

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2011**

*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) Smith, Norman R.	2. Court or Organization United States Court of Appeals for the Ninth Circuit	3. Date of Report 04/30/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge - Active	5a. Report Type (check appropriate type) <input type="checkbox"/> Nomination Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final 5b. <input type="checkbox"/> Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 801 East Sherman Pocatello, Idaho 83201		
IMPORTANT NOTES: <i>The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Insert signature on last page.</i>		

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. Adjunct Faculty Member	Idaho State University College of Business
2. Member of College of Business Advisory Board	Idaho State University
3. Member of Department of Paralegal Studies Advisory Board	Idaho State University
4. Emeritus Member of College of Law Advisory Council	University of Idaho College of Law
5. Member of Planning Committee	Idaho State Tax Institute
6. Vice Chair/Member of Board of Directors	Appellate Judges Education Institute
7. Vice Chair/Member of Executive Committee	Appellate Judges Conference of the American Bar Association

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. 1995	State of Idaho Retirement, no control
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting Smith, Norman R.	Date of Report 04/30/2012
--	------------------------------

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> (yours, not spouse's)
1. 2011	Idaho State University, wages	\$20,000.00
2. 2011	State of Idaho, retirement	\$54,872.88
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. 2011	Idaho Public Employees Retirement System, retirement
2. 2011	Utah State Retirement Fund, retirement
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.	Southern Methodist University	January 19-21, 2011	Dallas, Texas	Planning of Appellate Judges Educational Institute Summit	Transportation, meals, lodging
2.	Appellate Judges Conference of the American Bar Association	February 12-13, 2011	Atlanta, Georgia	Executive Committee Meeting	Transportation, meals, lodging
3.	Federal Bar Association	March 10-11, 2011	Helena, Montana	Montana FBA Annual Conference	Transportation, meals, lodging
4.	Idaho State Bar Association	June 2-3, 2011	Sun Valley, Idaho	Jackrabbit Bar Conference/ Conference of State Bar Commissioners	Transportation, meals, lodging

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting Smith, Norman R.	Date of Report 04/30/2012
---	-------------------------------------

5.	Appellate Judges Conference of the American Bar Association	August 6-8, 2011	Toronto, Canada	Annual Meeting/Executive Committee Meeting	Transportation, meals, lodging
6.	Appellate Judges Conference of the American Bar Association	September 22-24, 2011	Lexington, Kentucky	ABA Symposium	Transportation, meals, lodging
7.	Seattle University	October 20-22, 2011	Seattle, Washington	Berle Colloquium	Transportation, meals, lodging

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Smith, Norman R.

Date of Report

04/30/2012

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.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting Smith, Norman R.	Date of Report 04/30/2012
---	-------------------------------------

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.)

1.	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)
1.	Key Bank Checking Account	A	Interest	K	T					
2.	Genworth Life and Annuity Insurance Co. (annuity contract)	C	Interest			Closed	06/06/11	J		
3.	SEI-US Employees Credit Union (account)	C	Interest	M	T					
4.	PERSI Choice 401(k) Plan	A	Interest	J	T					
5.	Principal Life Insurance - Universal Life Policy		None	J	T					
6.	Principal Life Insurance - Universal Life Policy		None	K	T					
7.	Egbert Trust - Real Estate - Layton Utah		None	P1	W					
8.	Ing USA Annuity and Life Insurance Company	C	Interest	M	T	Open	06/06/11	M		
9.										
10.										
11.										
12.										
13.										
14.										
15.										
16.										
17.										

1 Income Gam 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	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000	M =\$100,001 - \$250,000 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 U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 6 of 7

Name of Person Reporting	Date of Report
Smith, Norman R.	04/30/2012

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

None

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Smith, Norman R.

Date of Report

04/30/2012

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/ Norman R. 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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544