

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 08/05/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Ct.Judge-Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
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.	
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. 2013

Income from law firm partnership - [REDACTED] 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	Mortgage on [REDACTED] law firm bldg. & loan for HVAC units [REDACTED] joint liability with other partners)	O
2.	Nashville Bank & Trust	Line of credit for law firm partnership	K
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. Acc'ts. at SunTrust Bank, Nashville, TN	A	Interest	L	T					
2. The Equitable A.B.A. Group IRA	E	Int./Div.	M	T					
3. Robertson Stephens Emerging Growth Fund	G	Int./Div.	N	T					
4. Guilford Co., NC farmland	B	Rent	N	W					
5. Cash surr. value NW Life policy		None	M	T					
6. Cash surr. value of 2 NW Life policies		None	M	T					
7. Parnassus Fund	E	Dividend	L	T					
8. Interest in law firm bldg.		None	M	W					
9. Profit sharing plan- Divers. Trust		None	P1	T					
10. Moore County, NC timber land	A	Rent	M	W					
11. Bank of America Corp.	A	Dividend	J	T					
12. Exxon Mobil Corp.	B	Dividend	K	T					
13. Piedmont Natural Gas Co.	A	Dividend	K	T					
14. Metro Nashville Electric Service Zero Coupon Bonds		None	K	T					
15. Elizabethton, TN water & sewer revenue bonds		None	K	T					
16. Lincoln National Corp	A	Dividend	K	T					
17. MGT Holdings		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 \$5,000,000	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				
	(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. The Providence Service Corp.		None	N	T	Donated (part)	12/24/13	K		
19. Rental Property -Nashville, Davidson Co., TN	E	Rent	O	W					
20. Regions Bank money market acc't. (Morgan Keegan)	B	Interest	J	T					
21. Pinnacle Nat. Bank accounts	A	Interest	L	T					
22. Blount County, TN munic. bonds	A	Interest	K	T					
23. Hirtle, Callaghan Investment Funds									
24. - DWS Tax Exempt INSL Share	A	Dividend	K	T					
25. -HCCT Commodities	A	Dividend	M	T					
26. -HCCT Emerging Mkts.	C	Dividend	M	T					
27. -HCCT Fixed Income Opportunity	B	Dividend	K	T					
28. -HCCT Intermed. Muni.	D	Dividend	M	T					
29. -HCCT Intermed. Muni. II	B	Dividend	L	T					
30. -HCCT International	D	Dividend	N	T					
31. -HCCT Large Cap Growth	C	Dividend	M	T					
32. -HCCT Large Cap Value	C	Dividend	M	T					
33. -HCCT Small Cap	A	Dividend	K	T					
34. -HCCT Core Fixed Income	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. -HCCT Institutional International Equity	A	Dividend	J	T					
36. -HCCT Institutional Growth Equity	A	Dividend	J	T					
37. -HCCT Institutional Value Equity	A	Dividend	J	T					
38. Nelson's Green Brier Distillery, LLC		None	L	T					
39. Wells Fargo checking acct.		None	J	T					
40. Claritas Capital COC Partners, LLC		None	N	T					
41. Shelby Co., TN Health EDL & HSG Facs Rev. Bonds	A	Interest	K	T	Buy	08/29/13	K		
42. Edwards Jones Advisory Solutions (X)	E	Dividend	M	T	Buy (add'l)	10/22/13	K		See note in Part VIII.
43. Edwards Jones IRA (X)	C	Dividend	M	T					See note in Part VIII.
44. Edwards Jones Investment Acc't. (X)									See note in Part VIII.
45. -Money market acc't. (X)		None	L	T					
46. -Hallsdale Powell Util. Dist. bonds (X)	A	Interest			Redeemed	04/01/13	J		
47. -Rutherford Co. School bonds (X)	A	Interest			Redeemed	06/03/13	J		
48. -Shelbyville Water & Sewer bonds (X)	A	Interest			Redeemed	08/01/13	J		
49. -Frisco, TX school bonds (X)	B	Interest			Redeemed	08/15/13	K		
50. -No. Harris County water bonds (X)	A	Interest			Redeemed	12/16/13	J		
51. -Rutherford Co. Gen. oblig. bonds (X)	A	Interest	J	T					

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52. -Puerto Rico Trans. Auth. bonds (X)	A	Interest	J	T					
53. -Metro Nashville Gen. oblig. bonds (X)	A	Interest	K	T					
54. -Sullivan Co. health bonds (X)	A	Interest	J	T					
55. -Knox Co. health & educ. bonds (X)	A	Interest	J	T					
56. -Huntsville, TN utility bonds (X)	A	Interest			Redeemed	12/02/13	J		
57. -Robertson Co., TN school bonds (X)	B	Interest	K	T					
58. -Chattanooga Hosp. bonds (X)	A	Interest	K	T					
59. -TN Housing Dev. Agcy. bonds (X)	A	Interest			Redeemed	07/01/13	K		
60. -Blount Co. Public Auth. bonds (X)	B	Interest	K	T					
61. -AmGen, Inc. (X)	A	Dividend	J	T					
62. -Bristol-Myers Squibb Co. (X)	A	Dividend			Sold	03/15/13	J		
63. -Express Scripts Holding Co. (X)		None	J	T					
64. -Gen. Electric Co. (X)	A	Dividend	J	T					
65. -Johnson & Johnson (X)	A	Dividend	J	T	Buy (add'l)	03/05/13	J		
66. -Merck & Co., Inc. (X)	A	Dividend	J	T					
67. -Pepsico, Inc. (X)	A	Dividend	J	T					
68. -Travelers Companies, Inc. (X)	A	Dividend	J	T					

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69. -Wal-Mart Stores, Inc. (X)	A	Dividend	K	T					
70. -Amer. Balanced Fund (X)	A	Dividend	K	T					
71. -Amer. Mut. Fund (X)	D	Dividend	M	T					
72. -Cap Income Bldr. Fund (X)	B	Dividend	K	T					
73. -Cap World Growth & Income Fund (X)	B	Dividend	L	T					
74. -Eaton Vance Tax Managed Div. Income Fund (X)	A	Dividend	J	T					
75. -Franklin, TN munic. bond fund (X)	B	Dividend	L	T					
76. -Fundamental Investors Fund (X)	B	Dividend	L	T					
77. -Growth Fund of Amer. (X)	C	Dividend	K	T					
78. -Income Fund of Amer. (X)	B	Dividend	K	T					
79. -Mut. Global Discovery Fund (X)	D	Dividend	M	T					
80. -New Perspective Fund (X)	B	Dividend	L	T					
81. -Nuveen Intermed. Duration Munic. Bond Fund (X)	A	Dividend	K	T					
82. -Templeton Global Bond Fund (X)	A	Dividend	K	T					
83. -Lincoln Financial Group Annuity (X)		None	M	T					
84. Hirtle, Callaghan Investment Funds (X)									See note in Part VIII.
85. -DWS Gov't. Cash Fund (X)	A	Dividend	J	T					See note in Part VIII.

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86. -HCCT Real Estate (X)	A	Dividend	K	T					See note in Part VIII.

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

Part VII, Lines 42-83. These assets were inherited [REDACTED] in early 2013 upon death [REDACTED].

Part VII, Lines 84-86. These assets were not reported earlier because their value was below the reporting threshold.

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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