

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, LISA M.	2. Court or Organization U.S.DISTRICT COURT, SDNY	3. Date of Report 06/14/2017
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 01/01/2016 to 12/31/2016
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 13

Name of Person Reporting

SMITH, LISA M.

Date of Report

06/14/2017

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. 2016

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 13

Name of Person Reporting

SMITH, LISA M.

Date of Report

06/14/2017

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 13

Name of Person Reporting

SMITH, LISA M.

Date of Report

06/14/2017

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. Chase Cash accounts (X)		None	J	T					
2. Fidelity NY Municipal Money Market Fund	A	Dividend	J	T					
3. Fidelity IRA (Puritan Fund)	A	Dividend	K	T					
4. Fidelity IRA (Fidelity Fund)	A	Dividend	J	T					
5. Fidelity IRA (Cash Reserves)	A	Dividend	J	T					
6. Webster Bank, Wilton CT -- Checking Account		None	K	T					
7. Fidelity Growth and Income Fund	A	Dividend	J	T					
8. Fidelity Dividend Growth Fund	A	Dividend	K	T					
9. HSBC IRA (T. Rowe Price Dividend Growth Fund)	A	Dividend	K	T					
10. HSBC, White Plains, NY		None	J	T					
11. Cisco Systems Common Stock	A	Dividend	J	T					
12. Century Link Communications Common Stock	A	Dividend	J	T					
13. Walt Disney Common Stock	A	Dividend	J	T					
14. Nassau Co. N.Y. Ind'l. Dev. Agency Bonds		None			Matured	07/01/16	K		
15. Municipal Assistance Corp. For City of Troy, N.Y. Bonds		None	K	T					
16. Long Island Power Auth. Bonds		None	J	T					
17. Southeast Bank CD	A	Interest			Buy	09/23/16	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 = \$250,001 - \$500,000	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 13

Name of Person Reporting

SMITH, LISA M.

Date of Report

06/14/2017

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. Southeast Bank CD	A	Interest			Matured	12/30/16	K		
19. Stifel Nicolaus IRA money market	A	Interest	J	T					
20. Stifel Nicolaus investment account money market	A	Interest	J	T					
21. Stifel Nicolaus Custodial Acc't for minor child #1 (cash account)	A	Interest	L	T					
22. Stifel Nicolaus Custodial Acc't for minor child #2 (cash account)	A	Interest	J	T					
23. General Electric common stock	A	Dividend	J	T					
24. Citigroup common stock	A	Dividend	J	T					
25. Pfizer common stock	A	Dividend	J	T					
26. Fidelity Unique Coll. Inv. Plan 2018		None	J	T					
27. NY College Savgs Prgrm A/C Mod Age Based Option:Mod Growth		None	J	T					
28. Capital One Financial Corp Common Stock	A	Dividend	J	T					
29. Freeport McMoran Copper & Gold, Inc. Common Stock		None	J	T					
30. Invesco Intermediate Term Muni Income Fund Class Y	A	Dividend	K	T	Buy (add'l)	04/22/16	J		Stifel Inv't a/c
31. Invesco Intermediate Term Muni Income Fund Class Y	A	Dividend	K	T	Sold (part)	01/25/16	J	A	Stifel Inv't a/c
32. Invesco Intermediate Term Muni Income Fund Class Y	A	Dividend	K	T	Sold (part)	07/22/16	J	A	Stifel Inv't a/c
33. Artisan Funds Mid Cap Value -- Investor Class	A	Dividend	J	T	Buy (add'l)	01/25/16	J		Stifel Inv't a/c
34. Artisan Funds Mid Cap Value-- Advisor Class	A	Dividend	J	T	Buy (add'l)	07/22/16	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 13

Name of Person Reporting

SMITH, LISA M.

Date of Report

06/14/2017

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 -- Investor Class	A	Dividend	J	T	Sold (part)	04/22/16	J	A	Stifel Inv't a/c
36. Blackrock Equity Dividend Fund	A	Dividend	J	T	Buy (add'l)	01/25/16	J		Stifel Inv't a/c
37. Blackrock Equity Dividend Fund	A	Dividend	J	T	Buy (add'l)	04/22/16	J		Stifel Inv't a/c
38. Blackrock Equity Dividend Fund	A	Dividend	J	T	Buy (add'l)	07/22/16	J		Stifel Inv't a/c
39. Columbia Contrarian Core	A	Dividend	J	T	Buy (add'l)	04/22/16	J		Stifel Inv't a/c
40. Columbia Contrarian Core	A	Dividend	J	T	Sold (part)	01/25/16	J		Stifel Inv't a/c
41. Columbia Contrarian Core	A	Dividend	J	T	Sold (part)	07/22/16	J	A	Stifel Inv't a/c
42. American Beacon International Equity	A	Dividend	J	T	Buy	07/22/16	J		Stifel Inv't a/c
43. Dodge & Cox International Stock Fund	A	Dividend			Buy (add'l)	01/25/16	J		Stifel Inv't a/c
44. Dodge & Cox International Stock Fund	A	Dividend			Sold (part)	04/22/16	J	A	Stifel Inv't a/c
45. Dodge & Cox International Stock Fund	A	Dividend			Sold	07/22/16	J	A	Stifel Inv't a/c
46. Fidelity Advisor New Insights Instl Cl	A	Dividend	J	T	Buy (add'l)	01/25/16	J		Stifel Inv't a/c
47. Fidelity Advisor New Insights Instl Cl	A	Dividend	J	T	Sold (part)	04/22/16	J	A	Stifel Inv't a/c
48. Fidelity Advisor New Insights Instl Cl	A	Dividend	J	T	Sold (part)	07/22/16	J	A	Stifel Inv't a/c
49. Fidelity Advisor New Insights Instl Cl	A	Dividend	J	T	Sold (part)	10/21/16	J	A	Stifel Inv't a/c
50. Heartland Value Plus Instl Cl I	A	Dividend			Buy (add'l)	01/25/16	J		Stifel Inv't a/c
51. Heartland Value Plus Instl Cl I	A	Dividend			Sold (part)	04/22/16	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 7 of 13

Name of Person Reporting

SMITH, LISA M.

Date of Report

06/14/2017

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			Sold (part)	07/22/16	J		Stifel Inv't a/c
53. Heartland Value Plus Instl C1 I	A	Dividend			Sold	10/04/16	J		Stifel Inv't a/c
54. Henderson International Oppty	A	Dividend	J	T	Buy	07/22/16	J		
55. Nationwide Geneva Mid Cap Gr Instl Svc Class	A	Distribution	J	T	Buy (add'l)	01/25/16	J		Stifel Inv't a/c
56. Nationwide Geneva Mid Cap Gr Instl Svc Class	A	Distribution	J	T	Sold (part)	04/22/16	J	A	Stifel Inv't a/c
57. Nationwide Geneva Mid Cap Gr Instl Svc Class	A	Distribution	J	T	Sold (part)	07/22/16	J	A	Stifel Inv't a/c
58. MFS Intl Growth	A	Dividend	J	T	Buy (add'l)	01/25/16	J		Stifel Inv't a/c
59. MFS Intl Growth	A	Dividend	J	T	Sold (part)	04/22/16	J	A	Stifel Inv't a/c
60. MFS Intl Growth	A	Dividend	J	T	Sold (part)	07/22/16	J	A	Stifel Inv't a/c
61. Oppenheimer Developing Markets C1 Y	A	Dividend	J	T	Buy (add'l)	07/22/16	J		Stifel Inv't a/c
62. Oppenheimer Developing Markets C1 Y	A	Dividend	J	T	Sold (part)	01/25/16	J		Stifel Inv't a/c
63. Oppenheimer Developing Markets C1 Y	A	Dividend	J	T	Sold (part)	04/22/16	J		Stifel Inv't a/c
64. Oppenheimer Developing Markets C1 Y	A	Dividend	J	T	Sold (part)	10/21/16	J		Stifel Inv't a/c
65. Oak Ridge Small Cap Growth Fund	A	Distribution	J	T	Buy (add'l)	01/25/16	J		Stifel Inv't a/c
66. Oak Ridge Small Cap Growth Fund	A	Distribution	J	T	Sold (part)	04/22/16	J	A	Stifel Inv't a/c
67. Oak Ridge Small Cap Growth Fund	A	Distribution	J	T	Sold (part)	07/22/16	J	A	Stifel Inv't a/c
68. Pimco High Yield	A	Dividend	J	T	Buy	10/21/16	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = 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 - \$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 13

Name of Person Reporting

SMITH, LISA M.

Date of Report

06/14/2017

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. Wells Fargo Small Cap Value	A	Dividend	J	T	Buy	10/04/16	J		Stifel Inv't a/c
70. American Beacon International Equity	A	Dividend	J	T	Buy	07/22/16	J		Part of Stifel IRA
71. American Beacon International Equity	A	Dividend	J	T	Sold (part)	10/21/16	J	A	Part of Stifel IRA
72. Artisan Funds Mid Cap Value -- Investor Class	A	Dividend	J	T	Buy (add'l)	01/25/16	J		Part of Stifel IRA
73. Artisan Funds Mid Cap Value -- Advisor Class	A	Dividend	J	T	Sold (part)	07/22/16	J	A	Part of Stifel IRA
74. Artisan Funds Mid Cap Value -- Investor Class	A	Dividend	J	T	Sold (part)	04/22/16	J	A	Part of Stifel IRA
75. Artisan Funds Mid Cap Value -- Advisor Class	A	Dividend	J	T	Sold (part)	10/21/16	J	A	Part of Stifel IRA
76. Blackrock Equity Dividend Fund	A	Dividend	J	T	Sold (part)	01/25/16	J		Part of Stifel IRA
77. Blackrock Equity Dividend Fund	A	Dividend	J	T	Buy (add'l)	04/22/16	J		Part of Stifel IRA
78. Blackrock Equity Dividend Fund	A	Dividend	J	T	Buy (add'l)	07/22/16	J		Part of Stifel IRA
79. Columbia Contrarian Core Fund Class Z	A	Dividend	J	T	Sold (part)	01/25/16	J		Part of Stifel IRA
80. Columbia Contrarian Core Fund Class Z	A	Dividend	J	T	Buy (add'l)	04/22/16	J		Part of Stifel IRA
81. Columbia Contrarian Core Fund Class Z	A	Dividend	J	T	Buy (add'l)	07/22/16	J		Part of Stifel IRA
82. Fidelity Advisor New Insight Mutual Fund Institutional Class	A	Dividend	J	T	Sold (part)	01/25/16	J		Part of Stifel IRA
83. Fidelity Advisor New Insight Mutual Fund Institutional Class	A	Dividend	J	T	Sold (part)	04/22/16	J	A	Part of Stifel IRA
84. Fidelity Advisor New Insight Mutual Fund Institutional Class	A	Dividend	J	T	Sold (part)	07/22/16	J	A	Part of Stifel IRA
85. Fidelity Advisor New Insight Mutual Fund Institutional Class	A	Dividend	J	T	Sold (part)	10/21/16	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 13

Name of Person Reporting

SMITH, LISA M.

Date of Report

06/14/2017

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. Oppenheimer Developing Markets Class Y	A	Dividend	J	T	Sold (part)	01/25/16	J		Part of Stifel IRA
87. Oppenheimer Developing Markets Class Y	A	Dividend	J	T	Sold (part)	04/22/16	J		Part of Stifel IRA
88. Oppenheimer Developing Markets Class Y	A	Dividend	J	T	Sold (part)	07/22/16	J		Part of Stifel IRA
89. Oppenheimer Developing Markets Class Y	A	Dividend	J	T	Sold (part)	10/21/16	J		Part of Stifel IRA
90. Dodge & Cox Intl Stock Fund	A	Dividend			Buy (add'l)	01/25/16	J		Part of Stifel IRA
91. Dodge & Cox Intl Stock Fund	A	Dividend			Sold (part)	04/22/16	J	A	Part of Stifel IRA
92. Dodge & Cox Intl Stock Fund	A	Dividend			Sold	07/22/16	J	A	Part of Stifel IRA
93. Harbor Fund Bond Fund	A	Dividend	J	T	Buy (add'l)	01/26/16	J		Part of Stifel IRA
94. Harbor Fund Bond Fund	A	Dividend	J	T	Buy (add'l)	04/22/16	J		Part of Stifel IRA
95. Harbor Fund Bond Fund	A	Dividend	J	T	Sold (part)	07/22/16	J		Part of Stifel IRA
96. Heartland Value Plus Instl C1 I	A	Dividend			Buy (add'l)	01/25/16	J		Part of Stifel IRA
97. Heartland Value Plus Instl C1 I	A	Dividend			Sold (part)	04/22/16	J		Part of Stifel IRA
98. Heartland Value Plus Instl C1 I	A	Dividend			Sold	10/04/16	J		Part of Stifel IRA
99. Henderson International Oppty	A	Dividend	J	T	Buy	07/22/16	J		Part of Stifel IRA
100. Henderson International Oppty	A	Dividend	J	T	Sold (part)	10/21/16	J	A	Part of Stifel IRA
101. Nationwide Mutual New Geneva Mid Cap Growth Instl Svc Class	A	Distribution	J	T	Buy	01/25/16	J		Part of Stifel IRA
102. Nationwide Mutual New Geneva Mid Cap Growth Instl Svc Class	A	Distribution	J	T	Sold (part)	04/22/16	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 13

Name of Person Reporting

SMITH, LISA M.

Date of Report

06/14/2017

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. MFS Intl Growth Fd C1 I	A	Dividend	J	T	Buy (add'l)	01/25/16	J		Part of Stifel IRA
104. MFS Intl Growth Fd C1 I	A	Dividend	J	T	Sold (part)	04/22/16	J	A	Part of Stifel IRA
105. MFS Intl Growth Fd C1 I	A	Dividend	J	T	Sold (part)	07/22/16	J	A	Part of Stifel IRA
106. MFS Intl Growth Fd C1 I	A	Dividend	J	T	Sold (part)	10/21/16	J	A	Part of Stifel IRA
107. Pimco Fds Hi Yld C1 P	A	Dividend	J	T	Buy	10/21/16	J		Part of Stifel IRA
108. Oak Ridge Small Cap Growth Fund Class Y	A	Distribution	J	T	Buy (add'l)	01/25/16	J		Part of Stifel IRA
109. Oak Ridge Small Cap Growth Fund Class Y	A	Distribution	J	T	Sold (part)	04/22/16	J	A	Part of Stifel IRA
110. Oak Ridge Small Cap Growth Fund Class Y	A	Distribution	J	T	Sold (part)	07/22/16	J	A	Part of Stifel IRA
111. Wells Fargo Govt Securities Admin Class	A	Dividend	J	T	Buy (add'l)	01/25/16	J		Part of Stifel IRA
112. Wells Fargo Govt Securities Admin Class	A	Dividend	J	T	Buy (add'l)	04/22/16	J		Part of Stifel IRA
113. Wells Fargo Special Small Cap Value	A	Dividend	J	T	Buy	10/04/16	J		Part of Stifel IRA
114. Inherited IRA (H)									Stifel Inherited IRA
115. -- Stifel Insured Bank Program	A	Interest	J	T					Stifel Inherited IRA
116. -- Frontier Communications (FTR)	A	Dividend			Sold	12/09/16	J	A	Stifel Inherited IRA
117. -- Verizon (VZ)	A	Dividend	J	T					Stifel Inherited IRA
118. -- Franklin Income Fund, Class C (FCISX)	A	Dividend	J	T					Stifel Inherited IRA
119. -- John Hancock Income Fund, Cl A (JHFIX)	A	Dividend	J	T	Sold (part)	12/09/16	J	A	Stifel Inherited 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	

FINANCIAL DISCLOSURE REPORT

Page 11 of 13

Name of Person Reporting

SMITH, LISA M.

Date of Report

06/14/2017

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. Stifel Individual Brokerage Acct (H)									Stifel Individual Account
121. -- Stifel Insured Bank Program	A	Interest	J	T					Stifel Individual Account
122. -- Franklin NY Tax Free Income, Cl A (FNYTX)	B	Dividend	K	T					Stifel Individual Account

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 12 of 13

Name of Person Reporting

SMITH, LISA M.

Date of Report

06/14/2017

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

1. Lines 32-34, 72-74: For Artisan Mid Cap Value fund, shares of the 'investor' class were exchanged for shares of the 'advisor' class on 5/10/16.
2. Lines 57-59, 102-105: The MFS Ser Tr X Intl Growth Fund is now known only as the MFS Intl Growth Fund.

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

SMITH, LISA M.

Date of Report

06/14/2017

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