

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2019**

*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 05/3/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 300 E. Washington Street, Suite 222 Greenville, SC 29601		
IMPORTANT NOTES: <i>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>		

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. 05/00/92	State of S.C. Circuit Judge Retirement benefit (see III.A.1)
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

TRAXLER, Jr., William B.

Date of Report

05/3/2020

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 S.C. Circuit Judge Retirement benefit	\$87,210.84
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. 2019	State of S.C. Retirement benefit
2. 2019	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.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
TRAXLER, Jr., William B.	05/3/2020

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

TRAXLER, Jr., William B.

Date of Report

05/3/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. (2) Leon County, Fla.		None	M	W					
2. (3) Leon County, Fla.		None	K	W					
3. Sonoco stock (common)	A	Dividend	K	T					
4. American Funds: Washington Mutual Investors Fund IRA	A	Dividend	K	T	Sold (part)	06/24/19	J	B	
5. Motorola Solutions stock (common)	A	Dividend	J	T					
6. McDonalds stock (common)	A	Dividend	J	T					
7. Kellogg's stock (common)	A	Dividend	J	T					
8. RPM stock (common)	A	Dividend	J	T					
9. Truist (formerly Sun Trust) stock (common)	A	Dividend	J	T	Sold (part)	12/11/19	J	A	
10. Family Trust #1 (H) - Income Beneficiary									
11. --Wells Fargo National Bank - cash account	A	Interest	J	T					
12. --Greenville County, SC	B	Rent	L	W					
13. TD Bank - cash equivalent account	A	Interest	K	T					
14. Vanguard Group Funds: Growth & Income Portfolio	A	Dividend	K	T					
15. American Funds: Growth Fund of America IRA	A	Dividend	K	T					
16. American Funds: New Perspective Fund IRA	A	Dividend	K	T					
17. First Citizens Bank - cash equivalent account	A	Interest	J	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

TRAXLER, Jr., William B.

Date of Report

05/3/2020

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)
18. Ameritrade IRA (H)									
19. --MIPS Technologies stock (common)	A	Dividend	J	T					
20. --Honeywell stock (common)	A	Dividend	J	T					
21. --Applied Materials stock (common)	A	Dividend	J	T					
22. --Texas Instrument stock (common)	A	Dividend	J	T					
23. Truist (formerly BB&T) stock (common)	A	Dividend	J	T					
24. Home Depot stock (common)	A	Dividend	J	T					
25. Athene -- whole life insurance policies	A	Interest	J	T					
26. Protective Life -- whole life insurance policy	A	Interest	J	T					
27. Jefferson National Life -- whole life insurance policy	A	Interest	J	T					
28. Conagra stock (common)	A	Dividend	J	T					
29. Regions Financial Corp. stock (common)	A	Dividend	J	T					
30. Jefferson County, Florida	C	Rent	N	W					
31. Pfizer stock (common)	A	Dividend	J	T					
32. SPDR Trust Series 1: SPY Fund	B	Dividend	L	T					
33. Antigonish County, Nova Scotia, Canada		None	N	T					
34. RBC Bank - Canada - cash equivalent accounts		None	J	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

TRAXLER, Jr., William B.

Date of Report

05/3/2020

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)
35. TD Canada Trust - Canada - cash equivalent accounts		None	K	T					
36. Southern First Bank - cash equivalent accounts	C	Interest	M	T					
37. Pinnacle Bank - cash equivalent accounts	B	Interest	N	T					
38. United Community Bank - cash equivalent accounts	C	Interest	M	T					
39. Grand South Bank - cash equivalent accounts	D	Interest	O	T					
40. TD Canada Trust - Canada - cash equivalent accounts	A	Interest	M	T					
41. Fidelity Investments: MSCI Financials Index ETF (equity security)	A	Dividend	J	T					
42. SC State Pub Svc Auth Rev 7 Bond	A	Interest	K	T					
43. Henderson County, NC		None	L	T					
44. Heritage Federal Credit Union cash equivalent account	A	Interest	K	T					
45. State Street Global Advisors: SPDR DJIA ETF (equity security)	A	Dividend	K	T					
46. INVESCO: Invesco QQQ ETF (equity security)	A	Dividend	K	T					
47. Family Trust #2 (H) (X)									
48. AGNC Investment (common stock) (X)	A	Dividend	J	T					
49. Anworth Mortgage Asset (common stock) (X)	A	Dividend	J	T					
50. Bristol-Myers Squibb (common stock) (X)	A	Dividend	J	T					
51. Cisco Systems (common stock) (X)	A	Dividend	J	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	

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52. Ebay (common stock) (X)	A	Dividend	J	T					
53. Lowe's (common stock) (X)	A	Dividend	J	T					
54. Mastercard (common stock) (X)	A	Dividend	J	T					
55. Paypal (common stock) (X)	A	Dividend	J	T					
56. Pfizer (common stock) (X)	A	Dividend	J	T					
57. Procter & Gamble (common stock) (X)	A	Dividend	J	T					
58. Ameritrade Cash Equivalent Account (X)	A	Interest	J	T					
59. Leon County, FL (X)		None	O	W					
60. Macon County, NC (X)		None	K	W					
61. Truist Financial - Cash Equivalent Account (X)	A	Interest	J	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

TRAXLER, Jr., William B.

Date of Report

05/3/2020

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, #9 and #23 -- BB&T and SunTrust banks merged to become Truist Financial Corporation on or about 12/06/2019.

In Part VII, #41, #45, and #46 -- My understanding is that the appropriate description for a unit of ownership in an exchange traded fund (ETF) is "equity security."

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

TRAXLER, Jr., William B.

Date of Report

05/3/2020

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544