

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, Norman R.	2. Court or Organization United States Court of Appeals for the North Circuit	3. Date of Report 05/12/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit 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 801 East Sherman Pocatello, Idaho 83201		
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. Adjunct Faculty Member	Idaho State University College of Business
2. Member of Department of Paralegal Studies Advisory Board	Idaho State University
3. Emeritus Member of College of Law Advisory Council	Univeristy of Idaho College of Law
4. Summit Planning Committee	Appellate Judges Education Institute
5. Executive Committee	Federal Judges Association
6. Executive Board	Federal Bar Association (Idaho Chapter)

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. 1995	State of Idaho Retirement, no control
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. 2016	Idaho State University, wages	\$20,000.64
2. 2016	State of Idaho, retirement	\$58,074.08
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. 2016	Idaho Public Employees Retirement System, retirement
2. 2016	Utah State Retirement Fund, retirement
3. 2016	Bannock County, Idaho, elections clerk
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. Southern Methodist University	Jan. 24-26, 2016	Dallas, Texas	Organizational Meeting for AJEI Summit	Transportation, meals, and lodging
2. American Bankruptcy Institute & St. Johns University School of Law	March 6-8, 2016	New York, New York	Dubenstein National Moot Court Competition	Transportation, meals, and lodging
3. Federal Judges Association	May 16-18, 2016	Washington, D.C.	Board Meeting of Association	Transportation, meals, and lodging
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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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. KEY BANK (VARIOUS ACCOUNTS)	A	Interest	M	T					
2. SEI-US EMPLOYEES CREDIT UNION (VARIOUS ACCOUNTS)	A	Dividend	L	T					
3. PRINCIPAL FINANCIAL GROUP UNIVERSAL LIFE PROTECTOR III	C	Interest	L	T					
4. TRUST #1 - REAL ESTATE - DAVIS COUNTY, UTAH	D	Rent	P2	W					
5. VOYA SECURE INDEX FIVE FIXED- RATE ANNUITY	B	Interest	M	T					
6. ALLIANZ PRO V1 LIFE INSURANCE CO. FIXED ANNUITY	C	Interest	M	T					
7. WELLS FARGO BANK, N.A. (VARIOUS ACCOUNTS)	A	Interest	J	T					
8. BENEFICIAL FINANCIAL GROUP (CASH ACCOUNT)	A	Interest	J	T					
9. PERSI CHOICE 401(K) PLAN (H)									
10. PERSI TOTAL RETURN FUND (X)	A	Dividend	J	T					
11.									
12.									
13.									
14.									
15.									
16.									
17.									

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	

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

PART VII, LINE 1: CONSOLIDATION OF SEPARATE ACCOUNTS LISTED ON LINES 1 AND 11 OF THE 2015 REPORT.

PART VII, LINE 2: NAME UPDATE OF THE INFORMATION LISTED ON LINE 2 OF THE 2015 REPORT.

PART VII, LINE 3: CONSOLIDATION AND NAME UPDATE OF THE INFORMATION LISTED ON LINES 4 AND 5 OF THE 2015 REPORT.

PART VII, LINE 4: NAME UPDATE OF THE OF THE INFORMATION LISTED ON LINE 6 OF THE 2015 REPORT.

PART VII, LINE 5: NAME UPDATE OF THE INFORMATION LISTED ON LINE 7 OF THE 2015 REPORT.

PART VII, LINE 6: NAME UPDATE OF THE INFORMATION LISTED ON LINE 8 OF THE 2015 REPORT.

PART VII, LINE 7: NAME UPDATE OF THE INFORMATION LISTED ON LINE 9 OF THE 2015 REPORT.

PART VII, LINE 8: NAME UPDATE OF THE INFORMATION LISTED ON LINE 10 OF THE 2015 REPORT.

PART VII, LINES 9 AND 10: NAME UPDATE OF AND SUPPLEMENT TO THE INFORMATION LISTED ON LINE 3 OF THE 2015 REPORT.

*NO CHANGES IN REPORTABLE ASSETS DURING THIS REPORTING PERIOD.

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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/ **Norman R. 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
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