

**FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2009**

*Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)*

<b>1. Person Reporting</b> (last name, first, middle initial) Smith, Jr., Charles L.	<b>2. Court or Organization</b> Northern District of Alabama	<b>3. Date of Report</b> 05/13/2010
<b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	<b>5a. Report Type</b> (check appropriate type) <input type="checkbox"/> Nomination,                      Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final <b>Sb.</b> <input type="checkbox"/> Amended Report	<b>6. Reporting Period</b> 01/01/2009 to 12/31/2009
<b>7. Chambers or Office Address</b> United States Courthouse 101 Holmes Avenue Huntsville, Ala. 35801	<b>8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations.</b>  Reviewing Officer _____ Date _____	
<b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Sign on last page.		

**I. POSITIONS.** (Reporting individual only; see pp. 9-13 of filing instructions.)  
 NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Administrator	Probate estate of [REDACTED]
2.	
3.	
4.	
5.	

**II. AGREEMENTS.** (Reporting individual only; see pp. 14-16 of filing instructions.)  
 NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 1981	Judicial Retirement Fund of Alabama (Retirement fund of former employer, State of Alabama), no control
2. 1981	Madison County, Alabama Retirement Fund (Retirement fund of former employer, Madison County), no control
3.	

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**III. NON-INVESTMENT INCOME.** *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)*

**A. Filer's Non-Investment Income**

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> <i>(yours, not spouse's)</i>
1. 2009	State of Alabama Retirement	\$38,676.41
2. 2009	Madison County, Alabama Retirement	\$12,144.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2009	Madison County, Alabama Commission - Salary
2.	
3.	
4.	

**IV. REIMBURSEMENTS** - *transportation, lodging, food, entertainment.*  
*(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*

NONE *(No reportable reimbursements.)*

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.					
2.					
3.					
4.					
5.					

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**V. GIFTS.** *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

**VI. LIABILITIES.** *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*

NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Bank of America	Credit Card	J
2.			
3.			
4.			
5.			

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**VII. INVESTMENTS and TRUSTS** -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm:dd:yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
	1. U.S. Savings Bonds-Series EE	A	Interest	J	T				
2. Regions Financial Corp.	B	Dividend	J	T					
3. Citi Bank Money Fund	A	Interest	M	T					See Part VIII
4. Meadowbrook, Ltd. 4.75% Int. in limited partnership		None	J	U					
5. Farm: Madison County, Ala.	D	Rent (Crop)	PI	W					
6. Farm Rental House: Madison County, Ala.	D	Rent (House)	L	W					
7. Crown Life Ins. - Cash Value	A	Dividend	J	T					
8. Apple Computer, Inc.		None	K	T					
9. Clorox Co.	A	Dividend	K	T					
10. § 457(b) Deferred Comp Account:									
11. -- American Century Value Fund	A	Dividend	K	T					
12. -- Fidelity Contrafund	C	Dividend	K	T					
13. -- Nationwide Fixed Account	C	Interest	L	T					
14. -- Nationwide Large Cap Growth Fund	A	Dividend	L	T					
15. -- S & P 500 Index Fund	A	Dividend	J	T					
16. Madison Co. AL Retirement Fund	B	Interest	K	T					
17. Am Family Broadcasting Corp (Retirement)		None	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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## VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)

18. Fix Corp Intl., Inc.		None	J	T					
19. Sanmina-SCI Corp		None	J	T					
20. PACT (Ala. Prepaid Affordable College Tuition plan)	A	Interest	K	T					
21. Scholars Choice (Section 529 Plan) - No Control	B	Dividend	J	T					
22. Easy Street Investors Corp.:		None	K	T					
23. -- Davis Selected - Large Cap - Money Manager Acct									
24. -- Johnson & Johnson									
25. -- United Healthcare Corp (formerly Unitedhealth Group Inc)									
26. -- Pepsico, Inc.									
27. -- First Horizon Nat. Corp (formerly FirstTenn Nat.Corp)									
28. -- Cisco Systems, Inc.									
29. -- Exxon Mobil Corp									
30. -- Alliant TechSystems, Inc.									
31. -- St. Joe Company									
32. -- United Technologies Corp.									
33. -- Lowe's Companies, Inc.									
34. -- Goldman Sachs Group, Inc.									

1. Income Gain Codes (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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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)	(5) Identity of buyer/seller (if private transaction)
35. -- Lincoln National Corp.									
36. -- Principal Financial Group									
37. -- Adtran, Inc.									
38. -- Calamos Strategic TR Fund									
39. -- Calamos Money Manager Account									
40. -- Sprint Nextel Corp.									
41. -- Schwab Charles Copr New					Sold	04/17/09	K	D	
42. -- Syntroleum Corp.									
43. -- Cardiac Science Corp.									
44. -- Alpine Total Dynamic									
45. -- Calamos Global Dynamic									
46. -- Calamos International									
47. -- Colonial BancGroup Inc.					Sold	10/15/09	J	A	
48. -- iShares MSCI Canada Index					Buy	05/21/09	K		
49. Education IRA No. 1:									
50. -- CitiBank NA Bank Deposit (formerly SB Money Funds)	A	Interest	J	T					
51. -- Coca Cola Bottling Co.	A	Dividend	J	T					

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2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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## VII. INVESTMENTS and TRUSTS ~ income, value, transactions (Includes those of spouse and dependent children: see pp. 34-60 of filing instructions.)

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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)	(5) Identity of buyer/seller (if private transaction)
	52. -- Adtran, Inc.	A	Dividend	J	T				
53. -- Overstock.Com, Inc.		None	J	T					
54. Education IRA No. 2:									
55. -- Legg Mason Partners (formerly SB Aggressive Growth Funds)	A	Dividend	J	T					
56. -- CitiBank NA Bank Deposit (formerly SB Money Funds)	A	Interest	J	T					
57. -- Adtran, Inc.	A	Dividend	J	T					
58. -- Overstock.Com, Inc.		None	J	T					
59. Education IRA No. 3:									
60. -- Legg Mason Partners (formerly SB Aggressive Growth Funds)	A	Dividend	J	T					
61. -- CitiBank NA Bank Deposit (formerly SB Money Funds)	A	Interest	J	T					
62. -- Adtran, Inc.	A	Dividend	J	T					
63. -- Overstock.Com, Inc.		None	J	T					
64. Education IRA No. 4:									
65. -- Legg Mason Partners (formerly SB Aggressive Growth Funds)	A	Dividend	J	T					
66. -- CitiBank NA Bank Deposit (formerly SB Money Funds)	A	Interest	J	T					
67. -- Adtran, Inc.	A	Dividend	J	T					
68. -- Overstock.Com, Inc.		None	J	T					

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69. Coca Cola Bottling Co.	A	Dividend	J	T					
70. eBay, Inc.		None	J	T					
71. Rental Property No. 3, Baldwin County, Ala. "Y"									
72. Trust No. 1:	A	Dividend	J	T					
73. -- Citibank NA Bank Deposit Program	A	Interest	J	T					
74. -- ITC DeltaCom, Inc. - New Issue		None	J	T					
75. -- Franklin Federal Tax Free Income FD Class A (X)	A	Interest	K	T					
76. Vanguard Age-Based Aggressive Growth (Section 529 Plan)	A	Dividend	J	T					
77. Adtran, Inc.	A	Dividend	J	T					
78. Walt Disney (acquisition and merger of Pixar into Disney)	A	Dividend	J	T					
79. Lincoln Financial Group (X)	A	Interest	K	T					
80. Annuity -- Western Nat. Life Ins. Co. (X)	A	Interest	K	T					

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

Part VII, page 4, line 3: The increase in the value of this asset over the value reflected in the 2008 FDR is due to the fact that this is the investment account into which [REDACTED] deposited most of the funds she inherited during 2009 from the estate of her [REDACTED]

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**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 \_\_\_\_\_

**NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)**

**FILING INSTRUCTIONS**

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure  
Administrative Office of the United States Courts  
Suite 2-301  
One Columbus Circle, N.E.  
Washington, D.C. 20544