AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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)	2. Court or Organization	3. Date of Report
Smith Jr., Milan D.	Ninth Circuit Court of Appeals	05/12/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
Circuit Judge	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
United States Court of Appeals 222 N. Pacific Coast Highway, Suite 2325 El Segundo, CA 90245-5648		

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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Director	Ninth Judicial Circuit Historical Society
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

☑ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (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.)*

	DATE	SOURCE
1.	2021	Self-Employed Attorney
2.	2021	Gogian Foundation-Trustee
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Smith Jr., Milan D.	05/12/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
1. Intuitive Surgical Inc.		None	K	T	Sold (part)	02/25/21	J	C	
2.					Sold (part)	10/12/21	J	C	
3. American Tower Corp CL A	A	Dividend	K	T	Sold (part)	11/01/21	J	C	
4. Pepsico Incorporated	B	Dividend	L	T	Sold (part)	11/17/21	J	B	
5. Canadian Natl Ry Co.	A	Dividend	K	T	Sold (part)	09/30/21	J	C	
6. Quanta SVCS Inc	A	Dividend	K	T	Sold (part)	02/25/21	J	C	
7.					Sold (part)	04/26/21	J	D	
8.					Sold (part)	10/01/21	J	D	
9. Oneok Inc New	C	Dividend	L	T	Buy (add'l)	01/21/21	J		
10.					Sold (part)	06/15/21	J	A	
11.					Sold (part)	10/22/21	J	A	
12.					Sold (part)	10/27/21	J	A	
13.					Sold (part)	11/17/21	J	B	
14. Ishares Trust Barclays 1-3 Yr. Treasury Bd FD	A	Dividend	M	T	Buy (add'l)	04/26/21	K		
15.					Buy (add'l)	04/27/21	K		
16.					Sold (part)	08/12/21	K	A	
17. MFA Mortgage Investments Inc. (MFA Financial Inc)	C	Dividend	K	T	Buy (add'l)	11/04/21	J		

1 Income Gain Codes: (See Columns B1 and D4)	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	
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000		
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market		
	U =Book Value	V =Other	W =Estimated			

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18.					Sold (part)	01/21/21	J	A	
19.					Sold (part)	04/29/21	J	A	
20.					Sold (part)	06/15/21	J	A	
21.					Sold (part)	06/29/21	J	A	
22.					Sold (part)	07/28/21	J	A	
23.					Sold (part)	07/30/21	J	A	
24.					Sold (part)	08/17/21	J	A	
25.					Sold (part)	08/31/21	J	A	
26.					Sold (part)	11/05/21	J	A	
27.					Sold (part)	12/23/21	J	A	
28.	Putnam Managed Municipal Income Trust-SBI	A	Dividend			Sold (part)	01/07/21	J	B
29.						Sold	01/13/21	J	C
30.	Putnam Municipal Opportunities Trust-SBI	A	Dividend			Sold	02/26/21	J	C
31.	Ishares Trust Iboxx $ Investop Investment Grade Bond Fund	C	Dividend	M	T	Buy (add'l)	09/14/21	J	
32.						Buy (add'l)	10/22/21	J	
33.						Buy (add'l)	11/30/21	J	
34.						Sold (part)	02/25/21	J	A

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
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35.					Sold (part)	06/15/21	J	A	
36. Ameren Corp	B	Dividend	L	T					
37. Abbott Laboratories	A	Dividend	K	T	Sold (part)	12/06/21	J	D	
38.					Sold (part)	12/23/21	J	C	
39. Enterprise Products Partners LP	B	Distribution	K	T					
40. Gabelli Dividend & Income Fund	D	Dividend	M	T	Buy (add'l)	01/21/21	J		
41.					Sold (part)	06/15/21	J	A	
42. Eli Lilly & Co	A	Dividend	K	T	Sold (part)	01/12/21	J	A	
43.					Sold (part)	01/13/21	J	A	
44.					Sold (part)	02/04/21	J	A	
45.					Sold (part)	06/15/21	J	A	
46.					Sold (part)	06/25/21	J	B	
47.					Sold (part)	06/29/21	J	A	
48.					Sold (part)	08/13/21	J	C	
49.					Sold (part)	08/27/21	J	A	
50.					Sold (part)	11/30/21	J	A	
51.					Sold (part)	12/31/21	J	A	

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	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
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	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	
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52. Tekla Healthcare Invs Sh Ben Int Investors SBI)	B	Dividend			Sold (part)	08/13/21	J	D	
53.					Sold (part)	08/16/21	J	A	
54.					Sold	08/17/21	J	D	
55. Ishares TR S&P Short Term Natl Amtfr	A	Dividend	L	T					
56. Textron Inc	A	Dividend	J	T	Buy (add'l)	01/29/21	J		
57.					Buy (add'l)	02/23/21	J		
58.					Sold (part)	01/28/21	J	A	
59. Vanguard Scottsdale Funds Vanguard Short Term Corp Bond ETF	C	Dividend	N	T	Buy (add'l)	05/11/21	J		
60.					Buy (add'l)	10/28/21	J		
61.					Buy (add'l)	12/23/21	K		
62.					Sold (part)	01/21/21	J	A	
63.					Sold (part)	06/03/21	J	A	
64.					Sold (part)	06/15/21	J	A	
65. BlackRock Credit Allocation	C	Dividend			Sold (part)	01/21/21	J	A	
66.					Sold (part)	06/15/21	J	A	
67.					Sold (part)	07/30/21	J	A	
68.					Sold (part)	08/11/21	J	C	

1 Income Gain Codes: (See Columns B1 and D4) — 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; 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 (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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

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69.					Sold (part)	08/12/21	J	B	
70.					Sold (part)	08/17/21	J	A	
71.					Sold (part)	09/23/21	J	A	
72.					Sold (part)	10/11/21	J	A	
73.					Sold (part)	10/12/21	J	B	
74.					Sold (part)	10/13/21	J	B	
75.					Sold	10/20/21	K	C	
76. Ishares Trust S&P Global Info Technology Sector Index Fund	A	Dividend	M	T	Sold (part)	01/19/21	J	C	
77.					Sold (part)	02/26/21	J	B	
78.					Sold (part)	03/18/21	J	C	
79.					Sold (part)	04/28/21	J	A	
80.					Sold (part)	05/11/21	J	B	
81.					Sold (part)	06/03/21	J	D	
82.					Sold (part)	07/29/21	J	C	
83.					Sold (part)	09/28/21	J	A	
84.					Sold (part)	10/12/21	J	B	
85.					Sold (part)	10/21/21	J	B	

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
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86. Corning Inc	B	Dividend	L	T	Sold (part)	02/25/21	J	B	
87.					Sold (part)	03/26/21	J	A	
88.					Sold (part)	04/26/21	J	B	
89.					Sold (part)	04/30/21	J	A	
90.					Sold (part)	06/15/21	J	A	
91. Koninklijke Philips Electrs N V Sponsored ADR New 2000	B	Dividend	K	T	Buy (add'l)	01/21/21	J		
92.					Buy (add'l)	11/30/21	J		
93.					Sold (part)	04/14/21	J	A	
94.					Sold (part)	04/28/21	J	A	
95.					Sold (part)	06/03/21	J	B	
96.					Sold (part)	06/15/21	J	A	
97. Columbia Fds Ser TR IX Tax Exempt FD CL A	A	Dividend	K	T					
98. Gabelli Healthcare & Wellness Trust	C	Dividend	L	T					
99. BlackRock Equity Dividend Trust	C	Dividend	L	T	Sold (part)	01/21/21	J	A	
100.					Sold (part)	06/15/21	J	A	
101.					Sold (part)	07/30/21	J	A	
102.					Sold (part)	08/13/21	J	A	

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2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000		
	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		
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103.					Sold (part)	08/27/21	J	A	
104.					Sold (part)	09/28/21	J	A	
105.					Sold (part)	11/04/21	J	C	
106.					Sold (part)	12/01/21	J	A	
107.					Sold (part)	12/30/21	J	A	
108. Centerpoint Energy Inc.	A	Dividend	K	T	Sold (part)	01/21/21	J	A	
109.					Sold (part)	06/15/21	J	A	
110. American Electric Power Co Inc	A	Dividend	K	T	Buy (add'l)	01/28/21	J		
111.					Sold (part)	06/15/21	J	A	
112. Pimco ETF TR Enhanced Short Maturity	C	Dividend	N	T	Buy (add'l)	01/21/21	K		
113.					Buy (add'l)	02/03/21	J		
114.					Buy (add'l)	04/27/21	J		
115.					Buy (add'l)	12/07/21	J		
116.					Sold (part)	04/29/21	J	A	
117.					Sold (part)	07/26/21	K	A	
118.					Sold (part)	07/28/21	K	A	
119.					Sold (part)	08/02/21	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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		
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Name of Person Reporting	Date of Report
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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
120.					Sold (part)	11/17/21	J	A	
121. Southern Co	B	Dividend	K	T	Sold (part)	06/15/21	J	B	
122.					Sold (part)	08/31/21	J	A	
123. Ishares TR Dow Jones SEL Divid Index FD	B	Dividend	K	T					
124. FirstEnergy Corp	B	Dividend	L	T	Buy (add'l)	01/21/21	J		
125.					Sold (part)	06/15/21	J	A	
126.					Sold (part)	06/29/21	J	A	
127. Sempra Energy	A	Dividend	K	T	Sold (part)	06/15/21	J	A	
128. Anworth Mortgage Asset Corp	B	Dividend			Buy (add'l)	01/01/21	J		
129.					Sold (part)	03/02/21	J	C	
130.					Sold (part)	03/22/21	J	D	
131.					Merged (with line 433)	03/22/21	K		
132. Abbvie Inc.	C	Dividend	L	T	Buy	04/27/21	J		
133. Merck & Co. Inc.	B	Dividend	L	T					
134. Air Lease Corporation	A	Dividend	K	T	Buy (add'l)	01/21/21	J		
135.					Sold (part)	01/14/21	J	A	
136.					Sold (part)	02/04/21	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
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A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
137.					Sold (part)	06/15/21	J	A	
138.					Sold (part)	06/25/21	J	A	
139. Eaton Vance California Municipal Bond Fund	B	Dividend	K	T					
140. Conagra Foods Inc.	A	Dividend	K	T					
141. Neuberger Berman Real Estate Securities Income Fund	A	Dividend	J	T					
142. Ishares 3 to 7 Year Treasury Bond ETF	A	Dividend	L	T	Buy (add'l)	11/30/21	J		
143.					Sold (part)	05/11/21	J	A	
144.					Sold (part)	10/22/21	J	A	
145. Ishares US ETF Tr Short Term Maturity Bond ETF	A	Dividend			Sold (part)	05/11/21	L	A	
146.					Sold	10/12/21	L	A	
147. One Gas Inc.	B	Dividend	K	T					
148. Ishares Tr 0-5 Yr Invt Grade Corp Bd ETF	B	Dividend	L	T	Sold (part)	07/30/21	K	A	
149. Ishares Gold Trust		None	K	T					
150. Sprott Physical Gold and Silver Trust	A	Dividend	L	T					
151. Pimco Intermediate Municipal Bond Active Exchange Traded Fund	B	Dividend	L	T	Buy (add'l)	04/26/21	J		
152. Bank of Nova Scotia	A	Dividend	J	T	Sold (part)	03/31/21	J	A	
153.					Sold (part)	04/01/21	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	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	
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000		
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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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154.					Sold (part)	06/15/21	J	A	
155. Eaton Corporation	A	Dividend	J	T					
156. Transamerica Advisors: Whole Life Insurance Policy		None	K	T					
157. Aurora National Life Assurance: Whole Life Insurance Policy		None	K	T					
158. Metlife: Whole Life Insurance Policy	A	Int./Div.	J	T					
159. Lamb Weston Holdings Inc Common Stock	A	Dividend	K	T	Buy (add'l)	04/27/21	J		
160.					Buy (add'l)	11/05/21	J		
161.					Sold (part)	06/15/21	J	A	
162.					Sold (part)	12/06/21	J	A	
163. Vaneck Vectors ETF TR Gold Miners ETF	A	Dividend	L	T	Buy (add'l)	01/21/21	J		
164.					Buy (add'l)	07/26/21	J		
165.					Sold (part)	02/03/21	J	A	
166.					Sold (part)	02/26/21	J	B	
167.					Sold (part)	06/15/21	J	A	
168. Alps ETF TR Sprott Gold Miners ETF		None	K	T					
169. SPDR Ser TR S&P Biotech ETF	A	Dividend	J	T	Buy (add'l)	01/21/21	J		
170.					Sold (part)	02/03/21	J	B	

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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
171.					Sold (part)	02/10/21	J	A	
172.					Sold (part)	06/15/21	J	A	
173. Franco-Nevada Corporation	A	Dividend	K	T	Sold (part)	01/21/21	J		
174.					Sold (part)	06/15/21	J	A	
175.					Sold (part)	07/30/21	J	A	
176. Pimco Stocksplus Short Fund Class	A	Dividend			Buy (add'l)	06/18/21	K		
177.					Sold (part)	08/13/21	K	A	
178.					Sold	11/05/21	K	A	
179. Vanguard FTSE Developed Markets ETF	B	Dividend	K	T					
180. Cryoport Inc Com		None	K	T	Buy (add'l)	12/31/21	J		
181.					Sold (part)	01/22/21	J	B	
182.					Sold (part)	02/03/21	J	C	
183.					Sold (part)	02/04/21	J	A	
184.					Sold (part)	02/10/21	J	A	
185.					Sold (part)	02/25/21	J	C	
186.					Sold (part)	05/11/21	J	A	
187.					Sold (part)	06/15/21	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	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	
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000		
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	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		
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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
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188.					Sold (part)	06/29/21	J	A	
189.					Sold (part)	10/12/21	J	C	
190.					Sold (part)	10/27/21	J	A	
191. International Business Machines Corp	B	Dividend	L	T	Buy (add'l)	01/21/21	J		
192.					Buy (add'l)	05/17/21	J		
193.					Sold (part)	06/15/21	J	A	
194. Kroger Co	A	Dividend	K	T	Buy (add'l)	06/02/21	J		
195.					Sold (part)	01/21/21	J	A	
196.					Sold (part)	06/15/21	J	A	
197. Warrior Met Coal Inc Common Stock	A	Dividend			Sold (part)	05/11/21	J	A	
198.					Sold	06/02/21	K	A	
199. Vaneck Vectors ETF TR Amt Free Intermediate Muni Index ETF	A	Dividend	K	T	Buy (add'l)	04/26/21	J		
200. Thornburg California Limited Term Municipal Fund CL I	A	Dividend	L	T	Buy (add'l)	12/22/21	K		
201. RBC Insured Deposits	A	Interest	L	T					
202. Vanguard GNMA	B	Dividend	L	T	Buy (add'l)	01/01/21	K		
203.					Buy (add'l)	01/04/21	K		
204.					Buy (add'l)	02/26/21	M		

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205.					Buy (add'l)	03/03/21	K		
206.					Buy (add'l)	03/18/21	K		
207.					Buy (add'l)	06/08/21	K		
208.					Buy (add'l)	07/29/21	K		
209.					Buy (add'l)	08/31/21	J		
210.					Buy (add'l)	09/30/21	K		
211.					Buy (add'l)	10/12/21	J		
212.					Buy (add'l)	11/30/21	K		
213.					Sold (part)	01/19/21	J	A	
214.					Sold (part)	01/22/21	J	A	
215.					Sold (part)	01/25/21	J	A	
216.					Sold (part)	01/26/21	J	A	
217.					Sold (part)	01/28/21	J	A	
218.					Sold (part)	01/29/21	J	A	
219.					Sold (part)	02/03/21	J	A	
220.					Sold (part)	02/04/21	J	A	
221.					Sold (part)	03/01/21	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	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
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222.					Sold (part)	04/26/21	M	A	
223.					Sold (part)	04/27/21	J	A	
224.					Sold (part)	05/11/21	J	A	
225.					Sold (part)	05/17/21	J	A	
226.					Sold (part)	06/02/21	K	A	
227.					Sold (part)	06/03/21	L	A	
228.					Sold (part)	06/18/21	K	A	
229.					Sold (part)	07/26/21	K	A	
230.					Sold (part)	07/30/21	K	A	
231.					Sold (part)	08/13/21	J	A	
232.					Sold (part)	08/17/21	J	A	
233.					Sold (part)	09/30/21	J	A	
234.					Sold (part)	10/12/21	J	A	
235.					Sold (part)	10/18/21	J	A	
236.					Sold (part)	10/21/21	J	A	
237.					Sold (part)	12/06/21	J	A	
238.					Sold (part)	12/23/21	K	A	

1 Income Gain Codes: (See Columns B1 and D4)	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
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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H)	B (2) Type (e g , div , rent, or int)	C Gross value at end of reporting period (1) Value Code 2 (J-P)	C (2) Value Method Code 3 (Q-W)	D Transactions during reporting period (1) Type (e g , buy, sell, redemption)	D (2) Date mm/dd/yy	D (3) Value Code 2 (J-P)	D (4) Gain Code 1 (A-H)	
239. General Mills Inc	A	Dividend	J	T	Buy (add'l)	06/02/21	J		
240. Kraft Heinz Co.	A	Dividend	J	T					
241. GlaxoSmithKline PLC	A	Dividend	J	T	Buy (add'l)	05/11/21	J		
242. iShares Intermediate-Term Corporate Bond ETF	D	Dividend	N	T	Buy (add'l)	02/25/21	J		
243.					Buy (add'l)	05/11/21	J		
244.					Buy (add'l)	06/29/21	J		
245.					Buy (add'l)	10/12/21	J		
246.					Buy (add'l)	10/28/21	J		
247.					Sold (part)	01/21/21	J	A	
248.					Sold (part)	06/15/21	J	A	
249. iShares Short-Term Corporate Bond ETF	D	Dividend	N	T	Buy (add'l)	04/26/21	K		
250.					Buy (add'l)	05/11/21	J		
251.					Buy (add'l)	12/23/21	K		
252.					Sold (part)	02/25/21	J	A	
253.					Sold (part)	08/12/21	K	A	
254. SPDR Portfolio Short Term Treasury ETF	A	Dividend	L	T	Buy (add'l)	10/28/21	J		
255.					Sold (part)	01/21/21	J	A	

1 Income Gain Codes: (See Columns B1 and D4) — 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; 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 (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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 (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

Name of Person Reporting	Date of Report
Smith Jr., Milan D.	05/12/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
256.					Sold (part)	06/15/21	J	A	
257.					Sold (part)	08/13/21	J	A	
258. QTS Realty Trust, Inc.	B	Dividend			Sold (part)	06/08/21	J	A	
259.					Sold (part)	06/15/21	J	A	
260.					Sold (part)	06/17/21	J	A	
261.					Sold (part)	06/18/21	J	C	
262.					Sold (part)	06/29/21	J	A	
263.					Sold (part)	07/29/21	J	C	
264.					Sold	09/01/21	K	E	
265. Gilead Sciences, Inc.	A	Dividend	K	T	Buy (add'l)	05/11/21	J		
266.					Buy (add'l)	12/23/21	J		
267. Verizon Communications Inc	A	Dividend	K	T					
268. Royal Gold, Inc.	A	Dividend	K	T	Buy (add'l)	04/26/21	J		
269.					Sold (part)	12/23/21	J	A	
270. iShares Broad USD Investment Grade Corporate Bond ETF	B	Dividend	L	T					
271. Grizzly Short Fund		None	M	T	Buy	08/13/21	K		
272.					Buy (add'l)	09/30/21	K		

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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		
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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
273.					Buy (add'l)	11/05/21	K		
274.					Buy (add'l)	10/12/21	K		
275. Strips Tint Due 02/15/2021		None			Sold	02/16/21	K	A	
276. Intel Corporation - Common Stock	A	Dividend	J	T	Sold (part)	01/21/21	J	A	
277. Vanguard Calif Tax Free Intermediate Term Tax Exempt Fund	A	Dividend	K	T					
278. Global X Funds Global X Lithium & Battery	A	Dividend	J	T	Sold (part)	01/21/21	J	A	
279.					Sold (part)	06/15/21	J	A	
280.					Sold (part)	10/22/21	J	A	
281.					Sold (part)	11/30/21	J	A	
282. Two Harbors Investment Corp Common Stock	C	Dividend	K	T	Buy (add'l)	01/20/21	J		
283.					Buy (add'l)	01/21/21	J		
284.					Buy (add'l)	06/02/21	J		
285.					Buy (add'l)	07/30/21	J		
286.					Buy (add'l)	10/28/21	J		
287.					Buy (add'l)	11/01/21	J		
288.					Sold (part)	01/21/21	J	A	
289.					Sold (part)	06/15/21	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
290.					Sold (part)	06/18/21	J	A	
291.					Sold (part)	09/30/21	J	A	
292. Landmark Infrastructure Partners LP - Common Units	A	Distribution			Sold	08/05/21	J	A	
293. Ishares Trust Ultra Short Term Bond ETFF	B	Dividend	M	T	Buy (add'l)	04/27/21	J		
294.					Sold (part)	06/15/21	J	A	
295.					Sold (part)	07/26/21	K	A	
296.					Sold (part)	07/29/21	M	A	
297. Dominion Energy Inc Common Stock	A	Dividend	K	T					
298. Walgreen Boots Alliance Inc Com	B	Dividend	L	T	Buy (add'l)	01/21/21	J		
299.					Sold (part)	06/15/21	J	A	
300. iShares Aaa - A Rated Corporate Bond	A	Dividend	L	T					
301. Pennymac Mortgage Investment Trust	B	Dividend	K	T	Buy (add'l)	09/30/21	J		
302.					Buy (add'l)	11/30/21	K		
303.					Buy (add'l)	12/22/21	J		
304.					Sold (part)	01/21/21	J	A	
305.					Sold (part)	06/15/21	J	A	
306. Targa Resources Corp	A	Dividend	K	T	Buy (add'l)	05/17/21	J		

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
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Name of Person Reporting	Date of Report
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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
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307. Strips Tint Due 2/15/2021 Original Issue Discount		None			Sold	05/17/21	K	A	
308. Strips Tint Due 8/15/2021		None			Sold	08/16/21	K	A	
309. American Centy Calif Tax-Free Calif Inter Term Tax Free CL I	B	Dividend	M	T					
310. New Residential Investment Corp	B	Dividend	K	T	Buy (add'l)	04/26/21	J		
311.					Buy (add'l)	12/23/21	J		
312.					Sold (part)	01/21/21	J	A	
313.					Sold (part)	03/03/21	J	A	
314.					Sold (part)	06/15/21	J	A	
315.					Sold (part)	09/13/21	J	A	
316.					Sold (part)	12/06/21	J	A	
317.					Sold (part)	12/29/21	J	A	
318. Pimco Energy and Tactical Credit Opportunities Fund	D	Dividend	M	T	Buy (add'l)	01/14/21	J		
319.					Buy (add'l)	01/21/21	J		
320.					Buy (add'l)	01/28/21	J		
321.					Buy (add'l)	04/26/21	J		
322.					Buy (add'l)	07/30/21	J		
323.					Buy (add'l)	10/12/21	J		

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
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Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
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324.					Buy (add'l)	11/30/21	J		
325.					Sold (part)	06/15/21	J	A	
326. Sunpower Corporation		None	K	T	Buy (add'l)	12/22/21	J		
327.					Buy (add'l)	12/31/21	J		
328.					Sold (part)	01/28/21	J	C	
329. SPDR Series Trust SPDR Portfolio Tips ETF	D	Dividend	M	T	Buy (add'l)	06/03/21	L		
330.					Buy (add'l)	09/14/21	J		
331.					Buy (add'l)	12/31/21	J		
332.					Sold (part)	01/21/21	J	A	
333.					Sold (part)	02/25/21	K	A	
334.					Sold (part)	03/18/21	K	A	
335.					Sold (part)	04/07/21	J	A	
336.					Sold (part)	04/14/21	J	A	
337.					Sold (part)	06/15/21	J	A	
338.					Sold (part)	07/26/21	J	A	
339.					Sold (part)	08/12/21	J	A	
340. United States Treasury Bill Re-Issue 11/27/2020		None			Sold	02/25/21	N	C	

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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		
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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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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 (1) Amount Code 1 (A-H)	B (2) Type (e g , div , rent, or int)	C Gross value at end of reporting period (1) Value Code 2 (J-P)	C (2) Value Method Code 3 (Q-W)	D Transactions during reporting period (1) Type (e g , buy, sell, redemption)	D (2) Date mm/dd/yy	D (3) Value Code 2 (J-P)	D (4) Gain Code 1 (A-H)	
341. SPDR Series Trust SPDR Nuveen Bloomberg Barclays	A	Dividend	K	T	Buy (add'l)	06/02/21	J		
342.					Sold (part)	08/12/21	L	A	
343. Thornburg Invt TR	A	Dividend	L	T	Buy (add'l)	04/26/21	K		
344.					Buy (add'l)	12/22/21	K		
345.					Sold (part)	08/12/21	K	A	
346. ASA Gold and Precious Metals Limited	A	Dividend			Buy (add'l)	04/26/21	J		
347.					Sold	07/26/21	J	A	
348. Vanguard Mun BD Fds Municipal Money Market Fund	A	Dividend			Buy (add'l)	08/13/21	K		
349.					Sold (part)	01/01/21	J	A	
350.					Sold (part)	03/18/21	J	A	
351.					Sold (part)	08/31/21	J	A	
352.					Sold (part)	11/05/21	J	A	
353.					Sold	11/17/21	J	A	
354. AES Corp	B	Dividend	K	T	Sold (part)	03/18/21	J	B	
355. Cisco Systems Inc.	A	Dividend	K	T					
356. Lumen Technologies Inc Common Stock	C	Dividend	K	T					
357. Invesco Exchange Traded FD TR II Taxable Mun Bd ETF	C	Dividend	M	T	Buy (add'l)	02/25/21	J		

1 Income Gain Codes: (See Columns B1 and D4)	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	
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000		
	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			
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A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
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358.					Buy (add'l)	03/19/21	J		
359.					Buy (add'l)	09/13/21	J		
360.					Buy (add'l)	10/21/21	J		
361.					Buy (add'l)	10/28/21	J		
362.					Sold (part)	01/21/21	J	A	
363.					Sold (part)	06/15/21	J	A	
364.					Sold (part)	11/29/21	J	A	
365. AGNC Investment Corp Common Stock	C	Dividend	K	T	Buy (add'l)	01/19/21	J		
366.					Buy (add'l)	09/30/21	J		
367.					Buy (add'l)	10/28/21	J		
368.					Sold (part)	01/21/21	J	A	
369.					Sold (part)	06/15/21	J	A	
370. Redwood Trust Inc	B	Dividend	K	T	Buy (add'l)	06/15/21	J		
371.					Sold (part)	01/21/21	J	A	
372.					Sold (part)	03/30/21	J	A	
373.					Sold (part)	06/25/21	J	A	
374.					Sold (part)	06/29/21	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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		
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Name of Person Reporting	Date of Report
Smith Jr., Milan D.	05/12/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
375.					Sold (part)	09/29/21	J	A	
376.					Sold (part)	10/12/21	J	A	
377.					Sold (part)	10/21/21	J	A	
378.					Sold (part)	10/27/21	J	A	
379. Atlantica Sustainable Infrastructure PLC Ordinary Shares	A	Dividend	K	T	Buy (add'l)	05/11/21	J		
380.					Buy (add'l)	08/31/21	J		
381.					Buy (add'l)	10/21/21	J		
382. Ishares S&P Small Cap 600 Value ETF	A	Dividend	J	T	Buy (add'l)	01/21/21	J		
383.					Sold (part)	06/15/21	J	A	
384. Ishares US Technology ETF	A	Dividend	J	T	Sold (part)	01/21/21	J	A	
385.					Sold (part)	06/15/21	J	A	
386.					Sold (part)	07/30/21	J	A	
387.					Sold (part)	11/30/21	J	A	
388. Johnson & Johnson	A	Dividend	J	T	Sold (part)	06/15/21	J	A	
389. Pfizer Inc	A	Dividend	J	T	Buy (add'l)	01/21/21	J		
390.					Sold (part)	06/15/21	J	A	
391. Hennessy Japan Fund Investor Class Shares	A	Dividend	J	T	Buy (add'l)	01/19/21	J		

1 Income Gain Codes: (See Columns B1 and D4)	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
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2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
392.					Buy (add'l)	01/21/21	J		
393.					Buy (add'l)	03/01/21	J		
394.					Buy (add'l)	06/03/21	J		
395.					Sold (part)	06/15/21	J	A	
396.					Sold (part)	07/15/21	J	A	
397.					Sold (part)	07/30/21	J	A	
398.					Sold (part)	08/13/21	J	A	
399.	Ishares Inc Shares MSCI Emerging Markets Ex China ETF	A	Dividend	K	T	Buy (add'l)	01/19/21	J	
400.						Buy (add'l)	01/21/21	J	
401.						Buy (add'l)	02/26/21	J	
402.						Buy (add'l)	03/11/21	J	
403.						Sold (part)	06/15/21	J	A
404.	Vodafone Group PLC Sponsored ADR No Par	A	Dividend			Sold (part)	01/21/21	J	A
405.						Sold (part)	06/15/21	J	A
406.						Sold	12/31/21	J	A
407.	Metlife Insurance	A	Dividend	K	T	Buy (add'l)	01/21/21	J	
408.						Sold (part)	06/15/21	J	A

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
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Name of Person Reporting	Date of Report
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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
409. Vanguard Short Term Inflation Protected Securities Index Fund	E	Dividend	N	T	Buy	02/25/21	L		
410.					Buy (add'l)	03/11/21	L		
411.					Buy (add'l)	03/18/21	L		
412.					Buy (add'l)	04/07/21	K		
413.					Buy (add'l)	04/14/21	J		
414.					Buy (add'l)	04/26/21	M		
415.					Buy (add'l)	05/11/21	K		
416.					Buy (add'l)	05/28/21	J		
417.					Buy (add'l)	06/15/21	J		
418.					Buy (add'l)	12/22/21	K		
419.					Buy (add'l)	12/31/21	J		
420.					Sold (part)	06/03/21	J	A	
421.					Sold (part)	08/12/21	K	A	
422. Vanguard Bond Index FDS Ultra Short Term Bond ETF	A	Dividend	M	T	Buy	07/29/21	K		
423.					Buy (add'l)	08/16/21	M		
424.					Buy (add'l)	09/13/21	K		
425.					Sold (part)	10/21/21	K	A	

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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		
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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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426. Sunrun Inc Com		None			Buy	04/27/21	J		
427.					Buy (add'l)	05/11/21	J		
428.					Buy (add'l)	06/02/21	J		
429.					Buy (add'l)	08/31/21	J		
430.					Sold (part)	08/12/21	J	A	
431.					Sold (part)	12/22/21	J	A	
432.					Sold	12/31/21	J	A	
433. Ready Capital Corporation Common Stock	C	Dividend	K	T	Buy (add'l)	03/26/21	J		
434.					Buy (add'l)	04/26/21	J		
435.					Buy (add'l)	04/29/21	J		
436.					Buy (add'l)	05/11/21	J		
437.					Sold (part)	03/23/21	J	A	
438.					Sold (part)	06/15/21	J	A	
439.					Sold (part)	11/30/21	J	A	
440.					Sold (part)	12/23/21	J	A	
441. Goldman Sachs ETF Trust Access Treasury 0-1 Year ETF		None	N	T	Buy	04/26/21	L		
442.					Buy (add'l)	05/17/21	K		

1 Income Gain Codes: (See Columns B1 and D4)	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
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443.					Buy (add'l)	08/17/21	L		
444.					Buy (add'l)	09/30/21	K		
445.					Buy (add'l)	10/12/21	M		
446.					Buy (add'l)	11/04/21	J		
447.					Buy (add'l)	11/30/21	J		
448.					Sold (part)	10/12/21	K	A	
449.					Sold (part)	12/26/21	K	A	
450. Kyndryl Holdings Inc Common Stock		None			Spinoff (from line 191)	11/03/21	J		
451.					Sold (part)	11/30/21	J	A	
452.					Sold	12/26/21	J	A	
453. Ellington Financial Inc Common Stock	A	Dividend	J	T	Buy	11/05/21	J		
454. Organon & Co Common Stock	A	Dividend	J	T	Spinoff (from line 133)	06/03/21	J		
455.					Buy (add'l)	07/30/21	J		
456.					Buy (add'l)	08/13/21	J		
457.					Buy (add'l)	08/31/21	J		
458.					Buy (add'l)	10/12/21	J		
459.					Sold (part)	06/02/21	J	A	

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460.					Sold (part)	11/17/21	J	A	
461.					Sold (part)	12/06/21	J	A	
462. AT&T Inc		None	J	T	Buy	12/31/21	J		

1 Income Gain Codes: (See Columns B1 and D4)	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII
LINE 131 MERGED WITH LINE 433 ON 03/22/21

Name of Person Reporting	Date of Report
Smith Jr., Milan D.	05/12/2022

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/ Milan D. Smith Jr.

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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Washington, D.C. 20544