

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 05/04/2018
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 01/01/2017 to 12/31/2017
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. 2017	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. 2017	State of S.C. Retirement benefit
2. 2017	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	1/27/17 to 1/28/17	Phoenix, AZ	Attend O'Connor Justice Prize award dinner	Transportation, lodging, meal
2. Bar Association of Metropolitan St. Louis	10/18/17 to 10/19/17	St. Louis, MO	Speaker at Federal Practice Seminar	Transportation, 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.		None	K	W					
4. Sonoco stock (common)	A	Dividend	J	T					
5. American 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	D	Rent	M	W					
14. TD Bank - cash equivalent accounts	A	Interest	J	T					
15. Vanguard Group Growth & Income Portfolio	A	Dividend	J	T					
16. American Growth Fund of America IRA	A	Dividend	K	T					
17. American New Perspective Fund IRA	A	Dividend	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	
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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18. First Citizens Bank - cash equivalent accounts	A	Interest	K	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. Pfizer stock (common)	A	Dividend			Sold	06/16/17	J		
27. Athene -- whole life insurance policies	A	Interest	J	T					
28. Protective Life -- whole life insurance policy	A	Interest	J	T					
29. Jefferson National Life -- whole life insurance policy	A	Interest	J	T					
30. Conagra stock (common)	A	Dividend	J	T					
31. Regions Financial Corp. stock (common)	A	Dividend	J	T					
32. Jefferson County, Florida	C	Rent	N	W					
33. Monsanto stock (common)	A	Dividend	J	T					
34. Pfizer stock (common)	A	Dividend	J	T					

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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	
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35. Federated Govt Obligations Fund	A	Interest	J	T					
36. Putnam Investments Tax Free Mutual Fund	A	Interest			Sold	06/16/17	J		
37. SCANA stock (common)	A	Dividend			Sold	06/16/17	J		
38. First Community Bank cash equivalent accounts	A	Interest			Closed	11/08/17	M		
39. SPDR Trust Series 1 SPY Fund	A	Dividend	L	T	Buy (add'l)	06/16/17	K		
40. First South Bank - cash equivalent accounts	A	Interest			Closed	04/28/17	L		
41. Antigonish County, Nova Scotia, Canada		None	N	T					
42. RBC Bank - Canada - cash equivalent accounts		None	J	T					
43. TD Canada Trust - Canada - cash equivalent accounts		None	K	T					
44. Southern First Bank - cash equivalent accounts	B	Interest	M	T					
45. Pinnacle Bank - cash equivalent accounts	B	Interest	M	T					
46. United Community Bank - cash equivalent accounts	A	Interest	M	T					
47. Anderson SC Wtr and Sewer Bond	A	Interest	K	T					
48. SC Jobs Econ Dev. Dev. Rev. Bon Secours Hlth Sys.Bond	A	Interest	J	T					
49. SC Jobs EDA Hosp Rev RFDG Georgetown Hosp Bond	A	Interest			Redeemed	02/01/17	J	A	
50. Grand South Bank - cash equivalent accounts	D	Interest	N	T					
51. Reynolds American (common)	A	Dividend			Merged (with line 57)	07/25/17	J		

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(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	
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52. TD Canada Trust - Canada - cash equivalent accounts	A	Interest	M	T					
53. Lamb Weston Holdings, Inc. (common)	A	Dividend			Sold	06/16/17	J		
54. Fidelity MSCI Financials Index ETF	A	Dividend	J	T	Buy	10/23/17	J		
55. SC State Pub Svc Auth Rev 7 Bond	A	Interest	K	T	Buy	06/20/17	K		
56. South State Bank - cash equivalent accounts	A	Interest	M	T	Open	11/08/17	M		
57. British American Tobacco PLC (common)	A	Dividend	J	T	Buy	07/25/17	J		

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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, #5, #16, and #17 --The company or fund family that sponsors these funds is American Funds.

In Part VII, #15 -- This is a mutual fund. The fund family is The Vanguard Group.

In Part VII, #32 -- Income is from rent and agricultural program payments.

In Part VII, #35 -- This line-item is a money market mutual fund at Sandlapper Securities into which my dividends are placed that are received directly by my broker. The Federated Investor Funds Govt Cash Series was discontinued, and Sandlapper Securities made the decision in late 2015 to begin depositing my dividends into a fund named the Federated Govt Obligations Fund. The fund family is still Federated Investor Funds. My 2015 and 2016 reports should be considered to be amended in this regard.

In Part VII, #36 -- The company or fund family is Putnam Investments.

In Part VII, #39 -- This is an exchange traded fund. The fund family is SPDR Trust Series 1.

In Part VII, #45 -- Bank of NC merged into Pinnacle Bank.

In Part VII, #51 -- Reynolds American merged into British American Tobacco PLC (Line 57).

In Part VII, #54 -- The fund family is Fidelity Funds.

In Part VII, #57 -- Reynolds American (Line 51) merged into British American (Line 57). On Line 57, in Column D(1), which shows the acquisition of British American stock from the merger, the software will not let me use the word "merge." The term available in the software that is the closest to what actually happened for that entry is "buy." That is why the word "buy" is used instead of "merged."

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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