

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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) BORDEN, GRAY M.	2. Court or Organization United States District Court for Middle District of Alabama	3. Date of Report 12/21/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (full-time)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☒ Initial ☐ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2014 to 11/12/2015
7. Chambers or Office Address One Church Street Montgomery, Alabama 36104		
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	Family Irrevocable Trust #1
2. Founding Member	Gumption Fund
3. Board Member	Family Guidance Center of Alabama
4. Junior Executive Board	Montgomery Museum of Fine Arts
5. Board Member	Alabama Appleseed Center for Law & Justice
6. Member of Friends of Playhouse (fundraising committee)	Cloverdale Playhouse
7. Owner	Fleta, LLC
8.	
9.	
10.	

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.	
2.	

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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.		
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. Bi-weekly	Salary from Balch & Bingham, LLP in 2014
2. Monthly	Partnership draw from Balch & Bingham, LLP in 2015
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.	Servis1st Bank	Unsecured Line of Credit	K
2.		Tuition Agreement	J
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.									
2. Brokerage Account #1 (H)									
3. DISH Common		None	J	T					
4. SPLV Common	A	Dividend	J	T					
5. GRMN Common		None	J	T					
6. XLY Common		None	J	T					
7. SPHD Common	A	Dividend	J	T					
8. TSLA Common		None	J	T					
9. AWK Common	A	Dividend	J	T					
10. MDXG Common		None	J	T					
11. KO Common	A	Dividend	J	T					
12. SO Common	A	Dividend	J	T					
13. CX Common		None	J	T					
14. TIF Common	A	Dividend	J	T					
15. PYPL Common		None	J	T					
16. NXPI Common		None	J	T					
17. GE Common	A	Dividend	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 \$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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18. DIS Common		None	J	T					
19. Brokerage Account #2 (H)			J	T					
20. AFNIX		None	J	T					
21. NCVLX		None	J	T					
22. HHDFX		None	J	T					
23. VNSYX		None	J	T					
24. CCCNX		None	J	T					
25. MLAIX		None	J	T					
26. CIVIX		None	J	T					
27. JVLIX		None	J	T					
28. WITIX		None	J	T					
29. PLDPX		None	J	T					
30. GJRTX		None	J	T					
31. IRA #1 (H)									
32. MYL Common		None	J	T					
33. IWF Common	A	Dividend	J	T					
34. AMP Common	A	Dividend	J	T					

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35. TMO Common	A	Dividend	J	T					
36. HLT Common	A	Dividend	J	T					
37. ROK Common	A	Dividend	J	T					
38. EFA Common	A	Dividend	J	T					
39. IEMG	A	Dividend	J	T					
40. BUFOX		None	J	T					
41. YUM Common	A	Dividend	J	T					
42. SBUX Common	A	Dividend	J	T					
43. UTX Common	A	Dividend	J	T					
44. VFC Common	A	Dividend	J	T					
45. COL Common	A	Dividend	J	T					
46. TJX Common	A	Dividend	J	T					
47. SLB Common	A	Dividend	J	T					
48. ICE Common	A	Dividend	J	T					
49. ITW Common	A	Dividend	J	T					
50. ITC Common	A	Dividend	J	T					
51. MDT Common	A	Dividend	J	T					

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52. MCK Common	A	Dividend	J	T					
53. QCOM Common		None	J	T					
54. MHK Common		None	J	T					
55. ORLY Common		None	J	T					
56. HD Common	A	Dividend	J	T					
57. GOOGL Common		None	J	T					
58. HAL Common	A	Dividend	J	T					
59. EMR Common	A	Dividend	J	T					
60. BEN Common	A	Dividend	J	T					
61. ECL Common	A	Dividend	J	T					
62. ESRX Common		None	J	T					
63. EBAY Common		None	J	T					
64. CMCSA Common	A	Dividend	J	T					
65. AXP Common	A	Dividend	J	T					
66. AGN Common	A	Dividend	J	T					
67. IRA #2 (H)									
68. PIMCO		None	J	T					

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69.	AAGPX		None	K	T				
70.	NINDX		None	J	T				
71.	FNCTX		None	J	T				
72.	MLRRX		None	K	T				
73.	ARTQX		None	J	T				
74.	RPMGX		None	J	T				
75.	AVFIX		None	J	T				
76.	HIINX		None	J	T				
77.	AEPGX		None	K	T				
78.	FSTEX		None	J	T				
79.	SHSAX		None	J	T				
80.	TRRHX		None	J	T				
81.	OAKBX		None	J	T				
82.	TRRIX		None	J	T				
83.	TRRFX		None	J	T				
84.	TRRAX		None	J	T				
85.	TRRGX		None	J	T				

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86. TRRBX		None	J	T					
87. TRRHX		None	J	T					
88. TRRCX		None	J	T					
89. TRRJX		None	J	T					
90. TRRDX		None	J	T					
91. TRRKX		None	J	T					
92. TRRMX		None	J	T					
93. TRRNX		None	J	T					
94. MBFAX		None	K	T					
95. MVCKX		None	J	T					
96. Servis1st Bank Accounts	A	Interest	K	T					
97.									
98.									
99.									
100.									
101.									
102.									

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103.									
104.									
105.									
106.									
107.									
108.									

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

Family Irrevocable Turst #1, as disclosed in Part I, is omitted from Part VII because it has minimal assets held in trust and no reportable individual assets subject to disclosure.

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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/ **GRAY M. BORDEN**

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