AO 10 Rev. 1/2013	**FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012**	*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, D. Brooks	Third Circuit Court of Appeals	05/07/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Judge-Active	**5a. Report Type (check appropriate type)** ☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	**6. Reporting Period** 01/01/2012 to 12/31/2012
7. Chambers or Office Address US Court of Appeals, Ste 203 1798 Old Route 220N Duncansville, PA 16635		

IMPORTANT NOTES: ***The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.***

I. POSITIONS. *(Reporting individual only; see pp. 9-13 of filing instructions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Board of Counselors	Penn State University - Dickinson School of Law
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of filing instructions.)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

Name of Person Reporting	Date of Report
Smith, D. Brooks	05/07/2013

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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2012	The Pennsylvania State University-Dickinson School of Law-Adjunct Professor Fall Semester- See Part VIII	$23,568.00
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 AND TYPE
1. 2012	Reliance Bank - Vice President, Business Banker - 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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	Penn State University Dickinson School of Law	06/30/2012-07/08/2012	Istanbul, Turkey	Speaker for education program	Travel, food and lodging
2.	New York Law School	09/21/2012-09/23/2012	New York, NY	Moot Court Competition	Travel, food and lodging
3.	Federalist Society, University of Pittsburgh Law School Chapter	01/17/2012	Pittsburgh, PA	Speaker for education program	Travel
4.	Lewis & Clark Law School	02/24/2012-02/29/2012	Los Angeles, CA	Moot Court Competition	Travel, food and lodging
5.	Federalist Society, Columbia University Law School Chapter	03/07/2012-03/08/2012	New York, NY	Speaker for education program	Travel, lodging

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6.	University of Alabama School of Law	03/20/2012-03-22-2012	Tuscaloosa, AL	Moot Court Competition	Travel, food and lodging
7.	University of Virginia School of Law	04/13/2012-04/15/2012	Charlottesville, VA	Moot Court Competition	Travel, food and lodging
8.	USAID	05/19/2012-05/28/2012	Belgrade, Serbia, and Montenegro	Rule of Law Program	Travel, food and lodging
9.	Queen Mary University of London	10/09/2012-10/14/2012	London, England	Speaker for education program	Travel, food and lodging

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

☑ NONE *(No reportable gifts.)*

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

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

☑ NONE *(No reportable liabilities.)*

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

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 pp. 34-60 of filing instructions.)*

☐ 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)	(5) Identity of buyer/seller (if private transaction)
1.	FNB Corp (common [redacted]	A	Dividend	J	T					
2.	Fifth Third Bancorp [redacted]	A	Dividend	J	T					
3.	AST JP Morgan Strategic Opportunities Por [redacted] 1,4	A	Int./Div.			Sold	12/11/12	L	A	
4.	AST Academic Strategies Asset Allocatior [redacted]	A	Dividend			Sold	12/11/12	L	A	
5.	M&T Bank (common [redacted]	C	Dividend	M	T					
6.	Principal Global Investors [redacted] 1) Principal Money Market	A	Int./Div.			Sold	05/01/12	L	A	
7.	Principal Global Investors [redacted] 1) Bond & Mortgage	A	Int./Div.	K	T					
8.	Principal Real Estate Inv [redacted] 1) Principal US Property	A	Int./Div.	J	T					
9.	Principal Global Investors [redacted] 1) Prin LargeCap S&P 500 Inde	A	Int./Div.	K	T					
10.	Principal Global/Barrow Hanley [redacted] 1) MidCap Value III	A	Int./Div.	J	T					
11.	Principal Global Investors/DFA [redacted] 1) International SmallCap	A	Int./Div.	K	T					
12.	Northwestern Mutual Life Ins(Universal Life Policies)	D	Dividend	M	T					
13.	Reliance Bank IRA [redacted]	A	Interest	K	T					
14.	Reliance Bank IRA (2)	A	Interest	L	T					
15.	Reliance Bank-Checking Accoun [redacted]	A	Interest	K	T					
16.	Reliance Bank-Checking Account([redacted]	A	Interest	J	T					
17.	Schroeders Multi Asset World Strategie [redacted] (1)	A	Int./Div.			Sold	12/11/12	K	A	

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

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 pp. 34-60 of filing instructions.)*

☐ 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)	(5) Identity of buyer/seller (if private transaction)
18. AST CLS Moderate Asset Allocation[redacted] 1)	A	Int./Div.			Sold	12/11/12	L	A	
19. AllianceBernstein/CCI/Brown SmallCap Growth [redacted] (1)	A	Int./Div.	K	T					
20. AST Preservation Asset Allocation[redacted] (1)	A	Int./Div.	M	T	Buy	12/11/12	M		
21. AST Advanced Strategies Portfolio[redacted] (1)	A	Int./Div.	K	T	Buy	12/11/12	K		
22. Reliance Bank-Savings Accoun[redacted]	A	Interest	J	T	Buy	03/28/12	J		
23. Principal Stable Value Fund[redacted])	A	Interest	L	T	Buy	05/01/12	L		
24. Reliance Bank-Savings[redacted]	A	Interest	J	T	Buy	04/19/12	J		
25.									
26.									
27.									
28.									
29.									
30.									
31.									
32.									
33.									
34.									

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, D. Brooks	05/07/2013

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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)	(5) Identity of buyer/seller (if private transaction)
35.									
36.									
37.									
38.									
39.									
40.									
41.									

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

Part IIIA: Represents services for the year 2012

Part VII:
1) Held ir[redacted] Reliance Bank 401(k)
2) Self directed IRA

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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: S/ D. Brooks Smith

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

Committee on Financial Disclosure
Administrative Office of the United States Courts
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