

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 05/07/2021
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	
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. 1997	State of Hawaii Retirement Pension (defined benefit plan)
2.	
3.	

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Name of Person Reporting

Trader, Rom A.

Date of Report

05/07/2021

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. 2020	State of Hawaii (pension)	\$124,383.42
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.	
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.				

Name of Person Reporting	Date of Report
Trader, Rom A.	05/07/2021

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.		

Table with 2 columns: Name of Person Reporting, Date of Report. Values: Trader, Rom A., 05/07/2021

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.)

Table with 10 columns: A (Description of Assets), B (Income during reporting period), C (Gross value at end of reporting period), D (Transactions during reporting period), and sub-columns for each. Rows include assets like AMERICAN SAVINGS BANK OF HAWAII, HAWAII STATE FEDERAL CREDIT UNION, and various stocks like ALPHABET INC, AMAZON COM INC, APPLE INC, MICROSOFT CORP, etc.

Table with 6 columns: 1 Income Gain Codes, 2 Value Codes, 3 Value Method Codes, and corresponding ranges and descriptions for each code.

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. PIMCO INVESTMENT GRADE (PBDPX)	A	Dividend	K	T	Buy (add'l)	09/03/20	K		
19. PIMCO INCOME FD CL I2 (PONPX)	A	Dividend			Buy	01/17/20	J		
20.					Sold	09/02/20	K		
21. T ROWE PRICE DIVIDEND (PRDGX)	A	Dividend	J	T					
22. T ROWE PRICE HLTH SCI FD INV CL (PRHSX)	A	Dividend	J	T					
23. ACCOUNT #2 (H)									
24. BANK OF AMERICA NA RASP (CASH) (Y)									
25. ABBOTT LABS (ABT)	A	Dividend	J	T	Buy	04/21/20	J		
26. AMAZON COM INC (AMZN)		None	K	T	Buy	04/21/20	J		
27. APPLE INC (APPL)	A	Dividend	K	T	Buy	04/21/20	J		
28.					Buy (add'l)	09/04/20	J		
29. CLOROX CO DEL COM (CLX)	A	Dividend	J	T	Buy	04/21/20	J		
30. MICROSOFT CORP (MSFT)	A	Dividend	J	T	Buy	09/04/20	J		
31. NVIDIA (NVDA)	A	Dividend	J	T	Buy	09/04/20	J		
32. COHEN & STEERS REAL (CSDIX)	A	Dividend	J	T					
33. FIRST EAGLE GLOBAL CL I (SGIIX)		None			Buy (add'l)	01/17/20	J		
34.					Sold	03/23/20	J		

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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Name of Person Reporting

Trader, Rom A.

Date of Report

05/07/2021

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. JANUS HEND BAL FUND I (JBALX)	A	Dividend	K	T					
36. JANUS HEND ENT FUND (JMGRX)	A	Dividend			Sold	03/23/20	J		
37. MORGAN STANLEY GRWTH PORT CL I (MSEQX)	C	Dividend	L	T	Buy (add'l)	01/17/20	J		
38. PIMCO INVESTMENT GRADE (PBDPX)	A	Dividend	J	T	Buy (add'l)	01/17/20	J		
39. PIMCO INCOME FD CL I2 (PONPX)	A	Dividend			Sold	03/23/20	K		
40. T. ROWE PRICE COMM (PRMTX)	B	Dividend	K	T					
41. ACCOUNT #3 (H)									
42. AZL MVP T. ROWE PRICE CAPITAL APP PLUS		None	M	T					
43. ACCOUNT #4 (H)									
44. HONOLULU HAWAII CITY & CNTY SER A RF (438670X30)	B	Interest	K	T					
45. ACCOUNT #5 (H)									
46. BLKRK EQ DIV PORT A (MDDVX) (X)		None	J	T					
47. BLKRK EQ DIV PORT C (MCDVX)		None			Sold	03/31/20	J		
48. FRANKTEMP BALANCED C (FBMCX)		None	J	T	Buy (add'l)	01/06/20	J		
49.					Buy (add'l)	02/04/20	J		
50.					Buy (add'l)	03/03/20	J		
51.					Sold (part)	03/31/20	K		

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.					Buy (add'l)	04/03/20	J		
53.					Buy (add'l)	05/05/20	J		
54.					Buy (add'l)	06/03/20	J		
55.					Buy (add'l)	07/06/20	J		
56.					Buy (add'l)	08/04/20	J		
57.					Buy (add'l)	09/03/20	J		
58.					Buy (add'l)	10/05/20	J		
59.					Buy (add'l)	11/03/20	J		
60.					Buy (add'l)	12/03/20	J		
61. FRANKTEMP SM MID CAP GR A (X)		None	K	T					
62. FRANKTEMP SM MID CAP GR C (FRSGX)		None	K	T	Buy (add'l)	01/06/20	J		
63.					Buy (add'l)	02/04/20	J		
64.					Buy (add'l)	03/03/20	J		
65.					Sold (part)	03/31/20	K		
66.					Buy (add'l)	04/03/20	J		
67.					Buy (add'l)	05/05/20	J		
68.					Buy (add'l)	06/03/20	J		

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
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B =\$1,001 - \$2,500
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K =\$15,001 - \$50,000
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H1 =\$1,000,001 - \$5,000,000
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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.)

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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)	(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)
69.					Buy (add'l)	07/06/20	J		
70.					Buy (add'l)	08/04/20	J		
71.					Buy (add'l)	09/03/20	J		
72.					Buy (add'l)	10/05/20	J		
73.					Buy (add'l)	11/03/20	J		
74.					Buy (add'l)	12/03/20	J		
75. MAINSTAY LGCAP GRWTH A (MLAAX) (X)		None	L	T	Buy (add'l)	12/03/20	K		
76. MAINSTAY LGCAP GRWTH C (MLACX)		None	M	T	Buy (add'l)	01/06/20	J		
77.					Buy (add'l)	02/04/20	J		
78.					Buy (add'l)	03/03/20	J		
79.					Buy (add'l)	04/03/20	J		
80.					Buy (add'l)	05/05/20	J		
81.					Buy (add'l)	06/03/20	J		
82.					Buy (add'l)	07/06/20	J		
83.					Buy (add'l)	08/04/20	J		
84.					Buy (add'l)	09/03/20	J		
85.					Buy (add'l)	10/05/20	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
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	
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	(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)
86.					Buy (add'l)	11/03/20	J		
87.					Buy (add'l)	12/03/20	L		
88. MFS EQUITY PORT C (MRGCX)		None	J	T	Buy (add'l)	01/06/20	J		
89.					Buy (add'l)	02/04/20	J		
90.					Buy (add'l)	03/03/20	J		
91.					Sold (part)	03/31/20	K		
92.					Buy (add'l)	04/03/20	J		
93.					Buy (add'l)	05/05/20	J		
94.					Buy (add'l)	06/03/20	J		
95.					Buy (add'l)	07/06/20	J		
96.					Buy (add'l)	08/04/20	J		
97.					Buy (add'l)	09/03/20	J		
98.					Buy (add'l)	10/05/20	J		
99.					Buy (add'l)	11/03/20	J		
100.					Buy (add'l)	12/03/20	J		
101. PRINCIPAL PLUS PORT A (X)		None			Sold	12/03/20	K		
102. PRINCIPAL PLUS PORT C		None			Buy	03/31/20	L		

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

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H2 =More than \$5,000,000

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

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

T =Cash Market

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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)	(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)
103.					Sold	12/03/20	L		

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	
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Name of Person Reporting

Trader, Rom A.

Date of Report

05/07/2021

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

Part VII, Account #3 is an Allianz Vision Bonus Variable Annuity. The underlying investment is listed in Part VII.

Part VII, Account #5 is a NextGen 529 Account. Underlying investments are listed in Part VII.

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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Name of Person Reporting

Trader, Rom A.

Date of Report

05/07/2021

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