

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) TRAUGER, ALETA A.	2. Court or Organization U.S. DISTRICT COURT (MD TENN)	3. Date of Report 11/13/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Court Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 825 U.S. Courthouse 801 Broadway Nashville, Tennessee 37203		
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.		
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. 5/31/2016	Loan of \$6000.00 to Rossemary Paschall (no interest)
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.)*DATESOURCE AND TYPEINCOME
(yours, not spouse's)

1. _____

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.)*DATESOURCE AND TYPE

1. 2016

Income from law firm partnership - spouse is attorney partner in Trauger & Tuke

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

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.	Nashville Bank & Trust	Line of credit for law firm partnership	J
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. Ace'ts at SunTrust Bank, Nashville, TN	A	Interest	M	T					
2. The Equitable A.B.A. Group IRA									
3. - AXA Moderate Alloc.Portfolio		None	K	T					
4. - EQ Money Market		None	J	T					
5. - Multimanager Aggressive Equity		None	K	T					
6. - EQ/Common Stock Index		None	L	T					
7. - EQ/International Equity Index		None	K	T					
8. Robertson Stephens Emerging (now Victory Funds)		None	N	T					
9. Guilford County, North Carolina farmland	B	Rent	N	W					
10. Cash surr. value NW Life policy		None	M	T					
11. Cash surr. value of 2 NW Life policies		None	N	T					
12. Parnassus Fund	C	Dividend	M	T					
13. Profit sharing plan - Divers. Trust		None	P1	T					
14. Moore County, North Carolina timber land	B	Rent	M	W					
15. Bank of America Corporation	A	Dividend	J	T					
16. Exxon Mobil Corp.	B	Dividend	K	T					
17. Piedmont Natural Gas Co.	A	Dividend			Sold	10/04/16	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	

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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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18. Metro Nashville Electric Service Zero Coupon Bonds		None	K	T					
19. Elizabethton, TN water & sewer revenue bonds		None	K	T					
20. Lincoln National Corp.	A	Dividend	K	T					
21. MGT Holdings		None	J	T					
22. The Providence Service Corp.		None	N	T	Donated (part)	12/16/16	M		
23. Rental Property - Nashville, Tennessee, Davidson County	A	Rent	O	W					
24. Regions Bank money mkt. acct. (Morgan Keegan/Raymond James)	A	Interest	J	T					
25. Pinnacle Nat. Bank accounts	B	Interest	O	T					
26. Blount County, TN municipal bonds	A	Interest	K	T					
27. Hirtle, Callaghan Investment Funds									
28. - HCCT Commodities	B	Dividend	L	T					
29. - HCCT Emerging Mkts.	A	Dividend	J	T	Sold (part)	02/25/16	L		
30. - HCCT Fixed Income Opportunity	A	Dividend	J	T					
31. - HCCT Intermed. Muni	D	Dividend	M	T					
32. - HCCT Intermed.Muni. II	B	Dividend	L	T	Buy	12/23/16	J		
33. - HCCT International	D	Dividend	N	T	Buy	02/25/16	K		
34. - HCCT International					Sold (part)	11/21/16	K		

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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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. - HCCT Large Cap Growth	C	Dividend	N	T	Buy	12/23/16	K		
36. - HCCT Large Cap Value	C	Dividend	M	T	Buy	12/23/16	J		
37. - HCCT Small Cap	A	Dividend	K	T	Sold (part)	12/23/16	J		
38. - HCCT Core Fixed Income	A	Dividend	J	T					
39. - HCCT Institutional International Equity	A	Dividend	J	T					
40. - HCCT Institutional Large Cap. Growth	A	Dividend	J	T	Buy	12/23/16	J		
41. - HCCT Institutional Large Cap. Value	A	Dividend	J	T	Buy	12/23/16	J		
42. Nelson's Green Brier Distillery, LLC		None	L	T					
43. Shelby Co. TN Health EDL & HSG Facs Rev. Bonds	B	Interest	K	T					
44. Edward Jones Advisory Solutions	D	Dividend	N	T					
45. Edward Jones IRA	D	Dividend	M	T					
46. Edward Jones Investment Acc't.									
47. - Money market acc't.		None	K	T					
48. - Puerto Rico Trans. Auth., bonds	A	Interest			Redeemed	07/01/16	J		
49. - Metro Nashville Gen. oblig. bonds	A	Interest			Redeemed	8/01/16	K		
50. - Knox Co. health & educ. bonds	A	Interest	J	T					
51. Robertson Co., TN school bonds	A	Interest	K	T					

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52. - Blount Co. Public Auth. bonds	A	Interest			Redeemed	6/1/16	K		
53. - AmGen, Inc.	A	Dividend	J	T					
54. - Express Scripts Holding Co.		None	J	T					
55. - Gen. Electric Co.	A	Dividend	J	T					
56. - Johnson & Johnson	A	Dividend	J	T					
57. - Merck & Co., Inc.	A	Dividend	J	T					
58. - Pepsico, Inc.	A	Dividend	J	T					
59. - GTravelers Companies, Inc.	A	Dividend	J	T					
60. - Wal-Marts Stores, Inc.	A	Dividend	J	T					
61. - Amer. Balanced Fund	B	Dividend	K	T					
62. - Amer. Mut. Fund	A	Dividend	M	T					
63. - Cap Income Bldr. Fund	A	Dividend	K	T					
64. - Cap World Growth & Income Fund	A	Dividend	L	T					
65. - Eaton Vance Tax Managed Div. Income Fund	A	Dividend	J	T					
66. - Franklin, TN munic. bond fund	A	Dividend	L	T					
67. - Fundamental Investors Fund	A	Dividend	L	T					
68. - Growth Fund of Amer.	A	Dividend	K	T					

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69. - Income Fund of Amer.	A	Dividend	L	T					
70. - Mut. Global Discovery Fund	A	Dividend	L	T					
71. - New Perspective Fund	A	Dividend	L	T					
72. - Nuveen Intermed. Duration Munic. Bond Fund	A	Dividend	K	T					
73. - Lincoln Financial Group Annuity (variable)									
74. - AF Growth		None	K	T	Redeemed	10/05/16	J		
75. -AF Growth - Inc.		None	K	T	Redeemed	10/05/16	J		
76. -AF Int'l		None	K	T	Redeemed	10/05/16	J		
77. -AF Asset Alloc		None	J	T	Redeemed	10/05/16	J		
78. -Bond		None	J	T	Redeemed	10/05/16	J		
79. -High Inc. Bond		None	K	T	Redeemed	10/05/16	J		
80. - Franklin Fed. Interterm tax free income fund - Class A	A	Dividend	K	T					
81. Hirtle, Callaghan Investment Funds									
82. - DWS Gov't. Cash Fund	A	Dividend	N	T					
83. - HCCT Real Estate	A	Dividend	J	T	Buy	12/23/16	J		
84. - HCCT Institutional Small Cap	A	Dividend	J	T	Buy	12/23/16	J		
85. - ISHARES MSCI EAFE	A	Dividend	K	T	Sold (part)	2/25/16	K		

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86. - ISHARES MSCI EAFE	A	Dividend	K	T	Buy	11/26/16	K		
87. - ISHARES MSCI Emerging Mkt.	B	Dividend	M	T	Buy	2/25/16	L		
88.									
89.									
90.									
91.									
92.									
93.									
94.									
95.									
96.									
97.									

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

Part VII Line 18 No rental income because relatives are living in the house and are not paying rent.

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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/ ALETA A. TRAUGER

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