

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) Trader, Rom A.	2. Court or Organization United States District Court - District of Hawaii	3. Date of Report 05/11/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Board Member	Attorneys & Judges Assistance Program
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. 1997	State of Hawaii Retirement Pension (defined benefit plan)
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. 2019	State of Hawaii (pension)	\$121,753.00
2. 2019	Wedding Officiant (officiant fees)	\$720.00
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.	
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.				
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.)

	<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.			

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. INDIVIDUAL ASSETS (H)									
2. AMERICAN SAVINGS BANK OF HAWAII (cash)	A	Interest	K	T					
3. HAWAII STATE FEDERAL CREDIT UNION (cash)	A	Interest	M	T					
4. IRA #1 (H)									
5. BANK OF AMERICA NA RASP (CASH)	A	Interest	L	T					
6. ALPHABET INC SHS CL C (GOOG)		None	J	T					
7. AMER FDS AMCAP FD CL F2 (AMCFX)	A	Dividend			Sold	08/19/19	J		
8. AMER GRWTH FD OF AMERICA F2 (GFFFX)	A	Dividend			Sold	08/19/19	J		
9. CONGRESS MID CAP GRWTH FD I (IMIDX)	A	Dividend			Sold	08/19/19	J	A	
10. DOUBLELINE SHILLER ENH CAPE FD I (DSEEX)	A	Dividend	J	T	Buy (add'l)	08/19/19	J		
11. JANUS HENDERSON ENTERPRISE FUND I (JMGRX)	A	Dividend	J	T	Buy	08/19/19	J		
12. INVESCO OPPENHEIMER INTL SMALL MID CO FD Y (OSMYX)	A	Dividend	J	T					
13. PIMCO INVESTMENT GRADE (PBDPX)	A	Dividend	K	T	Buy	08/19/19	J		
14. PIMCO SHORT TERM FD I2 (PTSPX)	A	Dividend			Sold	05/14/19	J		
15. T ROWE PRICE DIVIDEND (PRDGX)	A	Dividend	J	T	Buy	08/19/19	J		
16. T ROWE PRICE HLTH SCI FD INV CL (PRHSX)	A	Dividend	J	T					
17. IRA #2 (H)									

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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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)
18. BANK OF AMERICA NA RASP (CASH)	A	Interest	K	T	Open	01/31/19	M		
19. COHEN & STEERS REAL (CSDIX)	A	Dividend	J	T	Buy	08/19/19	J		
20. FIRST EAGLE GLOBAL CL I (SGIIX)	A	Dividend	J	T	Buy	03/06/19	J		
21.					Buy (add'l)	08/19/19	J		
22. JANUS HEND BAL FUND I (JBALX)	A	Dividend	K	T	Buy	03/06/19	J		
23.					Buy (add'l)	05/14/19	J		
24.					Buy (add'l)	08/19/19	J		
25. JANUS HEND ENT FUND (JMGRX)	A	Dividend	J	T	Buy	05/14/19	J		
26. MORGAN STANLEY GRWTH PORT CL I (MSEQX)	B	Dividend	K	T	Buy	03/06/19	J		
27.					Buy (add'l)	05/14/19	J		
28. PIMCO INVESTMENT GRADE (PBDPX)	A	Dividend	J	T	Buy	08/19/19	J		
29. PIMCO INCOME FD CL I2 (PONPX)	A	Dividend	K	T	Buy	03/06/19	J		
30.					Buy (add'l)	05/14/19	J		
31. T. ROWE PRICE COMM (PRMTX)	A	Dividend	K	T	Buy	05/14/19	J		
32.					Buy (add'l)	08/19/19	J		
33. ANNUITY ACCOUNT #1 (H)									
34. ALLIANZ VISION BONUS FIXED ANNUITY		None	M	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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☐ 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				
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35. BROKERAGE ACCT #1 (H)									
36. HONOLULU HAWAII CITY & CNTY SER A RF (438670X30)	B	Interest	K	T					
37. NEXTGEN 529 ACCT #1 (H)									
38. BLKRK EQ DIV PORT C (MCDVX)		None	K	T					
39. FRANKTEMP BALANCED C (FBMCX)		None	K	T	Buy (add'l)	11/05/19	J		
40.					Buy (add'l)	12/03/19	J		
41. FRANKTEMP SM MID CAP GR C (FRSGX)		None	K	T	Buy (add'l)	11/05/19	J		
42.					Buy (add'l)	12/03/19	J		
43. MAINSTAY LGCAP GRWTH C (MLACX)		None	L	T	Buy (add'l)	01/04/19	J		
44.					Buy (add'l)	02/05/19	J		
45.					Buy (add'l)	03/05/19	J		
46.					Buy (add'l)	04/03/19	J		
47.					Buy (add'l)	04/04/19	J		
48.					Buy (add'l)	05/03/19	J		
49.					Buy (add'l)	11/05/19	J		
50.					Buy (add'l)	12/03/19	J		
51. MFS EQUITY PORT C (MRGCX)		None	K	T	Buy (add'l)	11/05/19	J		

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
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52.					Buy (add'l)	12/03/19	J		

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

Part III A., line 2: Fees earned prior to federal status.

INVESCO OPPENHEIMER DEV MKTS FD Y (ODVYX) was OPPENHEIMER DEV MKTS FD Y (ODVYX).

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.

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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/ **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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Washington, D.C. 20544