

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) MILLER, GRAY H.	2. Court or Organization U.S. DIST. COURT, SO. DIST. TX	3. Date of Report 06/15/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. DISTRICT JUDGE - ACTIVE	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 BOB CASEY U. S. COURTHOUSE 515 RUSK AVE HOUSTON, TX 77002		
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.	Member of the Advisory Board	USS Cavalla Historical Foundation
2.	Member of the Board	Federal Bar Association - Southern District of Texas
3.	Member of the Executive Committee	Houston Marine Insurance Seminars, Inc.
4.	Member of the Advisory Board	National Alliance on Mental Illness (NAMI) of Greater Houston
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.		
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

MILLER, GRAY H.

Date of Report

06/15/2016

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.)*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. _____

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. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

MILLER, GRAY H.

Date of Report

06/15/2016

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.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

MILLER, GRAY H.

Date of Report

06/15/2016

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. Everbank Bank Accounts	A	Interest	L	T					
2. Amegy Bank Account		None	J	T	Open	10/14/15	J		
3. Brokerage Account #1 (H)									
4. - SFG Parent Inc		None	K	T					
5. - Specialty Foods Group Income T/U		None	J	T					
6. Brokerage Account #2 (H)									
7. - Raymond James Bank Deposit Program - Regions Bank (formerly...	A	Interest	L	T					See Note in Part VIII
8. - Amer Mutual FD Inc CL F2		None			Sold	03/12/15	K	C	
9. - Hotchkis & Wiley FDS Large Cap Value FD CL 1		None			Sold	03/12/15	K	A	
10. - American Funds New World Fund C1 F2		None			Sold (part)	03/12/15	J		
11.					Sold	04/01/15	K		
12. - Rydex S&P 500 Pure Growth Fund Class H		None			Sold	03/12/15	K	B	
13. - Templeton FDS Inc Foreign FD Advisor CL		None			Sold	03/12/15	J		
14. - Templeton Global Smaller Companies FD Advisors CL		None			Sold	03/12/15	J		
15. - Harbor Mid Cap Value Fund Institutional Class		None			Buy	03/13/15	K		
16.					Sold (part)	04/15/15	J	A	
17.					Sold	06/01/15	J	A	

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

MILLER, GRAY H.

Date of Report

06/15/2016

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 I (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. - Hodges Small Cap Fund Retail Class	A	Dividend	J	T	Buy	03/13/15	K		
19.					Sold (part)	06/01/15	J	A	
20. - Oakmark International Fund Class I	A	Dividend	J	T	Buy	03/13/15	J		
21. - Pear Tree Polaris Foreign Value SM Cap Ordinary Shrs	A	Dividend	J	T	Buy	03/13/15	J		
22. - T.Rowe Price Blue Chip Growth Fund	A	Dividend	K	T	Buy	03/13/15	K		
23. - American International Growth & Income Fund Class F-2	A	Dividend	J	T	Buy	03/17/15	K		
24.					Sold (part)	08/18/15	J		
25. - Oppenheimer Global Fund Class Y	A	Dividend	J	T	Buy	03/17/15	J		
26. - American Funds Capital Income Builder Fund Class F2	B	Dividend	M	T	Buy	11/13/15	L		
27.					Buy (add'l)	11/17/15	K		
28.					Buy (add'l)	12/08/15	K		
29. IRA #1 (H)									
30. - Raymond James Bank Deposit Program - Regions Bank (formerly...	A	Interest	K	T					See Note in Part VIII
31. - American Mutual FD Inc CL F2	B	Dividend			Sold (part)	01/26/15	J	B	
32.					Sold	05/07/15	N	F	
33. - New World Fund Class F2 - American Funds N/L	B	Dividend	M	T	Sold (part)	05/07/15	M		
34. - Rydex S&P 500 Pure Growth Fund Class H		None			Sold	05/07/15	M	D	

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 6 of 10

Name of Person Reporting

MILLER, GRAY H.

Date of Report

06/15/2016

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)

35. - Oakmark International Fund CL I	C	Dividend	L	T	Sold (part)	05/07/15	L		
36. - Hotchkis & Wiley Fds Large Cap Value FD CL I		None			Sold	05/07/15	M	D	
37. - Hodges Small Cap Fund Retail Class N/L	A	Dividend	L	T	Sold (part)	05/07/15	M	C	
38. - Templeton Foreign Fund Advisor Class N/L		None			Sold	05/07/15	M		
39. - Templeton Global Smaller Companies FD Advisors CL N/L		None			Sold	05/07/15	M		
40. - Harbor Mid Cap Value FD Investor CL N/L	C	Dividend	L	T	Buy	05/08/15	L		
41. - T.Rowe Price Blue Chip Growth FD N/L	C	Dividend	M	T	Buy	05/08/15	L		
42. - Pear Tree Polaris Foreign Value SM Cap ordinary Shrs N/L	B	Dividend	L	T	Buy	05/08/15	L		
43. - Wasatch International Opportunities FD Inv CL N/L	C	Dividend	L	T	Buy	05/08/15	L		
44. - American International Growth & Income FD CL F-2	C	Dividend	M	T	Buy	05/12/15	M		
45. - First Trust NYSE Arca Biotechnology Index FD	A	Dividend	L	T	Buy	05/12/15	L		
46. - First Trust Dow Jones Internet		None	M	T	Buy	05/12/15	L		
47. - First Trust ETF II Consumer Discretionary Alphadex	A	Dividend	L	T	Buy	05/12/15	L		
48. - First Trust ETF II Consumer Staples Alphadex	A	Dividend	L	T	Buy	05/12/15	L		
49. - First Trust Health Care Alphadex FD ETF		None	L	T	Buy	05/12/15	L		
50. - First Trust ETF Alphadex FD II Germany Alphadex	A	Dividend	L	T	Buy	05/12/15	L		
51. - First TR ISE Chindia Index FD	A	Dividend	L	T	Buy	05/12/15	L		

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

MILLER, GRAY H.

Date of Report

06/15/2016

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)
52. - First Trust ETF Alphadex FD II Switzerland Alphadex	A	Dividend	L	T	Buy	05/12/15	L		
53. - Powershares Dynamic Technology Sector Portfolio		None	L	T	Buy	05/12/15	L		
54. - First Trust ETF Alphadex FD II United Kingdom Alphadex FD	B	Dividend	L	T	Buy	05/12/15	L		
55. - Powershares ETF Dynamic Indls Sector Portfolio	A	Dividend	L	T	Buy	05/12/15	L		
56. - First Trust ETF Alphadex FD II Hong Kong Alphadex	A	Dividend	K	T	Buy	05/12/15	L		
57. - Powershares DWA Healthcare Momentum Portfolio		None	L	T	Buy	05/12/15	L		
58. - Powershares DWA Consumer Cyclical Momentum Portfolio	A	Dividend	L	T	Buy	05/12/15	L		
59. IRA #2 (H)									
60. - Raymond James Bank Deposit Program - Regions Bank (formerly...	A	Interest	J	T					See Note in Part VIII
61. - Amer Mutual FD Inc CL F2		None			Sold	02/24/15	K	C	
62. - New World Fund Class F2 - American Funds N/L	A	Dividend	J	T	Sold (part)	02/24/15	J		
63. - Oakmark International Fund Class I	A	Dividend	J	T	Sold (part)	02/24/15	J		
64. - Hotchkis and Wiley Large Cap Value Fund Class I		None			Sold	02/24/15	J	A	
65. - Hodges Small Cap Fund Retail Class N/L	A	Dividend	J	T	Buy (add'l)	02/25/15	J		
66. - Rydex S&P Pure Growth Fund Class H N/ L	A	Dividend	J	T	Buy (add'l)	02/25/15	J		
67. - Templeton Foreign Fund Advisor Class N/ L		None			Sold	02/24/15	J		
68. - Templeton Global Smaller Companies FD Advisor Class N/L		None			Sold	02/24/15	J		

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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

MILLER, GRAY H.

Date of Report

06/15/2016

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)
69. - The Oakmark FD Class I N/L	A	Dividend	J	T	Buy	02/25/15	J		
70. - Wasatch International Opportunities FD Inv Class N/L	A	Dividend	J	T	Buy	02/25/15	J		
71. - Pear Tree Polaris Foreign Value SM Cap Ordinary Shrs N/L	A	Dividend	J	T	Buy	02/25/15	J		
72. - American International Growth & Income FD Class F-2 N/L	A	Dividend	J	T	Buy	02/27/15	K		
73.					Sold (part)	04/01/15	J		

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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

MILLER, GRAY H.

Date of Report

06/15/2016

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

Part VII, page 4 line 7 - Raymond James Bank Deposit Program - Regions Bank was formerly named Raymond James Bank Deposit Program - Goldman Sachs Bank USA. The Raymond James Bank Deposit Program was switched from Goldman Sachs Bank USA to Regions Bank in August 2015 so the description was renamed Raymond James Bank Deposit Program - Regions Bank.

Part VII, page 5 line 30 - Raymond James Bank Deposit Program - Regions Bank was formerly named Raymond James Bank Deposit Program - Goldman Sachs Bank USA. The Raymond James Bank Deposit Program was switched from Goldman Sachs Bank USA to Regions Bank in August 2015 so the description was renamed Raymond James Bank Deposit Program - Regions Bank.

Part VII, page 7 line 60 - Raymond James Bank Deposit Program - Regions Bank was formerly named Raymond James Bank Deposit Program - Goldman Sachs Bank USA. The Raymond James Bank Deposit Program was switched from Goldman Sachs Bank USA to Regions Bank in August 2015 so the description was renamed Raymond James Bank Deposit Program - Regions Bank.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

MILLER, GRAY H.

Date of Report

06/15/2016

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 H. MILLER**

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