

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 09/01/2016
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 01/01/2015 to 12/31/2015
7. Chambers or Office Address ONE CHURCH STREET MONTGOMERY, AL 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

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.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 12

Name of Person Reporting

BORDEN, GRAY M.

Date of Report

09/01/2016

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.)*

DATE

SOURCE AND TYPE

INCOME
(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.)*

DATE

SOURCE AND TYPE

1. MONTHLY

PARTNERSHIP DRAW FROM BALCH & BINGHAM, LLP

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 12

Name of Person Reporting

BORDEN, GRAY M.

Date of Report

09/01/2016

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.	SERVISIST BANK	UNSECURED LINE OF CREDIT	K
2.		TUITION AGREEMENT	J
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

BORDEN, GRAY M.

Date of Report

09/01/2016

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. BROKERAGE ACCOUNT #1 (H)									
2. DISH Common		None			Sold	12/01/15	J	A	
3. SPLV Common	A	Dividend	J	T					
4. GRMN Common	A	Dividend			Sold	03/26/15	J	A	
5. XLY Common		None			Sold	03/18/15	J	A	
6. SPHD Common	A	Dividend	J	T					
7. TSLA Common		None	J	T	Sold (part)	08/06/15	J	A	
8. AWK Common	A	Dividend	J	T					
9. MDXG Common		None			Sold	06/02/15	J	A	
10. KO Common	A	Dividend	J	T					
11. SO Common	A	Dividend	J	T					
12. CX Common		None	J	T	Sold (part)	12/30/15	J	A	
13. TIF Common	A	Dividend	J	T					
14. PYPL Common		None	J	T					
15. NXPI Common		None	J	T					
16. GE Common	A	Dividend	J	T					
17. DIS Common		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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 12

Name of Person Reporting

BORDEN, GRAY M.

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18. Charles Schwab Deposit Accounts	A	Interest	J	T					
19. Charles Schwab Cash		None	J	T					
20. BROKERAGE ACCOUNT #2 (H)									
21. VNSYX	A	Dividend	J	T					
22. WITIX	A	Dividend	J	T					
23. SPY	A	Dividend	J	T	Buy	02/18/15	J		
24. AFNIX	A	Dividend	J	T					
25. TRBCX	A	Distribution	J	T	Buy	11/24/15	J		
26. HHDFX	A	Dividend			Sold	11/24/15	J	A	
27. NCAVX (X,Y)		None			Sold	02/02/15	J	A	
28. UBS BANK USA DEP ACCT		None	J	T					
29. IRA #1 (H)									
30. MYL Common		None	J	T					
31. IWF Common	A	Dividend	J	T					
32. AMP Common	A	Dividend	J	T					
33. TMO Common	A	Dividend	J	T					
34. HLT Common	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	
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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 12

Name of Person Reporting

BORDEN, GRAY M.

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09/01/2016

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35. ROK Common	A	Dividend	J	T					
36. EFA Common	A	Dividend	J	T					
37. IEMG	A	Dividend	J	T					
38. BUFOX		None	J	T					
39. YUM Common	A	Dividend	J	T					
40. SBUX Common	A	Dividend	J	T					
41. UTX Common	A	Dividend	J	T					
42. VFC Common	A	Dividend	J	T					
43. COL Common	A	Dividend	J	T					
44. TJX Common	A	Dividend	J	T					
45. SLB Common	A	Dividend	J	T					
46. ICE Common	A	Dividend	J	T					
47. ITW Common	A	Dividend	J	T					
48. ITC Common	A	Dividend			Sold	06/18/15	J	A	
49. MDT Common	A	Dividend	J	T					
50. MCK Common	A	Dividend	J	T					
51. QCOM Common	A	Dividend			Sold	08/10/15	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 7 of 12

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52. MHK Common		None			Sold	04/23/15	J	A	
53. ORLY Common		None	J	T					
54. HD Common	A	Dividend	J	T					
55. GOOGL Common		None	J	T					
56. HAL Common		None			Sold	01/29/15	J	A	
57. EMR Common		None			Sold	01/29/15	J	A	
58. ECL Common	A	Dividend	J	T					
59. ESRX Common		None			Sold	03/05/15	J	A	
60. EBAY Common		None			Sold	07/17/15	J	A	
61. CMCSA Common	A	Dividend	J	T					
62. AXP Common	A	Dividend			Sold	02/13/15	J	A	
63. AGN Common		None	J	T					
64. AAPL Common (X)	A	Dividend	J	T					
65. BA Common (X)	A	Dividend	J	T					
66. CC (X)	A	Dividend	J	T					
67. KO Common (X)	A	Dividend	J	T					
68. CTSH Common (X,Y)		None	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 12

Name of Person Reporting

BORDEN, GRAY M.

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69. CL Common (X)	A	Dividend	J	T					
70. CVS Common (X)	A	Dividend	J	T					
71. DHR Common (X)	A	Dividend	J	T					
72. DD Common (X)	A	Dividend	J	T					
73. PRXL Common (X)		None	J	T	Buy	08/20/15	J		
74. ICLR Common (X,Y)		None			Sold	08/20/15	J	A	
75. UBS Bank USA Dep Account		None	J	T					
76. 401(k) #1 (H)									
77. PIMCO	A	Dividend			Sold	01/05/15	K	A	
78. AAGPX	C	Dividend	K	T					
79. NINDX	A	Dividend	L	T					
80. FCNTX	B	Dividend	L	T					
81. MLRRX	D	Dividend	L	T					
82. ARTQX		None			Sold	07/24/15	J	A	
83. RPMGX	A	Dividend	J	T					
84. AVFIX	A	Dividend	J	T					
85. HIINX	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 9 of 12

Name of Person Reporting

BORDEN, GRAY M.

Date of Report

09/01/2016

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86. AEPGX	A	Dividend	K	T					
87. FSTEX	A	Dividend	J	T	Sold (part)	01/26/15	J	A	
88. SHSAX	B	Dividend	K	T					
89. TRRHX	A	Dividend			Sold	12/29/15	J	A	
90. OAKBX	A	Dividend			Sold	12/29/15	J	A	
91. TRRIX	A	Dividend			Sold	12/29/15	J	A	
92. TRRFX	A	Dividend			Sold	12/29/15	J	A	
93. TRRAX	A	Dividend			Sold	12/29/15	J	A	
94. TRRGX	A	Dividend			Sold	12/29/15	J	A	
95. TRRBX	A	Dividend			Sold	12/29/15	J	A	
96. TRRHX	A	Dividend			Sold	12/29/15	J	A	
97. TRRCX	A	Dividend			Sold	12/29/15	J	A	
98. TRRJX	A	Dividend			Sold	12/29/15	J	A	
99. TRRDY	A	Dividend			Sold	12/29/15	J	A	
100. TRRKX	A	Dividend			Sold	12/29/15	J	A	
101. TRRMX	A	Dividend			Sold	12/29/15	J	A	
102. TRRNX	A	Dividend			Sold	12/29/15	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 10 of 12

Name of Person Reporting

BORDEN, GRAY M.

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103. MBFAX	A	Dividend			Sold	12/29/15	J	A	
104. MVCKX	A	Dividend	J	T					
105. Servis1st Bank Accounts	A	Interest	K	T					
106. KO Common (X,Y)	A	Dividend	J	T					
107.									

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
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FINANCIAL DISCLOSURE REPORT

Page 11 of 12

Name of Person Reporting

BORDEN, GRAY M.

Date of Report

09/01/2016

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

1. Family Irrevocable Trust #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.
2. As noted in the Committee's letter of August 4, 2016, eight assets were listed in my initial amended report that do not appear in the current report. All of these assets were sold in 2014 or 2015 but these dispositions were inadvertently omitted from the initial amended report or 2015 report. Pursuant to advice from Committee Counsel's office, I am providing the following information on these transactions below:

Asset Disposition Date Value Code Gain Code

NCVLX Sold 02/02/15 J A

CCCNX Sold 06/20/14 J A

MLAIX Sold 06/18/14 J A

CIVIX Sold 06/18/14 J A

JVLIX Sold 06/18/14 J A

PLDPX Sold 06/11/14 J A

GJRTX Sold 06/11/14 J A

BEN Common Sold 08/19/14 J A

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

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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