

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 06/13/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. MAGISTRATE JUDGE FULL TIME	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
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 Account
2.	Custodian	On behalf of minor child #2's Stifel Nicolaus Investment Account
3.	Custodian	On behalf of minor child #2's New York's College Savings Program
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 12

Name of Person Reporting

SMITH, LISA M.

Date of Report

06/13/2016

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. 2015

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 12

Name of Person Reporting

SMITH, LISA M.

Date of Report

06/13/2016

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.

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

SMITH, LISA M.

Date of Report

06/13/2016

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	K	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	K	T					
9. HSBC, White Plains, NY		None	L	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			Matured	12/01/15	K		
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) (Y)									

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 ~\$250,001 - \$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 5 of 12

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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 (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			Sold	07/20/15	J	C	
26. Fidelity Unique Coll. Inv. Plan 2018		None	J	T					
27. NY College Savgs Prgrm A/C Mod Age Based Option: Conserv Gr		None			Sold	06/07/15	J	A	
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. Freeport McMoran Copper & Gold, Inc. Common Stock	A	Dividend	J	T					
31. Invesco Intermediate Term Muni Income Fund Class Y	A	Dividend	K	T	Buy (add'l)	01/23/15	J		Stifel Inv't a/c
32. Invesco Intermediate Term Muni Income Fund Class Y	A	Dividend	K	T	Buy (add'l)	07/24/15	J		Stifel Inv't a/c
33. Invesco Intermediate Term Muni Income Fund Class Y	A	Dividend	K	T	Buy (add'l)	10/23/15	J		Stifel Inv't a/c
34. Artisan Funds Mid Cap Value	A	Dividend	J	T	Sold (part)	01/23/15	J	A	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 12

Name of Person Reporting

SMITH, LISA M.

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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. Artisan Funds Mid Cap Value	A	Dividend	J	T	Buy (add'l)	07/24/15	J		Stifel Inv't a/c
36. Artisan Funds Mid Cap Value	A	Dividend	J	T	Sold (part)	10/23/15	J	A	Stifel Inv't a/c
37. Blackrock Equity Dividend Fund	A	Dividend	J	T	Sold (part)	01/23/15	J	A	Stifel Inv't a/c
38. Blackrock Equity Dividend Fund	A	Dividend	J	T	Sold (part)	07/24/15	J	A	Stifel Inv't a/c
39. Blackrock Equity Dividend Fund	A	Dividend	J	T	Sold (part)	10/23/15	J	A	Stifel Inv't a/c
40. Columbia Contrarian Core	A	Dividend	J	T	Buy (add'l)	10/23/15	J		Stifel Inv't a/c
41. Columbia Contrarian Core	A	Dividend	J	T	Sold (part)	01/23/15	J	A	Stifel Inv't a/c
42. Columbia Contrarian Core	A	Dividend	J	T	Sold (part)	07/24/15	J	A	Stifel Inv't a/c
43. Deutsche Managed Municipal Bond Fund	A	Dividend			Sold	01/23/15	J	A	Stifel Inv't a/c
44. Dodge & Cox International Stock Fund	A	Dividend	J	T	Buy (add'l)	01/23/15	J		Stifel Inv't a/c
45. Dodge & Cox International Stock Fund	A	Dividend	J	T	Sold (part)	07/24/15	J	A	Stifel Inv't a/c
46. Dodge & Cox International Stock Fund	A	Dividend	J	T	Buy (add'l)	10/23/15	J		Stifel Inv't a/c
47. Fidelity Advisor New Insights Instl Cl	A	Distribution	J	T	Sold (part)	01/23/15	J	A	Stifel Inv't a/c
48. Fidelity Advisor New Insights Instl Cl	A	Distribution	J	T	Sold (part)	07/24/15	J	A	Stifel Inv't a/c
49. Fidelity Advisor New Insights Instl Cl	A	Distribution	J	T	Buy (add'l)	10/23/15	J		Stifel Inv't a/c
50. Heartland Value Plus Instl Cl I	A	Dividend	J	T	Buy (add'l)	01/23/15	J		Stifel Inv't a/c
51. Heartland Value Plus Instl Cl I	A	Dividend	J	T	Buy (add'l)	07/24/15	J		Stifel Inv't a/c

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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	
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 12

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SMITH, LISA M.

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52. Heartland Value Plus Instl C1 I	A	Dividend	J	T	Buy (add'l)	10/23/15	J		Stifel Inv't a/c
53. Nationwide Geneva Mid Cap Gr Instl Svc Class	A	Distribution	J	T	Buy (add'l)	01/26/15	J		Stifel Inv't a/c
54. Nationwide Geneva Mid Cap Gr Instl Svc Class	A	Distribution	J	T	Sold (part)	07/24/15	J	A	Stifel Inv't a/c
55. Nationwide Geneva Mid Cap Gr Instl Svc Class	A	Distribution	J	T	Buy (add'l)	10/23/15	J		Stifel Inv't a/c
56. MFS Ser Tr Intl Growth	A	Dividend	J	T	Buy (add'l)	01/23/15	J		Stifel Inv't a/c
57. MFS Ser Tr Intl Growth	A	Dividend	J	T	Sold (part)	07/24/15	J	A	Stifel Inv't a/c
58. MFS Ser Tr Intl Growth	A	Dividend	J	T	Buy (add'l)	10/23/15	J		Stifel Inv't a/c
59. Oppenheimer Developing Markets C1 Y	A	Dividend	J	T	Buy (add'l)	01/23/15	J		Stifel Inv't a/c
60. Oppenheimer Developing Markets C1 Y	A	Dividend	J	T	Buy (add'l)	07/24/15	J		Stifel Inv't a/c
61. Oppenheimer Developing Markets C1 Y	A	Dividend	J	T	Sold (part)	10/23/15	J		Stifel Inv't a/c
62. Oak Ridge Small Cap Growth Fund	A	Distribution	J	T	Sold (part)	01/23/15	J	A	Stifel Inv't a/c
63. Oak Ridge Small Cap Growth Fund	A	Distribution	J	T	Buy (add'l)	07/24/15	J		Stifel Inv't a/c
64. Oak Ridge Small Cap Growth Fund	A	Distribution	J	T	Sold (part)	10/23/15	J	A	Stifel Inv't a/c
65. Thornburg Ltd Term Muni Fund	A	Dividend			Buy (add'l)	07/24/15	J		Stifel Inv't a/c
66. Thornburg Ltd Term Muni Fund	A	Dividend			Sold (part)	01/23/15	J	A	Stifel Inv't a/c
67. Thornburg Ltd Term Muni Fund	A	Dividend			Sold	10/23/15	J	A	Stifel Inv't a/c
68. Artisan Funds Mid Cap Value	A	Dividend	J	T	Sold (part)	01/23/15	J	A	Part of Stifel IRA

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FINANCIAL DISCLOSURE REPORT

Page 8 of 12

Name of Person Reporting

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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				
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69. Artisan Funds Mid Cap Value	A	Dividend	J	T	Buy (add'l)	07/24/15	J		Part of Stifel IRA
70. Artisan Funds Mid Cap Value	A	Dividend	J	T	Sold (part)	10/23/15	J	A	Part of Stifel IRA
71. Blackrock Equity Dividend Fund	A	Dividend	J	T	Buy (add'l)	01/23/15	J		Part of Stifel IRA
72. Blackrock Equity Dividend Fund	A	Dividend	J	T	Buy (add'l)	07/24/15	J		Part of Stifel IRA
73. Blackrock Equity Dividend Fund	A	Dividend	J	T	Sold (part)	10/23/15	J	A	Part of Stifel IRA
74. Columbia Contrarian Core Fund Class Z	A	Dividend	J	T	Sold (part)	01/23/15	J	A	Part of Stifel IRA
75. Columbia Contrarian Core Fund Class Z	A	Dividend	J	T	Sold (part)	07/24/15	J	A	Part of Stifel IRA
76. Columbia Contrarian Core Fund Class Z	A	Dividend	J	T	Sold (part)	10/23/15	J	A	Part of Stifel IRA
77. Fidelity Advisor New Insight Mutual Fund Institutional Class	A	Distribution	J	T	Sold (part)	01/23/15	J	A	Part of Stifel IRA
78. Fidelity Advisor New Insight Mutual Fund Institutional Class	A	Distribution	J	T	Buy (add'l)	07/24/15	J		Part of Stifel IRA
79. Fidelity Advisor New Insight Mutual Fund Institutional Class	A	Distribution	J	T	Buy (add'l)	10/23/15	J		Part of Stifel IRA
80. Oppenheimer Developing Markets Class Y	A	Dividend	J	T	Buy (add'l)	01/23/15	J		Part of Stifel IRA
81. Oppenheimer Developing Markets Class Y	A	Dividend	J	T	Buy (add'l)	07/24/15	J		Part of Stifel IRA
82. Oppenheimer Developing Markets Class Y	A	Dividend	J	T	Sold (part)	10/23/15	J		Part of Stifel IRA
83. Dodge & Cox Intl Stock Fund	A	Dividend	J	T	Buy (add'l)	01/23/15	J		Part of Stifel IRA
84. Dodge & Cox Intl Stock Fund	A	Dividend	J	T	Buy (add'l)	07/24/15	J		Part of Stifel IRA
85. Dodge & Cox Intl Stock Fund	A	Dividend	J	T	Buy (add'l)	10/23/15	J		Part of Stifel IRA

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FINANCIAL DISCLOSURE REPORT

Page 9 of 12

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86. Franklin US Government Secs Advisor Cl	A	Dividend			Buy (add'l)	01/23/15	J		Part of Stifel IRA
87. Franklin US Government Secs Advisor Cl	A	Dividend			Sold	05/22/15	J		Part of Stifel IRA
88. Harbor Fund Bond Fund	A	Dividend	J	T	Buy (add'l)	07/24/15	J		Part of Stifel IRA
89. Harbor Fund Bond Fund	A	Dividend	J	T	Buy (add'l)	10/23/15	J		Part of Stifel IRA
90. Harbor Fund Bond Fund	A	Dividend	J	T	Sold (part)	01/23/15	J		Part of Stifel IRA
91. Heartland Value Plus Instl Cl I	A	Dividend	J	T	Buy (add'l)	07/24/15	J		Part of Stifel IRA
92. Heartland Value Plus Instl Cl I	A	Dividend	J	T	Buy (add'l)	10/23/15	J		Part of Stifel IRA
93. Heartland Value Plus Instl Cl I	A	Dividend	J	T	Sold (part)	01/23/15	J		Part of Stifel IRA
94. Nationwide Mutual New Geneva Mid Cap Growth Instl Svc Class	A	Distribution	J	T	Sold (part)	01/23/15	J	A	Part of Stifel IRA
95. Nationwide Mutual New Geneva Mid Cap Growth Instl Svc Class	A	Distribution	J	T	Sold (part)	07/24/15	J	A	Part of Stifel IRA
96. Nationwide Mutual New Geneva Mid Cap Growth Instl Svc Class	A	Distribution	J	T	Sold (part)	10/23/15	J	A	Part of Stifel IRA
97. MFS Ser Tr X Intl Growth Fd Cl I	A	Dividend	J	T	Buy (add'l)	01/23/15	J		Part of Stifel IRA
98. MFS Ser Tr X Intl Growth Fd Cl I	A	Dividend	J	T	Buy (add'l)	10/23/15	J		Part of Stifel IRA
99. MFS Ser Tr X Intl Growth Fd Cl I	A	Dividend	J	T	Sold (part)	07/24/15	J	A	Part of Stifel IRA
100. Pimco Fds Hi Yld Cl P	A	Dividend			Buy (add'l)	07/24/15	J		Part of Stifel IRA
101. Pimco Fds Hi Yld Cl P	A	Dividend			Sold (part)	01/23/15	J	A	Part of Stifel IRA
102. Pimco Fds Hi Yld Cl P	A	Dividend			Sold	10/23/15	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 10 of 12

Name of Person Reporting

SMITH, LISA M.

Date of Report

06/13/2016

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. Oak Ridge Small Cap Growth Fund Class Y	A	Distribution	J	T	Buy (add'l)	01/23/15	J		Part of Stifel IRA
104. Oak Ridge Small Cap Growth Fund Class Y	A	Distribution	J	T	Buy (add'l)	07/24/15	J		Part of Stifel IRA
105. Oak Ridge Small Cap Growth Fund Class Y	A	Distribution	J	T	Sold (part)	10/23/15	J	A	Part of Stifel IRA
106. Wells Fargo Govt Securities Admin Class	A	Dividend	J	T	Buy	05/22/15	J		Part of Stifel IRA
107. Wells Fargo Govt Securities Admin Class	A	Dividend	J	T	Buy	07/24/15	J		Part of Stifel IRA
108. Wells Fargo Govt Securities Admin Class	A	Dividend	J	T	Buy	10/23/15	J		Part of Stifel IRA
109. Inherited IRA (X)(H)									Stifel Inherited IRA
110. -- Stifel Insured Bank Program	A	Interest	J	T					Stifel Inherited IRA
111. -- Frontier Communications (FTR)	A	Dividend	J	T					Stifel Inherited IRA
112. -- Verizon (VZ)	A	Dividend	J	T					Stifel Inherited IRA
113. -- Franklin Income Fund, Class C (FCISX)	A	Dividend	J	T					Stifel Inherited IRA
114. -- John Hancock Income Fund, Cl A (JHFIX)	A	Dividend	J	T					Stifel Inherited IRA
115. Stifel Individual Brokerage Acct (X)(H)									Stifel Individual Account
116. -- Stifel Insured Bank Program	A	Interest	J	T					Stifel Individual Account
117. -- Franklin NY Tax Free Income, Cl A (FNYTX)	B	Dividend	K	T					Stifel Individual Account

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 11 of 12

Name of Person Reporting

SMITH, LISA M.

Date of Report

06/13/2016

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

SMITH, LISA M.

Date of Report

06/13/2016

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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