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., Charles L.	Northern District of Alabama	05/22/2024
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**
U.S. District Judge - Senior Status	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2023 **to** 12/31/2023
7. Chambers or Office Address		
United States Courthouse 101 Holmes Avenue Huntsville, Ala. 35801		

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.	Trustee	Alabama Department of Archives and History
2.	Director	Friends of Alabama Heritage Magazine Foundation
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.	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.		

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.	2023	State of Alabama Judicial Retirement (Retirement Systems of Alabama)	$58,725.00
2.	2023	Madison County, Alabama Retirement	$19,142.00
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.)*

	DATE	SOURCE
1.	2023	Madison County, Alabama Retirement Fund (Retirement Systems of Alabama)
2.		
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., Charles L.	05/22/2024

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.	U.S. Savings Bonds-Series EE	A	Interest	J	T					
2.	Morgan Stanley Account (H)									
3.	-- Morgan-Stanley Private Bank	A	Interest	J	T					
4.	-- MSBNA Preferred Savings	A	Interest	J	T					
5.	-- Federated Prime Cash Obligations WS	D	Dividend	M	T					
6.	-- Albertsons Companies Inc.	B	Dividend	J	T					
7.	-- Pfizer Inc.	A	Dividend	K	T	Buy (add'l)	12/13/23	J		
8.	Regions Bank Account	A	Interest	K	T					
9.	Bryant Bank Account	A	Interest	J	T					
10.	Meadowbrook, Ltd. 4.75% Int. in limited partnership		None	J	U					
11.	Farm: Madison County, AL	B	Rent (Crop)	O	W					
12.	Farm Rental House: Madison County, AL	D	Rent	M	W					
13.	Rental House: Huntsville, AL	E	Rent	O	W					
14.	Crown Life Ins. - Cash Value Whole Life Policy	A	Dividend	J	T					
15.	Nationwide § 457(b) Deferred Comp Account (H):									
16.	-- Fidelity Contrafund	D	Dividend	L	T					
17.	-- Nationwide Fixed Account	C	Interest			Sold	05/11/23	K	C	

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., Charles L.	05/22/2024

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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. Stone X Traditional IRA (H):									
19. -- Sterne Agee Insured Deposit Program	A	Interest	J	T					
20. -- Valley View Place LLC		None	N	T					
21. -- Qual Comm Inc.	A	Dividend	J	T					
22. -- Leidos Holdings Inc.	A	Dividend	J	T					
23. Madison Co. AL Retirement Fund	B	Interest	K	T					
24. Am Family Broadcasting Corp (Retirement)		None	J	T					
25. Morgan-Stanley Traditional IRA (H)									
26. -- Regions Financial Corp. Common	B	Dividend	K	T					
27. -- Apple, Inc. Common	D	Dividend	P1	T					
28. -- Clorox Co. Common	C	Dividend	M	T					
29. -- Meta Platforms Inc. CL A Common		None	L	T					
30. -- Walt Disney Common	C	Dividend	K	T					
31. -- Morgan-Stanley Private Bank	A	Interest	J	T					
32. -- Federated Prime Cash Obligations WS	C	Dividend	K	T					
33. -- Pfizer Inc.	A	Dividend	K	T					
34. Roth IRA No. 3 (H)									

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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35. -- Apple Inc. Common	A	Dividend	K	T					
36. -- Coca-Cola Bottling Co. Common	A	Dividend	J	T					
37. -- Ford Motor Co. New	A	Dividend	J	T					
38. -- Albertsons Companies, Inc.	A	Dividend	J	T					
39. -- Ameriwest Lithium Inc.		None	J	T					
40. -- Discovery Lithium Inc. (formerly ISM Resources Corp. Common)		None	J	T		09/01/23			Name Change
41. -- CVS Health Corp Common	A	Dividend	J	T					
42. -- Regions Financial Corp. Common	A	Dividend	J	T					
43. -- Federated Prime Cash Obligations WS	A	Dividend	J	T					
44. PACT (Ala. Prepaid Affordable College Tuition plan)		None	K	T					
45. Scholars Choice (Section 529 Plan) (H)									
46. -- NUVEEN CO ALL EQ ALLOC PTF A	C	Dividend	K	T					
47. Vanguard Age-Based Aggressive Growth (Section 529 Plan aka Upromise)	A	Dividend	J	T					
48. Alabama College Counts 529 Plan (H):									
49. -- Vanguard Growth Index Fund	D	Dividend	M	T					
50. -- Vanguard Total Bond Market Index Fund	B	Dividend	K	T					
51. -- Vanguard Short Term bond Index Fund	B	Dividend	K	T					

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52. -- Bank Savings 529 Portfolio	A	Interest	J	T	Buy	01/06/23	J		
53. Education IRA No. 1 (H):									
54. -- Morgan Stanley Bank NA	A	Interest	J	T					
55. -- Meta Platforms Inc. CL A Common		None	K	T					
56. -- Apple, Inc. Common	A	Dividend	L	T					
57. -- SNAP, Inc. Class A		None	J	T					
58. -- CVS Health Corp Common	A	Dividend	J	T					
59. -- Tanger Factory Outlet Centers	A	Dividend	J	T					
60. -- Federated Prime Cash Obligations WS	A	Dividend	J	T					
61. -- Ameriwest Lithium Inc.		None	J	T					
62. -- Discovery Lithium Inc. (formerly ISM Resources Corp. Common)		None	J	T		09/01/23			Name Change
63. Trust No. 1 (H):									
64. -- Morgan Stanley Bank NA	A	Interest	K	T					
65. -- Meta Platforms Inc. CL A Common		None	K	T					
66. -- Illumina Inc. Common		None	K	T					
67. -- Apple Inc. Common	B	Dividend	L	T					
68. -- CVS Health Corp Common	A	Dividend	J	T					

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69. -- Ford Motor Co New	A	Dividend	J	T					
70. -- Tanger Factory Outlet Centers	A	Dividend	J	T					
71. -- Qual Comm Inc.	A	Dividend	J	T					
72. -- Pfizer Inc.	A	Dividend	K	T	Buy (add'l)	12/13/23	J		
73. -- Franklin Federal Tax Free Income FD Class A	A	Interest	K	T					
74. -- Chargepoint Holdings Inc.		None	J	T	Buy (add'l)	05/05/23	J		
75. -- Lithium Americas Corp.		None	J	T					
76. -- Ameriwest Lithium Inc.		None	J	T					
77. -- Discovery Lithium Inc. (formerly ISM Resources Corp. Common)		None	J	T		09/01/23			Name Change
78. -- Federated Prime Cash Obligations WS	A	Interest	K	T					
79. -- Nexstar Media Group Inc.	A	Dividend	K	T	Buy	05/05/23	K		
80. -- Paramount Global Class B	A	Dividend	J	T	Buy	05/05/23	J		
81. Roth IRA No. 2 (H):									
82. -- Morgan Stanley Bank NA	A	Interest	J	T					
83. -- SNAP, Inc. Class A		None	J	T					
84. -- Tanger Factory Outlet Centers	A	Dividend	J	T					
85. -- Federated Prime Cash Obligations WS	A	Dividend	J	T					

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86. -- Albertsons Companies, Inc.	A	Dividend	J	T					
87. -- Pfizer Inc. CL A	A	Dividend	J	T					
88. -- Ameriwest Lithium Inc.		None	J	T					
89. -- Discovery Lithium Inc. (formerly ISM Resources Corp. Common)		None	J	T		09/01/23			Name Change
90. -- Chargepoint Holdings Inc.		None	J	T					
91. Education IRA No. 2 (H):									
92. -- Morgan Stanley Bank NA	A	Interest	J	T					
93. -- Meta Platforms Inc. CL A Common		None	J	T	Sold (part)	08/21/23	J	D	
94. -- Ford Motor Co New	A	Dividend	J	T	Sold (part)	08/21/23	J	A	
95. -- Tanger Facory Outlet Centers	A	Dividend			Sold	08/21/23	J	A	
96. -- Federated Prime Cash Obligations WS	A	Dividend	J	T					
97. Education IRA No. 4 (H):									
98. -- Morgan Stanley Bank NA	A	Interest			Sold	12/26/23	J	A	
99. -- Meta Platforms Inc. CL A Common		None			Sold	12/26/23	J	B	
100. -- Ford Motor Co New	A	Dividend			Sold	12/26/23	J	A	
101. -- Federated Prime Cash Obligation WS	A	Dividend			Sold	12/26/23	J	A	
102. Education IRA No. 5 (H):									

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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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103. -- Morgan Stanley Bank NA	A	Interest	J	T					
104. -- Meta Platforms Inc. CL A Common		None	K	T					
105. -- SNAP, Inc. Class A		None	J	T					
106. -- Ford Motor Co New	A	Dividend	J	T					
107. -- Tanger Factory Outlet Centers	A	Dividend	J	T					
108. -- Albertsons Companies, Inc.	A	Dividend	J	T					
109. -- Pfizer Inc.	A	Dividend	J	T					
110. -- Ameriwest Lithium Inc.		None	J	T					
111. -- Discovery Lithium Inc. (formerly ISM Resources Corp. Common)		None	J	T		09/01/23			Name Change
112. -- Chargepoint Holdings, Inc.		None	J	T	Buy (add'l)	05/05/23	J		
113. -- Federated Prime Cash Obligations WS	A	Interest	J	T					
114. Educational IRA No. 6 (H):									
115. -- Morgan Stanley Bank NA	A	Interest	J	T					
116. -- SNAP, Inc. Class A		None	J	T					
117. -- Ford Motor Co New	A	Dividend	J	T					
118. -- Tanger Factory Outlet Centers	A	Dividend	J	T	Sold (part)	08/18/23	J	A	
119. -- Federated Cash Obligations WS	A	Dividend	J	T					

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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

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., Charles L.	05/22/2024

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. -- Albertsons Companies, Inc.	A	Dividend	J	T					
121. -- Pfizer Inc.	A	Dividend	J	T					
122. -- Chargepoint Holdings, Inc.		None	J	T	Buy (add'l)	05/05/23	J		
123. -- Apple Inc.	A	Dividend	J	T	Buy	08/18/23	J		
124. Roth IRA (H):									
125. -- Morgan Stanley Bank NA	A	Interest	J	T					
126. -- Meta Platforms Inc. CL A Common		None	J	T					
127. -- Apple Inc. Common	A	Dividend	K	T					
128. -- CVS Health Corp Common	A	Dividend			Sold	12/28/23	J	A	
129. -- Federated Prime Cash Obligations WS	A	Dividend	J	T					
130. -- Albertsons Companies, Inc.	A	Dividend	J	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

Name of Person Reporting	Date of Report
Smith, Jr., Charles L.	05/22/2024

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

All of the following explanations pertain to the Investments and Trusts listed in Part VII:

The entire amounts of the investments listed on lines 38, 39, 40, and 41 of the current, 2023 FDR were transferred from "Morgan-Stanley Traditional IRA (H)" (lines 31-34) to "Roth IRA No. 3 (H)" (lines 38-41) during 2023.

A part of the investment in Regions Financial Corp. common stock listed on line 26 of the current 2023 FDR was transferred during 2023 from the "Morgan Stanley Traditional IRA" account (lines 25-33) to the "Roth IRA No. 3" (line 42), and a part was retained in the Morgan Stanley Traditional IRA account.

The corporate names of the investments listed on lines 40, 62, 77, 89, and 111 of Part VII were changed on 09/01/2023 from "ISM Resources Corp." to "Discovery Litium Inc." There was no option providede in Column D1 to reference a change of corporate names. Hence, "Name Change" was placed in Column D5.

Name of Person Reporting	Date of Report
Smith, Jr., Charles L.	05/22/2024

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/ Charles L. 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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