AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

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	05/22/2023
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	01/01/2022 **to** 12/31/2022
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.	2022	Self-Employed Attorney
2.	2022	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.	BYU Law School	3-3-22 to 3-4-22	Provo, Utah	Judge Moot Court	Air fare, car rental, meals and lodging
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.	05/22/2023

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)	
1.	Intuitive Surgical Inc.		None	K	T					
2.	American Tower Corp CL A	A	Dividend	K	T					
3.	Pepsico Incorporated	B	Dividend	L	T					
4.	Canadian Natl Ry Co.	A	Dividend	K	T					
5.	Quanta SVCS Inc	A	Dividend			Sold (part)	03/03/22	J	D	
6.						Sold	12/07/22	J	D	
7.	Oneok Inc New	C	Dividend	L	T	Sold (part)	01/11/22	J	A	
8.	Ishares Trust Barclays 1-3 Yr. Treasury Bd FD	A	Dividend			Sold	04/05/22	L	A	
9.	MFA Mortgage Investments Inc. (MFA Financial Inc)	B	Dividend	J	T	Buy (add'l)	05/16/22	J		
10.						Buy (add'l)	08/24/22	J		
11.						Buy (add'l)	09/13/22	J		
12.						Sold (part)	01/11/22	J	A	
13.						Sold (part)	01/27/22	J	A	
14.						Sold (part)	03/03/22	J	A	
15.						Sold (part)	04/07/22	J	A	
16.						Sold (part)	09/06/22	J	A	
17.						Sold (part)	09/30/22	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			

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)	
18.						Sold (part)	10/10/22	J	A	
19.	Ishares Trust Iboxx $ Investop Investment Grade Bond Fund	B	Dividend	L	T	Sold (part)	10/12/22	L	A	
20.						Sold (part)	10/14/22	J	A	
21.	Ameren Corp	B	Dividend	L	T	Sold (part)	08/02/22	J	B	
22.	Abbott Laboratories	A	Dividend	K	T					
23.	Enterprise Products Partners LP		None			Sold	12/06/22	K	D	
24.	Gabelli Dividend & Income Fund	D	Dividend	M	T	Sold (part)	01/11/22	J	A	
25.	Eli Lilly & Co	A	Dividend	L	T	Sold (part)	06/29/22	J	A	
26.						Sold (part)	07/01/22	J	A	
27.						Sold (part)	12/07/22	J	B	
28.	Ishares TR S&P Short Term Natl Amtfr		None	L	T	Sold (part)	03/16/22	K	A	
29.	Textron Inc	A	Dividend	J	T	Buy (add'l)	12/07/22	J		
30.	Vanguard Scottsdale Funds Vanguard Short Term Corp Bond ETF	C	Dividend	M	T	Sold (part)	03/01/22	K	A	
31.						Sold (part)	09/26/22	L	A	
32.	Ishares Trust S&P Global Info Technology Sector Index Fund	A	Dividend	L	T	Sold (part)	01/12/22	J	C	
33.						Sold (part)	03/16/22	J	C	
34.	Corning Inc	B	Dividend	K	T	Sold (part)	01/11/22	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		
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. Koninklijke Philips Electrs N V Sponsored ADR New 2000	A	Dividend			Buy (add'l)	01/06/22	J		
36.					Buy (add'l)	07/11/22	J		
37.					Sold (part)	09/22/22	J	A	
38.					Sold	09/23/22	J	A	
39. Columbia Fds Ser TR IX Tax Exempt FD CL A	A	Dividend	K	T					
40. Gabelli Healthcare & Wellness Trust	B	Dividend	K	T					
41. BlackRock Equity Dividend Trust	B	Dividend	J	T	Sold (part)	01/06/22	J	A	
42.					Sold (part)	01/10/22	J	B	
43.					Sold (part)	01/12/22	J	C	
44.					Sold (part)	01/18/22	J	B	
45.					Sold (part)	01/26/22	J	A	
46.					Sold (part)	01/27/22	J	A	
47.					Sold (part)	02/16/22	J	A	
48.					Sold (part)	04/07/22	J	C	
49.					Sold (part)	04/11/22	J	B	
50. Centerpoint Energy Inc.	A	Dividend	K	T	Buy (add'l)	12/07/22	J		
51.					Sold (part)	01/11/22	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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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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		(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)	
52.	American Electric Power Co Inc	A	Dividend	K	T	Buy (add'l)	12/07/22	J		
53.	Pimco ETF TR Enhanced Short Maturity	D	Dividend	N	T	Sold (part)	11/10/22	K	A	
54.	Southern Co	A	Dividend	K	T	Sold (part)	01/11/22	J	A	
55.	Ishares TR Dow Jones SEL Divid Index FD	B	Dividend	K	T					
56.	FirstEnergy Corp	B	Dividend	L	T	Sold (part)	01/11/22	J	A	
57.						Sold (part)	04/07/22	J	A	
58.	Sempra Energy	A	Dividend	K	T					
59.	Abbvie Inc.	B	Dividend	L	T	Sold (part)	03/03/22	K	E	
60.	Merck & Co. Inc.	B	Dividend	L	T	Sold (part)	12/07/22	J	D	
61.	Air Lease Corporation	A	Dividend	K	T	Sold (part)	01/11/22	J	A	
62.						Sold (part)	10/03/22	J	A	
63.	Eaton Vance California Municipal Bond Fund	A	Dividend			Sold (part)	03/17/22	J	A	
64.						Sold	09/29/22	J	A	
65.	Conagra Foods Inc.	A	Dividend	K	T					
66.	Neuberger Berman Real Estate Securities Income Fund	A	Dividend			Sold	02/16/22	J	B	
67.	Ishares 3 to 7 Year Treasury Bond ETF	A	Dividend	L	T	Sold (part)	01/11/22	J	A	
68.	One Gas Inc.	B	Dividend	K	T					

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Smith Jr., Milan D.	05/22/2023

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69.	Ishares Tr 0-5 Yr Invt Grade Corp Bd ETF	B	Dividend	K	T					
70.	Ishares Gold Trust		None	K	T					
71.	Sprott Physical Gold and Silver Trust		None	L	T	Buy (add'l)	11/07/22	J		
72.	Pimco Intermediate Municipal Bond Active Exchange Traded Fund	B	Dividend	K	T	Sold (part)	04/05/22	K	A	
73.	Bank of Nova Scotia	A	Dividend	J	T	Sold (part)	01/11/22	J	A	
74.	Eaton Corporation	A	Dividend	J	T					
75.	Transamerica Advisors: Whole Life Insurance Policy		None	K	T					
76.	Aurora National Life Assurance: Whole Life Insurance Policy		None	K	T					
77.	Metlife: Whole Life Insurance Policy	A	Interest	J	T					
78.	Lamb Weston Holdings Inc Common Stock	A	Dividend	K	T	Buy (add'l)	03/14/22	J		
79.						Sold (part)	03/14/22	J	A	
80.	Vaneck Vectors ETF TR Gold Miners ETF	A	Dividend	K	T	Sold (part)	09/30/22	J	A	
81.						Sold (part)	01/11/22	J	A	
82.	Alps ETF TR Sprott Gold Miners ETF	A	Dividend	K	T	Buy (add'l)	12/22/22	J		
83.	SPDR Ser TR S&P Biotech ETF	A	Dividend	J	T	Sold (part)	01/11/22	J	A	
84.	Franco-Nevada Corporation	A	Dividend	K	T					
85.	Vanguard FTSE Developed Markets ETF	A	Dividend	K	T					

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86. Cryoport Inc Com		None	K	T	Buy (add'l)	01/11/22	J		
87.					Buy (add'l)	10/11/22	J		
88.					Buy (add'l)	12/07/22	K		
89. International Business Machines Corp	C	Dividend	L	T					
90. Kroger Co	A	Dividend	K	T	Sold (part)	01/11/22	J	A	
91.					Sold (part)	01/12/22	J	A	
92.					Sold (part)	03/04/22	J	A	
93.					Sold (part)	03/14/22	J	A	
94.					Sold (part)	04/07/22	J	B	
95. Vaneck Vectors ETF TR Amt Free Intermediate Muni Index ETF	A	Dividend	K	T	Sold (part)	11/02/22	J	A	
96. Thornburg California Limited Term Municipal Fund CL I	A	Dividend			Sold	03/03/22	K	A	
97. RBC Insured Deposits	A	Interest	M	T					
98. Vanguard GNMA	A	Dividend	L	T	Buy (add'l)	09/30/22	K		
99.					Buy (add'l)	10/19/22	K		
100.					Buy (add'l)	11/22/22	K		
101.					Sold (part)	01/12/22	L	A	
102.					Sold (part)	01/25/22	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; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000
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103.					Sold (part)	07/19/22	J	A	
104.					Sold (part)	08/02/22	J	A	
105.					Sold (part)	12/07/22	J	A	
106. General Mills Inc	A	Dividend	K	T	Buy (add'l)	09/20/22	J		
107.					Buy (add'l)	12/07/22	J		
108. Kraft Heinz Co.	A	Dividend	J	T					
109. GlaxoSmithKline PLC	A	Dividend	J	T					
110. iShares Intermediate-Term Corporate Bond ETF	C	Dividend	M	T	Sold (part)	01/11/22	J	A	
111.					Sold (part)	09/30/22	K	A	
112. iShares Short-Term Corporate Bond ETF	C	Dividend	N	T	Sold (part)	03/04/22	K	A	
113.					Sold (part)	04/05/22	K	A	
114.					Sold (part)	04/11/22	J	A	
115.					Sold (part)	09/30/22	K	A	
116.					Sold (part)	12/07/22	J	A	
117. SPDR Portfolio Short Term Treasury ETF	A	Dividend	K	T	Sold (part)	03/16/22	K	A	
118. Gilead Sciences, Inc.	A	Dividend	K	T	Sold (part)	04/05/22	J	A	
119. Verizon Communications Inc	A	Dividend			Sold	04/05/22	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

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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)	
120. Royal Gold, Inc.	A	Dividend	K	T					
121. iShares Broad USD Investment Grade Corporate Bond ETF	D	Dividend	L	T					
122. Grizzly Short Fund		None	N	T	Buy (add'l)	02/17/22	K		
123.					Buy (add'l)	03/01/22	K		
124.					Buy (add'l)	03/04/22	J		
125.					Buy (add'l)	03/14/22	L		
126.					Buy (add'l)	04/07/22	J		
127.					Buy (add'l)	09/30/22	L		
128.					Buy (add'l)	10/10/22	K		
129.					Buy (add'l)	10/12/22	J		
130.					Buy (add'l)	10/19/22	L		
131.					Buy (add'l)	12/15/22	J		
132.					Sold (part)	02/17/22	J	A	
133.					Sold (part)	04/05/22	K	A	
134.					Sold (part)	06/03/22	L	D	
135.					Sold (part)	06/07/22	J	A	
136. Intel Corporation - Common Stock	A	Dividend	J	T	Buy (add'l)	01/03/22	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	
	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. 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)	
137.					Buy (add'l)	01/11/22	J		
138.					Buy (add'l)	11/02/22	J		
139.					Buy (add'l)	11/03/22	J		
140.					Sold (part)	01/03/22	J	A	
141. Vanguard Calif Tax Free Intermediate Term Tax Exempt Fund	A	Dividend			Sold	04/05/22	K	A	
142. Global X Funds Global X Lithium & Battery	A	Dividend	J	T	Sold (part)	01/11/22	J	A	
143. Two Harbors Investment Corp Common Stock	B	Dividend	K	T	Buy (add'l)	10/10/22	J		
144.					Sold (part)	01/11/22	J	A	
145.					Sold (part)	01/12/22	J	A	
146.					Sold (part)	09/26/22	J	A	
147.					Sold (part)	10/10/22	J	A	
148. Ishares Trust Ultra Short Term Bond ETFF	D	Dividend	M	T	Sold (part)	01/11/22	J	A	
149. Dominion Energy Inc Common Stock	A	Dividend	J	T					
150. Walgreen Boots Alliance Inc Com	B	Dividend			Sold (part)	01/11/22	J	A	
151.					Sold (part)	09/13/22	J	A	
152.					Sold (part)	09/14/22	J	A	
153.					Sold (part)	09/22/22	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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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)	
154.					Sold	09/30/22	J	A	
155. iShares Aaa - A Rated Corporate Bond	B	Dividend	K	T	Buy (add'l)	01/12/22	J		
156.					Sold (part)	09/13/22	J	A	
157. Pennymac Mortgage Investment Trust	B	Dividend	J	T	Sold (part)	01/11/22	J	A	
158.					Sold (part)	04/07/22	J	A	
159.					Sold (part)	09/09/22	J	A	
160.					Sold (part)	09/29/22	J	A	
161. Targa Resources Corp	A	Dividend	K	T	Sold (part)	09/13/22	J	B	
162. American Centy Calif Tax-Free Calif Inter Term Tax Free CL I	B	Dividend			Sold (part)	09/29/22	K	A	
163.					Sold	10/14/22	K	A	
164. New Residential Investment Corp	B	Dividend	K	T	Sold (part)	01/12/22	J	A	
165. Pimco Energy and Tactical Credit Opportunities Fund	D	Dividend	M	T	Sold (part)	01/11/22	J	A	
166.					Sold (part)	03/09/22	J	B	
167. Sunpower Corporation		None	L	T	Buy (add'l)	08/02/22	J		
168.					Buy (add'l)	12/07/22	J		
169.					Sold (part)	03/03/22	J	A	
170.					Sold (part)	04/07/22	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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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)	
171. SPDR Series Trust SPDR Portfolio Tips ETF	D	Dividend	K	T	Sold (part)	03/03/22	J	A	
172.					Sold (part)	04/05/22	K	A	
173.					Sold (part)	08/02/22	K	A	
174.					Sold (part)	09/26/22	K	A	
175.					Sold (part)	10/19/22	K	A	
176.					Sold (part)	11/02/22	K	A	
177.					Sold (part)	11/17/22	J	A	
178. SPDR Series Trust SPDR Nuveen Bloomberg Barclays	A	Dividend			Sold	03/03/22	K	A	
179. Thornburg Invt TR	A	Dividend			Sold	04/05/22	K	A	
180. AES Corp	B	Dividend	L	T					
181. Cisco Systems Inc.	A	Dividend	K	T					
182. Lumen Technologies Inc Common Stock	B	Dividend			Sold (part)	02/22/22	J	A	
183.					Sold (part)	09/06/22	J	A	
184.					Sold	09/29/22	J	A	
185. Invesco Exchange Traded FD TR II Taxable Mun Bd ETF	B	Dividend	K	T	Sold (part)	01/11/22	K	A	
186.					Sold (part)	03/03/22	K	A	
187.					Sold (part)	03/25/22	K	A	

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188.					Sold (part)	10/18/22	J	A	
189. AGNC Investment Corp Common Stock	C	Dividend			Sold (part)	01/11/22	J	A	
190.					Sold (part)	03/24/22	J	A	
191.					Sold (part)	09/26/22	J	A	
192.					Sold (part)	09/29/22	J	A	
193.					Sold	10/10/22	J	A	
194. Redwood Trust Inc	B	Dividend	J	T	Buy (add'l)	01/11/22	J		
195.					Buy (add'l)	08/24/22	J		
196.					Sold (part)	01/11/22	J	A	
197. Atlantica Sustainable Infrastructure PLC Ordinary Shares	A	Dividend	J	T					
198. Ishares S&P Small Cap 600 Value ETF	A	Dividend	J	T					
199. Ishares US Technology ETF	A	Dividend	J	T	Buy (add'l)	01/06/22	J		
200.					Sold (part)	01/06/22	J	A	
201. Johnson & Johnson	A	Dividend	J	T					
202. Pfizer Inc	A	Dividend	J	T	Sold (part)	03/01/22	J	A	
203. Hennessy Japan Fund Investor Class Shares		None			Sold	03/01/22	J	A	
204. Ishares Inc Shares MSCI Emerging Markets Ex China ETF	A	Dividend			Sold (part)	01/11/22	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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205.					Sold (part)	04/07/22	K	A	
206.					Sold	09/23/22	J	A	
207. Metlife Insurance	A	Dividend	K	T	Sold (part)	01/11/22	J	A	
208. Vanguard Short Term Inflation Protected Securities Index Fund	D	Dividend	M	T	Buy (add'l)	01/11/22	J		
209.					Buy (add'l)	11/02/22	L		
210.					Sold (part)	01/12/22	K	A	
211.					Sold (part)	01/27/22	J	A	
212.					Sold (part)	02/08/22	K	A	
213.					Sold (part)	03/01/22	K	A	
214.					Sold (part)	03/03/22	L	A	
215.					Sold (part)	12/07/22	K	A	
216. Vanguard Bond Index FDS Ultra Short Term Bond ETF	C	Dividend	M	T	Buy (add'l)	01/12/22	M		
217.					Sold (part)	01/11/22	J	A	
218. Sunrun Inc Com		None	J	T	Buy (add'l)	03/03/22	J		
219.					Buy (add'l)	04/07/22	J		
220.					Buy (add'l)	12/07/22	J		
221. Ready Capital Corporation Common Stock	C	Dividend	K	T	Buy (add'l)	10/11/22	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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3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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222.					Sold (part)	01/11/22	J	A	
223.					Sold (part)	03/14/22	J	A	
224.					Sold (part)	09/29/22	J	A	
225. Goldman Sachs ETF Trust Access Treasury 0-1 Year ETF	C	Dividend	N	T	Buy (add'l)	03/03/22	K		
226.					Buy (add'l)	03/04/22	L		
227.					Buy (add'l)	06/17/22	J		
228.					Buy (add'l)	09/28/22	J		
229.					Buy (add'l)	09/29/22	J		
230.					Sold (part)	03/17/22	J	A	
231.					Sold (part)	11/02/22	J	A	
232. Ellington Financial Inc Common Stock	A	Dividend			Sold	09/13/22	J	A	
233. Organon & Co Common Stock	A	Dividend	J	T	Buy (add'l)	01/12/22	J		
234.					Buy (add'l)	10/31/22	J		
235.					Sold (part)	09/26/22	J	A	
236. AT&T Inc	A	Dividend	J	T	Buy (add'l)	01/11/22	J		
237. Rithm Capital Corp Common Stock		None			Buy (add'l)	01/10/22	J		
238.					Sold (part)	09/29/22	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.	05/22/2023

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.					Sold (part)	10/10/22	J	A	
240.					Sold	11/10/22	J	A	
241. Vanguard Municipal Bond Money Market Fund	A	Dividend			Buy	09/30/22	J		
242.					Sold	11/02/22	J	A	
243. Cambria ETF Tr Tail Risk ETF	A	Dividend			Buy	01/27/22	J		
244.					Sold	06/08/22	J	A	
245. SPDR Series Trust SPDR Short Term Corporate Bond ETF	D	Dividend	K	T	Buy	03/04/22	K		
246. California Resources Corporation Common Stock	A	Dividend	K	T	Buy	01/12/22	J		
247.					Buy (add'l)	09/26/22	J		
248. PG&E Corporation		None	J	T	Buy	12/23/22	J		
249. Haleon PLC American Deposit ARY Shares	A	Dividend	J	T	Buy	08/25/22	J		
250. SPDR Series Trust Treasury Bill ETF	A	Dividend	J	T	Buy	10/18/22	J		
251. Schwab Strategic Tr Short-Term US Treasury		None	L	T	Buy	12/30/22	L		
252. Vaneck ETF Trust Vaneck Agribusiness ETF	A	Dividend	J	T	Buy	03/15/22	J		
253.					Buy (add'l)	04/07/22	J		
254. Pimco Stocksplus Short Fund	B	Dividend	L	T	Buy	03/07/22	L		
255.					Buy (add'l)	07/14/22	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	
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Name of Person Reporting	Date of Report
Smith Jr., Milan D.	05/22/2023

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)	
256.					Buy (add'l)	10/12/22	J		
257.					Buy (add'l)	10/17/22	J		
258.					Buy (add'l)	12/07/22	J		
259.					Sold (part)	12/13/22	J	A	
260. Warner Bros Discovery Inc		None			Spinoff (from line 236)	04/11/22	J		
261.					Sold	06/27/22	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Name of Person Reporting	Date of Report
Smith Jr., Milan D.	05/22/2023

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. § 13141 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. § 13106)

Committee on Financial Disclosure
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