

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) TRAXLER, Jr., William B.	2. Court or Organization U.S. Court of Appeals, Fourth Circuit	3. Date of Report 05/01/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Court Judge - Senior Status	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 300 E. Washington Street, Suite 222 Greenville, SC 29601		
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.	Trustee	Furman University
2.		
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. 05/00/92	State of S.C. Circuit Judge Retirement benefit (see III.A.1)
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. 2018	State of S.C. Circuit Judge Retirement benefit	\$73,970.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2018	State of S.C. Retirement benefit
2. 2018	Greenville TEC
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. Arizona State University	2/10/18 - 2/11/18	Phoenix, AZ	Attend O'Connor Justice Prize award dinner	Transportation, lodging, meal
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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
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. Greenville County, S.C.		None			Sold	10/05/18	M	F	
2. (2) Leon County, Fla.		None	M	W					
3. (3) Leon County, Fla.		None	K	W					
4. Sonoco stock (common)	A	Dividend	J	T					
5. American Funds: Washington Mutual Investors Fund IRA	A	Dividend	K	T					
6. Motorola Solutions stock (common)	A	Dividend	J	T					
7. McDonalds stock (common)	A	Dividend	J	T					
8. Kellogg's stock (common)	A	Dividend	J	T					
9. RPM stock (common)	A	Dividend	J	T					
10. Sun Trust stock (common)'	A	Dividend	J	T					
11. Family Trust #1 (H) - Income Beneficiary									
12. --Wells Fargo National Bank - cash account	A	Interest	J	T					
13. --Greenville County, SC	B	Rent	M	W					
14. TD Bank - cash equivalent account	A	Interest	J	T					
15. Vanguard Group Funds: Growth & Income Portfolio	A	Dividend	J	T					
16. American Funds: Growth Fund of America IRA	A	Dividend	K	T	Sold (part)	11/07/18	J	B	
17. American Funds: New Perspective Fund IRA	A	Dividend	K	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	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	
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000 (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market

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18. First Citizens Bank - cash equivalent account	A	Interest	J	T					
19. Ameritrade IRA (H)									
20. --MIPS Technologies stock (common)	A	Dividend	J	T					
21. --Honeywell stock (common)	A	Dividend	J	T					
22. --Applied Materials stock (common)	A	Dividend	J	T					
23. --Texas Instrument stock (common)	A	Dividend	J	T					
24. BB&T stock (common)	A	Dividend	J	T					
25. Home Depot stock (common)	A	Dividend	J	T					
26. Athene -- whole life insurance policies	A	Interest	J	T					
27. Protective Life -- whole life insurance policy	A	Interest	J	T					
28. Jefferson National Life -- whole life insurance policy	A	Interest	J	T					
29. Conagra stock (common)	A	Dividend	J	T					
30. Regions Financial Corp. stock (common)	A	Dividend	J	T					
31. Jefferson County, Florida	C	Rent	N	W					
32. Monsanto stock (common)	A	Dividend			Sold	06/07/18	J	D	
33. Pfizer stock (common)	A	Dividend	J	T					
34. FDIC Insured Deposit Sweep Program (Y)									

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35. SPDR Trust Series 1: SPY Fund	A	Dividend	K	T					
36. Antigonish County, Nova Scotia, Canada		None	N	T					
37. RBC Bank - Canada - cash equivalent accounts		None	J	T					
38. TD Canada Trust - Canada - cash equivalent accounts		None	K	T					
39. Southern First Bank - cash equivalent accounts	B	Interest	M	T					
40. Pinnacle Bank - cash equivalent accounts	A	Interest	M	T					
41. United Community Bank - cash equivalent accounts	A	Interest	N	T					
42. Anderson SC Wtr and Sewer Bond	A	Interest			Sold	02/20/18	K	B	
43. SC Jobs Econ Dev. Dev. Rev. Bon Secours Hlth Sys.Bond	A	Interest			Sold	02/20/18	J	A	
44. Grand South Bank - cash equivalent accounts	D	Interest	O	T					
45. TD Canada Trust - Canada - cash equivalent accounts	A	Interest	M	T					
46. Fidelity Investments: MSCI Financials Index ETF (equity security)	A	Dividend	J	T					
47. SC State Pub Svc Auth Rev 7 Bond	A	Interest	K	T					
48. South State Bank - cash equivalent accounts	B	Interest			Closed	12/11/18	M		
49. British American Tobacco PLC (common)	A	Dividend			Sold	02/14/18	J		
50. Henderson County, NC		None	L	T	Buy	05/24/18	L		
51. Heritage Federal Credit Union cash equivalent account	A	Interest	K	T	Open	12/27/18	K		

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52. State Street Global Advisors: SPDR DJIA ETF (equity security)	A	Dividend	J	T	Buy	03/15/18	K		
53. INVESCO: Invesco QQQ ETF (equity security)	A	Dividend	K	T	Buy	03/15/18	K		

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

In Parts II and III.A.1 -- I am eligible for a lifetime monthly retirement benefit of approximately 18/24 of 71.3% of the salary of a Circuit Judge of South Carolina. Payment began when I turned 55 years of age on May 1, 2003.

In Part VII, #31 -- Income is from rent.

In Part VII, #34 -- This is a fund at Sandlapper Securities into which my dividends are placed that are received directly by my broker. In 2018, these funds were in the FDIC Insured Deposit Sweep Program. However, this account in 2018 did not meet the threshold monetary amounts to be a reportable asset.

In Part VII, #46, #52, and #53 -- My understanding is that the appropriate description for a unit of ownership in an exchange traded fund (ETF) is "equity security."

In Part VII, #53 -- This investment was purchased as Powershares QQQ ETF. On June 4, 2018, Powershares QQQ ETF changed its name to Invesco QQQ Trust.

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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/ William B. TRAXLER, 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. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544