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, D. Brooks	Third Circuit Court of Appeals	05/14/2024
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**
Judge-Senior	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final	01/01/2023 **to** 12/31/2023
	5b. ☐ Amended Report	
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 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.		
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.	2023	The Penn State University-Penn State Law-Adjunct Professor	$49,848.00
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
1.	2023	ARC Federal Credit Union
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.	Waynesburg University	04/15/2023-04/16/2023	Waynesburg, PA.	Participant in education program	Food
2.	Waynesburg University	09/14/2023-09/15/2023	Waynesburg, PA.	Participant in civics education program	Food, lodging
3.	Waynesburg University	09/21/2023-09-22-2023	Waynesburg, PA.	Participant in civics education program	Food, lodging
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, D. Brooks	05/14/2024

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		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)	
1.	M&T Bank (common)	D	Dividend	M	T					
2.	Reliance Bank 401K (H)									
3.	-Principal Global Investors Core Plus Bond	A	Int./Div.	J	T					
4.	-Principal Real Estate Inv Principal US Property	A	Int./Div.	J	T					
5.	-Principal Global Investors Prin LargeCap S&P 500 Inde	E	Int./Div.	M	T					
6.	-LA Capital Mgmt / Victory MidCap Value	A	Int./Div.	J	T					
7.	-Principal Global Investors International SmallCap	C	Int./Div.	K	T					
8.	-Principal Stable Value Fund	C	Int./Div.	M	T					
9.	-AB/Brown/Emerald SmallCap Growth I	D	Int./Div.	L	T					
10.	Northwestern Mutual Life (H)									
11.	-Northwestern Mutual Life Ins (Ordinary Life)-dated 12/10/91	A	Dividend	K	T					
12.	-Northwestern Mutual Life Ins(Ordinary Life)-dated 12/16/89	B	Dividend	L	T					
13.	-Northwestern Mutual Life Ins(Ordinary Life)-dated 12/14/84	B	Dividend	L	T					
14.	-Northwestern Mutual Life Ins(Ordinary Life)-dated 03/02/81	B	Dividend	K	T					
15.	-Northwestern Mutual Life Ins(Ordinary Life)-dated 12/10/77	C	Dividend	M	T					
16.	-Northwestern Mutual Life Ins(Ordinary Life)-dated 01/27/77	B	Dividend	L	T					
17.	ARC Federal Credit Union- Interest Bearing Checking Account	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, D. Brooks	05/14/2024

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)	
18. Reliance Bank-Savings Account	A	Interest	L	T					
19. Reliance Bank-Checking Account	A	Interest	K	T					
20. Fortitude RE Annuities Services- IRA (H)									
21. -AST T Rowe Price Asset Allocation	D	Int./Div.	L	T	Sold (part)	01/03/23	J		
22.					Sold (part)	02/01/23	J		
23.					Sold (part)	03/01/23	J		
24.					Sold (part)	04/03/23	J		
25.					Sold (part)	05/01/23	J		
26.					Sold (part)	06/01/23	J		
27.					Sold (part)	07/03/23	J		
28.					Sold (part)	08/01/23	J		
29.					Sold (part)	08/07/23	J		
30.					Sold (part)	09/01/23	J		
31.					Sold (part)	10/02/23	J		
32.					Sold (part)	11/01/23	J		
33.					Sold (part)	12/01/23	J		
34. -AST Balanced Asset Allocation	A	Int./Div.	K	T	Sold (part)	01/03/23	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	
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, D. Brooks	05/14/2024

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)	
35.					Sold (part)	02/01/23	J		
36.					Sold (part)	03/01/23	J		
37.					Sold (part)	04/03/23	J		
38.					Sold (part)	05/01/23	J		
39.					Sold (part)	06/01/23	J		
40.					Sold (part)	07/03/23	J		
41.					Sold (part)	08/01/23	J		
42.					Sold (part)	08/07/23	J		
43.					Sold (part)	09/01/23	J		
44.					Sold (part)	10/02/23	J		
45.					Sold (part)	11/01/23	J		
46.					Sold (part)	12/01/23	J		
47. -AST Advanced Strategies Portfolio	D	Int./Div.	L	T	Sold (part)	01/03/23	J		
48.					Sold (part)	02/01/23	J		
49.					Sold (part)	03/01/23	J		
50.					Sold (part)	04/03/23	J		
51.					Sold (part)	05/01/23	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
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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52.					Sold (part)	06/01/23	J		
53.					Sold (part)	07/03/23	J		
54.					Sold (part)	08/01/23	J		
55.					Sold (part)	08/07/23	J		
56.					Sold (part)	09/01/23	J		
57.					Sold (part)	10/02/23	J		
58.					Sold (part)	11/01/23	J		
59.					Sold (part)	12/01/23	J		
60. -AST J.P. Morgan Tactical Preservation	C	Int./Div.	K	T	Sold (part)	01/03/23	J		
61.					Sold (part)	02/01/23	J		
62.					Sold (part)	03/01/23	J		
63.					Sold (part)	04/03/23	J		
64.					Sold (part)	05/01/23	J		
65.					Sold (part)	06/01/23	J		
66.					Sold (part)	07/03/23	J		
67.					Sold (part)	08/01/23	J		
68.					Sold (part)	08/07/23	J		

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69.					Sold (part)	09/01/23	J		
70.					Sold (part)	10/02/23	J		
71.					Sold (part)	11/01/23	J		
72.					Sold (part)	12/01/23	J		
73. Vanguard Brokerage Services (H)									
74. -Vanguard Federal Money Market Fund	B	Dividend	M	T					
75. -Vanguard Wellesley Income Investor CL	C	Dividend	L	T	Buy (add'l)	01/11/23	J		
76.					Buy (add'l)	02/13/23	J		
77.					Buy (add'l)	03/13/23	J		
78.					Buy (add'l)	04/11/23	J		
79.					Buy (add'l)	05/11/23	J		
80.					Buy (add'l)	06/12/23	J		
81.					Buy (add'l)	07/11/23	J		
82.					Buy (add'l)	08/11/23	J		
83.					Buy (add'l)	09/11/23	J		
84.					Buy (add'l)	10/11/23	J		
85.					Buy (add'l)	11/11/23	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
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.					Buy (add'l)	12/11/23	J		
87. -Vanguard High Dividend Yield EFT	A	Dividend	K	T					
88. Fidelity Brokerage Services LLC (H)									
89. -Fidelity Flex Government Money Mkt	A	Dividend	J	T					
90. -Fidelity Flex 500 Index Fund	A	Dividend	K	T	Sold (part)	03/20/23	J	A	
91.					Sold (part)	06/13/23	J	A	
92.					Sold (part)	09/11/23	J	A	
93.					Buy (add'l)	12/12/23	J		
94. -Fidelity Flex International Index	A	Dividend	J	T	Sold (part)	03/20/23	J	A	
95.					Sold (part)	06/13/23	J	A	
96.					Sold (part)	06/13/23	J	A	
97.					Buy (add'l)	09/12/23	J		
98. -Fidelity Flex Small Cap Index	A	Dividend	J	T	Sold (part)	06/13/23	J	A	
99.					Buy (add'l)	03/21/23	J		
100.					Sold (part)	12/11/23	J	A	
101.					Buy (add'l)	09/12/23	J		
102. -Fid Flex Consrv Income Muni Fund	A	Dividend	J	T	Buy (add'l)	03/21/23	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	
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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103.					Buy (add'l)	06/14/23	J		
104.					Buy (add'l)	12/12/23	J		
105. -Fidelity Flex Mid Cap Index Fund	A	Dividend	J	T	Sold (part)	09/11/23	J	A	
106.					Buy (add'l)	03/21/23	J		
107.					Sold (part)	12/11/23	J	A	
108. -Fid Flex Municipal Income Fund	A	Dividend	K	T	Buy (add'l)	03/21/23	J		
109.					Buy (add'l)	06/14/23	J		
110.					Buy (add'l)	09/12/23	J		
111.					Buy (add'l)	12/29/23	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	
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		

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

Name of Person Reporting	Date of Report
Smith, D. Brooks	05/14/2024

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/ 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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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