

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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) Trader, Rom A.	2. Court or Organization United States District Court - District of Hawaii	3. Date of Report 06/04/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Magistrate Judge (FT)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☒ Initial ☐ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 05/10/2019
7. Chambers or Office Address United States District Court Prince Kuhio Federal Building 300 Ala Moana Boulevard Honolulu, HI 96850-0001		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Board of Directors	AAP, Supreme Court of Hawaii
2. Judge	O'ahu First Circuit of Hawaii
3.	
4.	
5.	

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. 1997	State of Hawaii Retirement Pension (defined benefit plan)
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Trader, Rom A.

Date of Report

06/04/2019

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. 2019	State of Hawaii (pension)	\$42,796.10
2. 2019	Wedding Officiant (officiant fees)	\$720.00
3. 2018	State of Hawaii (judicial salary)	\$206,097.21
4. 2018	Wedding Officiant (officiant fees)	\$13,120.00
5. 2017	State of Hawaii (judicial salary)	\$189,290.32
6. 2017	Wedding Officiant (officiant fees)	\$16,840.00

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.	
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. Exempt				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Trader, Rom A.

Date of Report

06/04/2019

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

☐ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.	Exempt		
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.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Trader, Rom A.

Date of Report

06/04/2019

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. American Savings Bank of Hawaii (cash)	A	Interest	L	T	Exempt				
2. Hawaii State Federal Credit Union (cash)	A	Interest	M	T					
3. IRA #1 (H)									
4. ALPHABET INC SHS CL C (GOOG)		None	J	T					
5. AMER FUNDS NEW PERSP FD CL F2 (ANWFX)		None							
6. AMER FDS AMCAP FD CL F2 (AMCFX)	A	Dividend	J	T					
7. AMER FUNDS AMER BAL FD CL F2 (AMBFX)	A	Dividend							
8. AMER BEAC THE LOND CO INC FD Y (ABCYX)	A	Dividend							
9. AMER MUTUAL FD CL F2 (AMRFX)		None							
10. AMER GRWTH FD OF AMERICA F2 (GFFFX)	A	Dividend	J	T					
11. CONGRESS MID CAP GRWTH FD I (IMIDX)	A	Dividend	J	T					
12. DOUBLELINE SHILLER ENH CAPE FD I (DSEEX)	A	Dividend	J	T					
13. FIDELITY ADV BAL FD CL I (FAIOX)		None							
14. FIRST EAGLE GLOBAL CL I (SGIIX)		None							
15. OPPENHEIMER DEV MKTS FD Y (ODVYX)	A	Dividend							
16. OPPENHEIMER INTL SMALL MID CO FD Y (OSMYX)	A	Dividend	J	T					
17. PIMCO INC FD CL P (PONPX)	A	Dividend							

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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Trader, Rom A.

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06/04/2019

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18. PIMCO SHORT TERM FD I2 (PTSPX)	A	Dividend	J	T					
19. T ROWE PRICE HLTH SCI FD INV CL (PRHSX)	A	Dividend	J	T					
20. IRA #2 (H)									
21. BANK OF AMERICA NA RASP (CASH)	A	Interest	M	T					
22. FIRST EAGLE GLOBAL CL 1 (SGHIX)		None	J	T					
23. JANUS HEND BAL FUND I (JBALX)		None	J	T					
24. MORGAN STANLEY GRWTH PORT CL 1 (MSEQX)		None	J	T					
25. PIMCO INCOME FD CL I2 (PONPX)		None	J	T					
26. ANNUITY ACCOUNT #1 (H)									
27. ALLIANZ VISION BONUS FIXED ANNUITY		None	M	T					
28. BROKERAGE ACCT #1 (H)									
29. HONOLULU HAWAII CITY & CNTY SER A RF (438670X30)	B	Interest	K	T					
30. NEXTGEN 529 ACCT #1 (H)									
31. BLKRR EQ DIV PORT C (MCDVX)		None	J	T					
32. FRANKTEMP BALANCED C (FBMCX)		None	J	T					
33. FRANKTEMP SM MID CAP GR C (FRSGX)		None	K	T					
34. MAINSTAY LGCAP GRWTH C (MLACX)		None	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Trader, Rom A.

Date of Report

06/04/2019

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35. MFS EQUITY PORT C (MRGCX)		None	K	T					
36. MFS VALUE PORT CL C		None							

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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Trader, Rom A.

Date of Report

06/04/2019

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Trader, Rom A.

Date of Report

06/04/2019

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/ Rom A. Trader**

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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