

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 05/01/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Court Judge (Active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
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. Visiting professor	Charleston School of Law
2. Trustee	Furman University
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. 2013	State of S.C. Circuit Judge Retirement benefit	\$70,237.08
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. 2013	State of S.C. Retirement benefit
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. Marquette University Law School	4/3/2013 - 4/4/2013	Milwaukee, WI	Moot Court Judge	Transportation, lodging, meals
2. Charleston School of Law	5/10/2013 - 5/11/2013	Charleston, SC	Commencement Speaker	Lodging, meals
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.		
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	M	W					
2. (2) Leon County, Fla.		None	M	W					
3. (3) Leon County, Fla., 1/5 interest		None	K	W					
4. Sonoco stock (common)	A	Dividend	J	T					
5. Palmetto Bank - various accounts	A	Interest	K	T					
6. Washington Mutual Investors Fund IRA	A	Dividend	K	T					
7. Motorola Solutions stock (common)	A	Dividend	J	T					
8. McDonalds stock (common)	A	Dividend	J	T					
9. Kellogg's stock (common)	A	Dividend	J	T					
10. RPM stock (common)	A	Dividend	J	T					
11. Sun Trust stock (common)	A	Dividend	J	T					
12. Trust #1	A	Rent	M	W					
13. --Wells Fargo National Bank checking account									
14. --Greenville County, SC									
15. TD Bank checking account	A	Interest	J	T					
16. Vanguard Growth & Income Portfolio	A	Dividend	J	T					
17. Growth Fund of America IRA	A	Dividend	K	T					

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J ~\$15,000 or less	K ~\$15,001 - \$50,000	L ~\$50,001 - \$100,000	M ~\$100,001 - \$250,000	
(See Columns C1 and D3)	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	Q ~Appraisal	R ~Cost (Real Estate Only)	S ~Assessment	T ~Cash Market	
(See Column C2)	U ~Book Value	V ~Other	W ~Estimated		

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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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (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)

18. New Perspective Fund IRA	A	Dividend	K	T					
19. First Citizens Bank-various accounts	A	Interest	M	T					
20. Ameritrade IRA	A	Dividend	J	T					
21. --MIPS Technologies stock (common)									
22. --Honeywell stock (common)									
23. --Applied Materials stock (common)									
24. --Texas Instrument stock (common)									
25. BB&T stock (common)	A	Dividend	J	T					
26. Home Depot stock (common)	A	Dividend	J	T					
27. Pfizer stock (common)	A	Dividend	J	T					
28. Athene -- whole life insurance policies	A	Interest	J	T					
29. Protective Life -- whole life insurance policy	A	Interest	J	T					
30. Jefferson National Life -- whole life insurance policy	A	Interest	J	T					
31. Conagra stock (common)	A	Dividend	J	T	Buy (add'l)	01/11/13	J		
32. Piedmont Natural Gas stock (common)	A	Dividend	J	T					
33. Regions Financial Corp. stock (common)	A	Dividend	J	T					
34. Jefferson County, Florida 1/4 interest	B	Rent	M	W					

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 \$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	

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35. South Carolina Bank & Trust-savings account	A	Interest	L	T					
36. Independence Bank-money market account	A	Interest	L	T					
37. Monsanto stock (common)	A	Dividend	J	T					
38. Pfizer stock (common)	A	Dividend	J	T					
39. Federated Govt. Cash Series	A	Interest	J	T					
40. Putnam Tax Free Mutual Fund	A	Interest	J	T					
41. SCANA stock (common)	A	Dividend	J	T					
42. First Federal Bank-money market account	A	Interest	J	T					
43. Savannah River Bank-checking account	A	Interest	M	T					
44. SPY Fund	A	Dividend	J	T					
45. First South Bank-CD account	A	Interest	K	T					
46. Antigonish County, Nova Scotia, Canada		None	N	T					
47. RBC Bank-savings account-Canada		None	J	T					
48. NBSC Bank-money market account	A	Interest	M	T					
49. TD Canada Trust-checking account-Canada		None	K	T					
50. State Credit Union-money market account	A	Interest	J	T					
51. Gilead Sciences stock (common)		None	J	T					

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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	

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52. Southern First Bank-CD	A	Interest	M	T	Open	12/03/13	M		
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

In Parts I and III.A -- I did not teach during 2013 and hence had no income to report as a visiting professor from the Charleston School of Law.

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, #6, #17, and #18 --The company or fund family that sponsors these funds is American Funds.

In Part VII, #12 -- No distribution was made from the trust to me in 2013. The ranges provided represent aggregate totals for the trust.

In Part VII, #16 -- This is a mutual fund. The fund family is The Vanguard Group.

In Part VII, #34 -- Income is from rent and agricultural program payments.

In Part VII, #39 -- This line-item is a money market mutual fund at Hilliard Lyons into which my dividends are placed that are received directly by my broker. The fund family is Federated Investor Funds.

In Part VII, #40 -- The company or fund family is Putnam Investments.

In Part VII, #44 -- This is an exchange traded fund. The fund family is SPDR Trust Series 1.

In Part VII, #47 -- This account was originally set up as a savings account. Because it is in Canada, I asked that no interest be paid.

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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