

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) TRAXLER, Jr., William B.	2. Court or Organization U.S. Court of Appeals, Fourth Circuit	3. Date of Report 04/27/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit 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 300 E. Washington Street, Suite 222 Greenville, SC 29601		
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.	Trustee	Furman University
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. 05/00/92	State of S.C. Circuit Judge Retirement benefit (see III.A.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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2016	State of S.C. Circuit Judge Retirement benefit	\$72,805.98
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. 2016	State of S.C. Retirement benefit
2. 2016	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.				

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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.		

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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. Greenville County, S.C.		None	M	W					
2. (2) Leon County, Fla.		None	M	W					
3. (3) Leon County, Fla.		None	K	W					
4. Sonoco stock (common)	A	Dividend	J	T					
5. Palmetto Bank - cash accounts (Y)									
6. American Washington Mutual Investors Fund IRA	A	Dividend	K	T					
7. Motorola Solutions stock (common)	A	Dividend	J	T					
8. McDonalds stock (common)	A	Dividend	J	T					
9. Kellogg's stock (common)	A	Dividend	J	T					
10. RPM stock (common)	A	Dividend	J	T					
11. Sun Trust stock (common)	A	Dividend	J	T					
12. Trust #1 (H) - Income Beneficiary									
13. --Wells Fargo National Bank - cash account	A	Interest	J	T					
14. --Greenville County, SC	D	Rent	M	W					
15. TD Bank - cash account	A	Interest	J	T					
16. Vanguard Group Growth & Income Portfolio	A	Dividend	J	T					
17. American Growth Fund of America IRA	A	Dividend	K	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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18. American New Perspective Fund IRA	A	Dividend	K	T					
19. First Citizens Bank - cash accounts	A	Interest	K	T					
20. Ameritrade IRA (H)									
21. --MIPS Technologies stock (common)	A	Dividend	J	T					
22. --Honeywell stock (common)	A	Dividend	J	T					
23. --Applied Materials stock (common)	A	Dividend	J	T					
24. --Texas Instrument stock (common)	A	Dividend	J	T					
25. BB&T stock (common)	A	Dividend	J	T					
26. Home Depot stock (common)	A	Dividend	J	T					
27. Pfizer stock (common)	A	Dividend	J	T					
28. Athene -- whole life insurance policies	A	Interest	J	T					
29. Protective Life -- whole life insurance policy	A	Interest	J	T					
30. Jefferson National Life -- whole life insurance policy	A	Interest	J	T					
31. Conagra stock (common)	A	Dividend	J	T					
32. Piedmont Natural Gas stock (common)	A	Dividend			Sold	10/04/16	J	C	
33. Regions Financial Corp. stock (common)	A	Dividend	J	T					
34. Jefferson County, Florida	C	Rent	N	W					

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35. South State Bank - cash account	A	Interest			Closed	05/16/16	M		
36. Independence Bank - cash account	A	Interest			Closed	11/29/16	M		
37. Monsanto stock (common)	A	Dividend	J	T					
38. Pfizer stock (common)	A	Dividend	J	T					
39. Federated Investor Funds Govt. Cash Series	A	Interest	J	T					
40. Putnam Investments Tax Free Mutual Fund	A	Interest	J	T					
41. SCANA stock (common)	A	Dividend	K	T					
42. First Community Bank - cash account	A	Interest	M	T					
43. SPDR Trust Series 1 SPY Fund	A	Dividend	J	T	Buy (add'l)	01/11/16	J		
44. First South Bank - cash account	A	Interest	L	T					
45. Antigonish County, Nova Scotia, Canada		None	N	T					
46. RBC Bank - Canada - cash account		None	J	T					
47. TD Canada Trust - Canada - cash account		None	K	T					
48. Southern First Bank - cash account	B	Interest	M	T					
49. Bank of NC - cash account	B	Interest	N	T					
50. United Community Bank - cash accounts	A	Interest	M	T					
51. Anderson SC Wtr and Sewer Bond	A	Interest	K	T					

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52. Fort Mill SC Sch. Facs Corp. Install Bond	A	Interest			Redeemed	12/01/16	J		
53. SC Jobs Econ Dev. Dev. Rev. Bon Secours Hlth Sys. Bond	A	Interest	J	T					
54. SC Jobs EDA Hosp Rev RFDG Georgetown Hosp Bond	A	Interest	J	T					
55. Grand South Bank - cash accounts	B	Interest	M	T					
56. Reynolds American stock (common)	A	Dividend	J	T					
57. TD Canada Trust - Canada - cash account	A	Interest	M	T					
58. Lamb Weston Holdings, Inc.	A	Dividend	J	T	Spinoff (from line 31)	11/10/16	J		

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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 - Reporting of cash equivalent accounts - I have omitted from this year's report the precise type of account(s) held at each bank per the Instructions.

In Part VII, #5 - Palmetto Bank merged into United Community Bank on 2/20/2016. I already had an account at United Community Bank. All these accounts are now reported at Part VII, #50.

In Part VII, #6, #17, and #18 --The company or fund family that sponsors these funds is American Funds.

In Part VII, #16 -- This is a mutual fund. The fund family is The Vanguard Group.

In Part VII, #34 -- Income is from rent and agricultural program payments.

In Part VII, #39 -- This line-item is a money market mutual fund at Sandlapper Securities into which my dividends are placed that are received directly by my broker. The fund family is Federated Investor Funds.

In Part VII, #40 -- The company or fund family is Putnam Investments.

In Part VII, #43 -- This is an exchange traded fund. The fund family is SPDR Trust Series 1.

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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/ 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
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One Columbus Circle, N.E.
Washington, D.C. 20544