AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

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	05/02/2024
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	01/01/2023 **to** 12/31/2023
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.	2023	Self-Employed Attorney
2.	2023	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.	05/02/2024

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	B	Dividend	L	T					
3.	Pepsico Incorporated	B	Dividend	L	T	Sold (part)	05/17/23	J	C	
4.	Canadian Natl Ry Co.	A	Dividend	K	T					
5.	Oneok Inc New	C	Dividend	L	T	Sold (part)	05/30/23	J	A	
6.	MFA Mortgage Investments Inc. (MFA Financial Inc)	B	Dividend	J	T	Sold (part)	11/03/23	J	A	
7.	Ishares Trust Iboxx $ Investop Investment Grade Bond Fund	B	Dividend	L	T					
8.	Ameren Corp	B	Dividend	K	T					
9.	Abbott Laboratories	A	Dividend	K	T					
10.	Gabelli Dividend & Income Fund	D	Dividend	M	T	Sold (part)	05/30/23	J	A	
11.	Eli Lilly & Co	A	Dividend	L	T	Sold (part)	04/18/23	J	B	
12.						Sold (part)	10/04/23	J	C	
13.						Sold (part)	10/05/23	J	B	
14.						Sold (part)	10/30/23	J	C	
15.						Sold (part)	11/08/23	J	B	
16.						Sold (part)	12/05/23	J	C	
17.	Ishares TR S&P Short Term Natl Amtfr	A	Dividend	L	T					

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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☐ 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.	Textron Inc	A	Dividend	K	T	Buy (add'l)	05/17/23	J		
19.	Vanguard Scottsdale Funds Vanguard Short Term Corp Bond ETF	C	Dividend	M	T	Sold (part)	05/30/23	J	A	
20.	Ishares Trust S&P Global Info Technology Sector Index Fund	A	Dividend	M	T					
21.	Corning Inc	B	Dividend	K	T	Sold (part)	05/30/23	J	A	
22.	Columbia Fds Ser TR IX Tax Exempt FD CL A	A	Dividend	K	T					
23.	Gabelli Healthcare & Wellness Trust		None			Sold	02/03/23	K	E	
24.	BlackRock Equity Dividend Trust	D	Dividend	J	T	Sold (part)	04/06/23	J	C	
25.						Sold (part)	04/11/23	J	B	
26.	Centerpoint Energy Inc.	A	Dividend	K	T	Buy (add'l)	12/05/23	J		
27.						Sold (part)	05/30/23	J	A	
28.	American Electric Power Co Inc	A	Dividend	K	T	Buy (add'l)	12/28/23	J		
29.						Sold (part)	05/30/23	J	A	
30.						Sold (part)	10/31/23	J	A	
31.	Pimco ETF TR Enhanced Short Maturity	E	Dividend	N	T	Sold (part)	05/30/23	J	A	
32.	Southern Co	A	Dividend	K	T	Sold (part)	05/30/23	J	A	
33.	Ishares TR Dow Jones SEL Divid Index FD	B	Dividend	K	T					
34.	FirstEnergy Corp	B	Dividend	L	T	Sold (part)	05/30/23	J	A	

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35. Sempra Energy	A	Dividend	K	T	Sold (part)	05/30/23	J	A	
36. Abbvie Inc.	B	Dividend	L	T	Buy (add'l)	04/18/23	J		
37.					Buy (add'l)	12/28/23	J		
38. Merck & Co. Inc.	B	Dividend	L	T					
39. Air Lease Corporation	A	Dividend	K	T					
40. Conagra Foods Inc.	B	Dividend	K	T					
41. Ishares 3 to 7 Year Treasury Bond ETF	B	Dividend	L	T	Sold (part)	05/30/23	J	A	
42. One Gas Inc.	A	Dividend	K	T					
43. Ishares Tr 0-5 Yr Invt Grade Corp Bd ETF	D	Dividend	K	T					
44. Ishares Gold Trust		None	K	T					
45. Sprott Physical Gold and Silver Trust		None	L	T	Buy (add'l)	04/18/23	J		
46.					Buy (add'l)	07/10/23	J		
47. Pimco Intermediate Municipal Bond Active Exchange Traded Fund	A	Dividend	K	T					
48. Bank of Nova Scotia	A	Dividend	J	T	Sold (part)	05/30/23	J	A	
49. Eaton Corporation	A	Dividend	J	T					
50. Transamerica Advisors: Whole Life Insurance Policy		None	K	T					
51. Aurora National Life Assurance: Whole Life Insurance Policy		None	K	T					

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52. Metlife: Whole Life Insurance Policy	A	Interest	K	T					
53. Lamb Weston Holdings Inc Common Stock	A	Dividend	K	T	Buy (add'l)	05/30/23	J		
54.					Sold (part)	04/26/23	J	A	
55. Vaneck Vectors ETF TR Gold Miners ETF	A	Dividend	K	T	Buy (add'l)	04/18/23	J		
56.					Sold (part)	10/31/23	J	A	
57. Alps ETF TR Sprott Gold Miners ETF	A	Dividend	K	T	Buy (add'l)	05/30/23	J		
58. SPDR Ser TR S&P Biotech ETF	A	Dividend	J	T	Sold (part)	05/30/23	J	A	
59.					Sold (part)	06/01/23	J	A	
60. Franco-Nevada Corporation	A	Dividend	K	T	Sold (part)	05/30/23	J	A	
61. Vanguard FTSE Developed Markets ETF	B	Dividend	L	T	Buy (add'l)	12/21/23	J		
62. Cryoport Inc Com		None	J	T	Buy (add'l)	11/03/23	J		
63.					Sold (part)	08/03/23	J	A	
64.					Sold (part)	10/04/23	J	A	
65.					Sold (part)	10/30/23	J	A	
66.					Sold (part)	12/05/23	J	A	
67. International Business Machines Corp	B	Dividend	L	T	Sold (part)	05/30/23	J	A	
68. Kroger Co	A	Dividend	K	T	Sold (part)	05/30/23	J	A	

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69. Vaneck Vectors ETF TR Amt Free Intermediate Muni Index ETF		None	K	T					
70. RBC Insured Deposits	A	Interest	L	T					
71. Vanguard GNMA	D	Dividend	N	T	Buy (add'l)	04/06/23	L		
72.					Buy (add'l)	04/18/23	L		
73.					Buy (add'l)	08/09/23	L		
74.					Buy (add'l)	10/03/23	J		
75.					Buy (add'l)	10/30/23	J		
76.					Buy (add'l)	11/01/23	K		
77.					Buy (add'l)	11/03/23	K		
78.					Buy (add'l)	12/27/23	L		
79.					Sold (part)	04/06/23	K	A	
80.					Sold (part)	04/18/23	J	A	
81.					Sold (part)	07/11/23	J	A	
82.					Sold (part)	08/01/23	K	A	
83.					Sold (part)	08/09/23	K	A	
84.					Sold (part)	11/15/23	J	A	
85.					Sold (part)	12/01/23	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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86.					Sold (part)	12/20/23	L	A	
87. General Mills Inc	A	Dividend	K	T	Buy (add'l)	04/18/23	J		
88.					Buy (add'l)	12/05/23	J		
89.					Sold (part)	10/31/23	J	A	
90.					Sold (part)	11/02/23	J	A	
91. Kraft Heinz Co.	A	Dividend	J	T					
92. GlaxoSmithKline PLC		None	J	T	Buy (add'l)	07/05/23	J		
93. iShares Intermediate-Term Corporate Bond ETF	D	Dividend	M	T	Sold (part)	05/30/23	J	A	
94.					Sold (part)	11/01/23	J	A	
95. iShares Short-Term Corporate Bond ETF	C	Dividend	N	T					
96. SPDR Portfolio Short Term Treasury ETF	B	Dividend	K	T	Sold (part)	05/30/23	J	A	
97. Gilead Sciences, Inc.	A	Dividend	K	T					
98. Royal Gold, Inc.	A	Dividend	L	T					
99. iShares Broad USD Investment Grade Corporate Bond ETF	B	Dividend	L	T					
100. Grizzly Short Fund	E	Dividend	M	T	Sold (part)	05/30/23	J	A	
101.					Sold (part)	10/04/23	K	A	
102.					Sold (part)	10/16/23	K	A	

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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
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103.					Sold (part)	11/02/23	K	A	
104.					Sold (part)	12/05/23	J	A	
105.					Sold (part)	12/20/23	K	A	
106.					Sold (part)	12/29/23	K	A	
107. Intel Corporation - Common Stock	A	Dividend	J	T	Sold (part)	05/30/23	J	A	
108. Global X Funds Global X Lithium & Battery	A	Dividend	J	T	Sold (part)	05/30/23	J	A	
109. Two Harbors Investment Corp Common Stock	B	Dividend			Sold	08/09/23	J	A	
110. Ishares Trust Ultra Short Term Bond ETF	D	Dividend	M	T	Sold (part)	05/30/23	J	A	
111. Dominion Energy Inc Common Stock	A	Dividend			Sold	04/12/23	J	A	
112. iShares Aaa - A Rated Corporate Bond	B	Dividend	K	T					
113. Pennymac Mortgage Investment Trust	A	Dividend	J	T					
114. Targa Resources Corp	A	Dividend	K	T					
115. New Residential Investment Corp		None			Sold	01/03/23	J	A	
116. Pimco Dynamic Income Strategy Fund Common Shares	D	Dividend	M	T	Sold (part)	05/30/23	J	A	
117. Sunpower Corporation	A	Dividend	K	T	Buy (add'l)	08/09/23	J		
118.					Sold (part)	04/18/23	J	A	
119.					Sold (part)	05/17/23	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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Smith Jr., Milan D.	05/02/2024

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.					Sold (part)	08/09/23	J	D	
121.					Sold (part)	10/31/23	J	A	
122.					Sold (part)	11/22/23	J	A	
123.					Sold (part)	12/20/23	J	D	
124. SPDR Series Trust SPDR Portfolio Tips ETF		None			Sold	08/09/23	K	A	
125. AES Corp	B	Dividend	K	T	Buy (add'l)	12/13/23	J		
126. Cisco Systems Inc.	A	Dividend	K	T					
127. Invesco Exchange Traded FD TR II Taxable Mun Bd ETF	A	Dividend	K	T					
128. Redwood Trust Inc	B	Dividend	K	T	Buy (add'l)	05/30/23	J		
129. Atlantica Sustainable Infrastructure PLC Ordinary Shares	A	Dividend	J	T	Sold (part)	10/04/23	J	A	
130. Ishares S&P Small Cap 600 Value ETF	A	Dividend	J	T	Sold (part)	05/30/23	J	A	
131. Ishares US Technology ETF	A	Dividend	J	T	Sold (part)	05/30/23	J	A	
132. Johnson & Johnson	A	Dividend	J	T	Sold (part)	05/30/23	J	A	
133. Pfizer Inc	A	Dividend	J	T	Sold (part)	05/30/23	J	A	
134.					Sold (part)	07/05/23	J	A	
135. Metlife Insurance	A	Dividend	J	T	Sold (part)	05/30/23	J	A	
136. Vanguard Short Term Inflation Protected Securities Index Fund	B	Dividend	M	T	Sold (part)	05/30/23	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.)*

☐ 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.					Sold (part)	08/21/23	K	A	
138. Vanguard Bond Index FDS Ultra Short Term Bond ETF	B	Dividend	M	T	Sold (part)	05/30/23	J	A	
139.					Sold (part)	10/31/23	K	A	
140. Sunrun Inc Com		None	J	T	Buy (add'l)	04/06/23	J		
141.					Buy (add'l)	04/18/23	J		
142.					Buy (add'l)	07/10/23	J		
143.					Buy (add'l)	11/03/23	J		
144.					Buy (add'l)	12/26/23	J		
145.					Sold (part)	05/04/23	J	A	
146.					Sold (part)	05/17/23	J	A	
147.					Sold (part)	06/07/23	J	A	
148.					Sold (part)	10/30/23	J	A	
149.					Sold (part)	12/05/23	J	A	
150. Ready Capital Corporation Common Stock	C	Dividend	K	T	Buy (add'l)	08/09/23	J		
151.					Sold (part)	05/30/23	J	A	
152.					Sold (part)	11/03/23	J	A	
153. Goldman Sachs ETF Trust Access Treasury 0-1 Year ETF	E	Dividend	N	T	Buy (add'l)	04/18/23	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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☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. 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)	
154.					Sold (part)	05/30/23	J	A	
155.					Sold (part)	08/21/23	L	A	
156. Organon & Co Common Stock	A	Dividend			Sold (part)	05/17/23	J	A	
157.					Sold	09/27/23	J	A	
158. AT&T Inc	A	Dividend	J	T	Sold (part)	05/30/23	J	A	
159. SPDR Series Trust SPDR Short Term Corporate Bond ETF	B	Dividend	K	T					
160. California Resources Corporation Common Stock	A	Dividend	K	T	Buy (add'l)	11/08/23	J		
161. PG&E Corporation		None	K	T	Buy (add'l)	04/12/23	K		
162.					Buy (add'l)	05/30/23	J		
163. Haleon PLC American Deposit ARY Shares	A	Dividend	J	T					
164. SPDR Series Trust Treasury Bill ETF		None	J	T	Buy (add'l)	12/21/23	J		
165. Schwab Strategic Tr Short-Term US Treasury	B	Dividend	L	T					
166. Vaneck ETF Trust Vaneck Agribusiness ETF	A	Dividend			Buy (add'l)	08/03/23	J		
167.					Sold (part)	05/30/23	J	A	
168.					Sold (part)	06/01/23	J	A	
169.					Sold	10/19/23	J	A	
170. Pimco Stocksplus Short Fund	B	Dividend	L	T	Sold (part)	05/30/23	L	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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171.					Sold (part)	08/22/23	J	A	
172.					Sold (part)	11/30/23	J	A	
173. GSK Plc American Depository Shares	A	Dividend	J	T	Buy	10/30/23	J		
174.					Buy (add'l)	11/08/23	J		
175. Global X Funds Global X Uranium ETF		None	J	T	Buy	10/19/23	J		
176. Global X Funds Global X Robotics & Artificial Intelligence	A	Dividend	J	T	Buy	05/30/23	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Line 118: On 11/21/2023 Pimco Energy and Tactical Credit Opportunities Fund changed it's name to Pimco Dynamic Income Strategy Fund Common Shares. The name has been changed within the report to reflect this.

Name of Person Reporting	Date of Report
Smith Jr., Milan D.	05/02/2024

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
Administrative Office of the United States Courts
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Washington, D.C. 20544