

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) TRAUGER, ALETA A.	2. Court or Organization U.S. DISTRICT COURT (MD TENN)	3. Date of Report 09/03/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Court Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address 825 U.S. Courthouse 801 Broadway Nashville, Tennessee 37203		
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.		
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. 5/31/2016	Loan of \$6000.00 to Rosemary Paschall (no interest)
2.	
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> (yours, not spouse's)
1.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2018	Income from law firm partnership - [REDACTED] is attorney partner in Trauger & Tuke
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.	Nashville Bank & Trust	Line of credit for law firm partnership	K
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. Acc'ts at SunTrust Bank, Nashville, TN	A	Interest	K	T					
2. The Equitable A.B.A. Group IRA									
3. - AXA Moderate Alloc.Portfolio		None	K	T					
4. - EQ Money Market		None	J	T					
5. - Multimanager Aggressive Equity		None	K	T					
6. - EQ/Common Stock Index		None	L	T					
7. - EQ/International Equity Index		None	J	T					
8. Victory Funds - RS Small Cap Growth Fund CLA		None	N	T					
9. Guilford County, North Carolina farmland	B	Rent	N	W					
10. Cash surr. value NW Life policy		None	M	T					
11. Cash surr. value of 2 NW Life policies		None	N	T					
12. Parnassus Fund	B	Dividend	M	T					
13. Profit sharing plan - Divers. Trust		None	P1	T					
14. Moore County, North Carolina timber land	B	Rent	N	W					
15. Bank of America Corporation	A	Dividend	J	T					
16. Exxon Mobil Corp.	B	Dividend	K	T					
17. Elizabethton, TN water & sewer revenue bonds		None	K	T					

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	
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18. Lincoln National Corp.	A	Dividend	K	T					
19. MGT Holdings		None	J	T					
20. The Providence Service Corp.		None	O	T	Donated (part)	12/30/18	L		
21. Rental Property - Nashville, Tennessee, Davidson County	A	Rent	O	W					
22. Regions Bank money mkt. acct. (Morgan Keegan/Raymond James)	A	Interest	K	T					
23. Pinnacle Nat. Bank accounts	A	Interest	M	T					
24. Blount County, TN Pub. Bldg. Auth., Pub. Impt. Bds., Sev. 2008	A	Interest			Redeemed	06/01/18	K		
25. Hirtle, Callaghan Investment Funds									
26. - HCCT Commodities	C	Dividend	L	T					
27. - HCCT Emerging Mkts.	B	Dividend	J	T					
28. - HCCT Fixed Income Opportunity	A	Dividend	J	T					
29. - HCCT Intermed. Muni	D	Dividend	N	T					
30. - HCCT Intermed.Muni. II	B	Dividend	L	T					
31. - HCCT International	D	Dividend	N	T					
32. - HCCT Large Cap Growth	C	Dividend	N	T					
33. - HCCT Large Cap Value	C	Dividend	M	T					
34. - HCCT Small Cap	A	Dividend	K	T					

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35. - HCCT Core Fixed Income	A	Dividend	J	T					
36. - HCCT Institutional International Equity	A	Dividend	J	T					
37. - HCCT Institutional Large Cap. Growth	A	Dividend	J	T					
38. - HCCT Institutional Large Cap. Value	A	Dividend	J	T					
39. Nelson's Green Brier Distillery, LLC		None	M	U					
40. Shelby Co. TN Health EDL & HSG Facs Rev. Bonds	A	Interest	K	T					
41. Edward Jones Advisory Solutions									
42. - Amer. Funds-Fundamental Investors		None	K	T					
43. - Amer. Funds-Internat. Growth & Income		None	K	T					
44. - Artisan-Internat. Value Instl.		None	K	T					
45. - BridgeBuilder-Core Bond		None	L	T					
46. - BridgeBuilder-Internat. Equity		None	K	T					
47. - BridgeBuilder-Large Cap Growth		None	K	T					
48. - BridgeBuilder-Small/Mid-Cap Value		None	K	T					
49. - BridgeBuilder-Small/Mid-Cap Growth		None	K	T					
50. - Delaware Funds by Macquarie-Small Cap Value Instl.		None	J	T					
51. - Delaware Funds by Macquarie - U.S. Growth Instl.		None	K	T					

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52. - Dodge & Cox - Stock		None	K	T					
53. - Hotchkis & Wiley-Mid-Cap Value I		None	J	T					
54. - Invesco - Comstock R6		None	K	T					
55. - MFS-Value R6		None	K	T					
56. - PIMCO-High Yield Instl.		None	J	T					
57. - PRIMECAP Odyssey Funds - Stock		None	K	T					
58. - T. Rowe Price - Internat. Discovery		None	K	T					
59. - T. Rowe Price - Small-Cap Value I		None	J	T					
60. JPM U.S. Govt' Money Mkt. Cap.		None	J	T					
61. Edward Jones IRA									
62. - Amer. Funds-Amer. Mut. A		None	L	T					
63. - Amer. Funds - Invest. Co. of Amer.		None	L	T					
64. - Franklin Templeton Investments - Income A1		None	K	T					
65. - Franklin Templeton Investments-Mut. Global Discovery A		None	K	T					
66. - Franklin Templeton Investments-Mut. Shares A		None	J	T					
67. - Franklin Templeton Investments-Rising Dividends A		None	J	T					
68. - Franklin Templeton Investments-Global Bond A		None	J	T					

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69. Edward Jones Investment Acc't.									
70. - Money market acc't.		None	J	T					
71. - Knox Co. health & educ. bonds		None			Redeemed	04/03/17	J	C	
72. - Robertson Co., TN school bonds		None			Redeemed	06/01/17	K	C	
73. - AmGen, Inc.	A	Dividend	J	T					
74. - Express Scripts Holding Co.		None			Redeemed	12/24/18	J	A	
75. - Gen. Electric Co.	A	Dividend	J	T					
76. - Johnson & Johnson	A	Dividend	J	T					
77. - Merck & Co., Inc.	A	Dividend	J	T					
78. - PepsiCo, Inc.	A	Dividend	J	T					
79. - Travelers Companies, Inc.		None			Sold	08/31/17	J	A	
80. - Wal-Mart Stores, Inc.	A	Dividend	K	T					
81. - Amer. Balanced Fund	C	Dividend	L	T					
82. - Amer. Mut. Fund	D	Dividend	M	T					
83. - Cap Income Bldr. Fund	B	Dividend	K	T					
84. - Cap World Growth & Income Fund	D	Dividend	L	T					
85. - Eaton Vance Tax Managed Div. Income Fund	A	Dividend	J	T					

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86. - Franklin, TN munic. bond fund	B	Dividend	L	T					
87. - Fundamental Investors Fund	B	Dividend	M	T					
88. - Growth Fund of Amer.	C	Dividend	K	T					
89. - Income Fund of Amer.	C	Dividend	L	T					
90. - Franklin Mut. Global Discovery Fund	B	Dividend	L	T					
91. - New Perspective Fund	C	Dividend	L	T					
92. - Nuveen Intermed. Duration Munic. Bond Fund	A	Dividend	K	T					
93. - Franklin Fed. Inter-term tax free income fund - Class A	A	Dividend	K	T					
94. - Cigna Corp. New		None	J	T	Buy	12/24/18	J		
95. Lincoln Finan. Group Annuity-Amer. Legacy III View									
96. - Amer. Funds IS Asset Alloc. 2		None	J	T					
97. - Amer. Funds IS Bond 2		None	J	T					
98. - Amer. Funds IS Growth-Income 2		None	K	T					
99. - Amer. Funds IS Asset 2		None	K	T					
100. - Amer. Funds IS High Income Bond 2		None	J	T					
101. - Amer. Funds IS Internat. 2		None	K	T					
102. Hirtle, Callaghan Investment Funds									

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103. - DWS Gov't. Cash Fund	C	Dividend	M	T					
104. - HCCT Real Estate	A	Dividend	J	T					
105. - HCCT Institutional Small Cap	A	Dividend	J	T					
106. - ISHARES MSCI EAFE	B	Dividend	K	T					
107. - ISHARES MSCI Emerging Mkt.	C	Dividend	M	T					
108. Jumstart Foundry 2017 Fund		None	L	T					
109. Jumpstart Foundry 2018 Fund		None	M	T	Buy	01/01/18	M		
110. Pinnacle Bank CD	A	Interest			Redeemed	06/25/18	M		
111. Fillmore Co., Nebr farmland	D	Rent	M	W					
112. Hirtle Callaghan Investment Funds									
113. - Vanguard FTSE Dev. Mkt. ETF		None	L	T	Buy	12/31/18	L		
114. - Vanguard FTSE Emerg. Mkt. ETF		None	L	T	Buy	12/31/18	L		
115. - ISHARES TRSH TR Corp, ETF		None	J	T	Buy	06/20/18	J		
116. - SPDR TR Portfolio Short ETF		None	J	T	Buy	06/20/18	J		
117. - Vanguard Short Term Corp. Bond ETF		None	J	T	Buy	06/20/18	J		

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

Part VII Lines 45, 46, 53 These sales and redemptions were inadvertently omitted from the 2017 Report.

Part VII Lines 25, 102, 112 This fund is a widely-held investment fund whose assets are widely diversifeid and over whose financial interests we neither can nor do exercise control [see § 315.30(c)].

Part VII Line 111 Land was inherited in 2012, upon death of [REDACTED] [REDACTED] This is first year there has been any income from the asset.

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09/03/2019

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/ ALETA A. TRAUGER**

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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Washington, D.C. 20544