity Advisor New Insight Mutual Fund Institutional Class	A	Dividend	J	T	Sold (part)	01/24/14	J	A	Part of Stifel IRA
76. Fidelity Advisor New Insight Mutual Fund Institutional Class	A	Dividend	J	T	Sold (part)	07/16/14	J	A	Part of Stifel IRA
77. Oppenheimer Developing Markets Class Y	A	Dividend	J	T	Buy (add'l)	10/24/14	J		Part of Stifel IRA
78. Oppenheimer Developing Markets Class Y	A	Dividend	J	T	Sold (part)	07/16/14	J	A	Part of Stifel IRA
79. Davis New York Venture Fund Class Y		None			Sold (part)	01/24/14	J	A	Part of Stifel IRA
80. Davis New York Venture Fund Class Y		None			Sold	02/24/14	J	A	Part of Stifel IRA
81. Dodge & Cox Intl Stock Fund	A	Dividend	J	T	Buy (add'l)	10/24/14	J		Part of Stifel IRA
82. Dodge & Cox Intl Stock Fund	A	Dividend	J	T	Sold (part)	07/16/14	J	A	Part of Stifel IRA
83. Franklin US Government Secs Advisor Cl	A	Dividend	J	T	Buy (add'l)	07/16/14	J		Part of Stifel IRA
84. Franklin US Government Secs Advisor Cl	A	Dividend	J	T	Sold (part)	10/24/14	J		Part of Stifel IRA
85. Harbor Fund Bond Fund	A	Dividend	J	T	Buy (add'l)	07/16/14	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 = \$250,000,001 - \$500,000,000	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 9 of 11

Name of Person Reporting

SMITH, LISA M.

Date of Report

09/21/2015

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)

86. Harbor Fund Bond Fund	A	Dividend	J	T	Sold (part)	10/24/14	J		Part of Stifel IRA
87. Heartland Value Plus Instl C1 I	A	Dividend	J	T	Buy (add'l)	01/24/14	J		Part of Stifel IRA
88. Heartland Value Plus Instl C1 I	A	Dividend	J	T	Buy (add'l)	07/16/14	J		Part of Stifel IRA
89. Heartland Value Plus Instl C1 I	A	Dividend	J	T	Buy (add'l)	10/24/14	J		Part of Stifel IRA
90. Nationwide Mutual New Geneva Mid Cap Growth Instl Svc Class	A	Distribution	J	T	Buy (add'l)	07/17/14	J		Part of Stifel IRA
91. Nationwide Mutual New Geneva Mid Cap Growth Instl Svc Class	A	Distribution	J	T	Sold (part)	10/24/14	J	A	Part of Stifel IRA
92. MFS Ser Tr X Intl Growth Fd C1 I	A	Dividend	J	T	Buy (add'l)	07/16/14	J		Part of Stifel IRA
93. MFS Ser Tr X Intl Growth Fd C1 I	A	Dividend	J	T	Buy (add'l)	10/24/14	J		Part of Stifel IRA
94. Pimco Fds Hi Yld C1 P	A	Dividend	J	T	Buy (add'l)	07/16/14	J		Part of Stifel IRA
95. Pimco Fds Hi Yld C1 P	A	Dividend	J	T	Sold (part)	10/24/14	J	A	Part of Stifel IRA
96. Oak Ridge Small Cap Growth Fund Class Y	A	Distribution	J	T	Buy (add'l)	07/16/14	J		Part of Stifel IRA
97. Oak Ridge Small Cap Growth Fund Class Y	A	Distribution	J	T	Sold (part)	10/24/14	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 \$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 10 of 11

Name of Person Reporting

SMITH, LISA M.

Date of Report

09/21/2015

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

For this amendment, the only change added was transaction information in part VII, line 17.

For Part I, a ROTH IRA account was opened at Stifel for minor child #1.

For Part VII (Investments and Trusts)

+ Stifel Nicolaus is now just Stifel.

+ Entry for line 12: In the 2013 reporting period Walt Disney did not pay a dividend. In 2014, Walt Disney did pay a dividend.

+ Entry for line 21: In the 2013 reporting period, a Fidelity Custodial Acc't for minor child #2 was closed and a Stifel Custodial Acc't for minor child #2 was opened. However, under line 37 of last year's report, the Custodial Acc't for minor child #2 that was open was identified as a Fidelity acc't and should have been a Stifel acc't.

+ Entry for line 30, Citadel went bankrupt and position closed.

+ Entries for lines 32-33, the Aim Invesco name has been changed to just Invesco.

+ Entry for line 43: the name of the DWS Municipal Trust Managed Municipal Bond fund changed to Deutsche Managed Municipal Bond Fund.

+ Entries for lines 54-56, 90-91, Nationwide Mutual New Geneva Mid Cap Growth fund changed to Nationwide Geneva Mid Cap Growth Fund.

+ Entry for lines 62-63, 96-97, the name of the Pioneer Oak Ridge Small Cap Growth fund changed to Oak Ridge Small Cap Growth.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

SMITH, LISA M.

Date of Report

09/21/2015

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/ 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
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544