

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 05/15/2018
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 01/01/2017 to 12/31/2017
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.	OWNER	FLETA, LLC
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.		
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. 2017 _____

WAGES FROM SOUTHERN COMPANY

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.	SERVISIST BANK	UNSECURED LINE OF CREDIT	L
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. BROKERAGE ACCOUNT #1 (H)									
2. SO Common	A	Dividend	J	T					
3. NXPI Common		None	J	T					
4. GE Common	A	Dividend	J	T					
5. Charles Schwab Deposit Accounts	A	Interest	J	T					
6. HD Common	A	Dividend	J	T					
7. BROKERAGE ACCOUNT #2 (H)									
8. VNSYX	A	Dividend	J	T					
9. WITIX	A	Dividend	K	T	Buy (add'l)	01/05/17	J		
10.					Buy (add'l)	11/02/17	J		
11. SPY	A	Dividend	J	T	Buy (add'l)	01/05/17	J		
12.					Buy (add'l)	06/28/17	J		
13. AFNIX	A	Dividend	J	T					
14. TRBCX	A	Dividend	J	T	Buy (add'l)	06/28/17	J		
15. UBS BANK USA DEP ACCT	A	Interest	J	T					
16. IRA #1 (H)									
17. UBS Bank USA Dep Account		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 H = \$5,001 - \$15,000	D = \$15,001 - \$50,000 E = \$50,001 - \$100,000	F = \$100,001 - \$500,000 G = \$500,001 - \$1,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,001 - \$500,000	K = \$15,001 - \$50,000 O = \$50,001 - \$100,000	L = \$50,001 - \$100,000 P1 = \$100,001 - \$250,000 P4 = More than \$500,000	M = \$100,001 - \$250,000 P2 = \$250,001 - \$500,000	
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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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. Guggenheim S&P 500 Equal Weight ETF	A	Dividend	J	T					
19. Ishares Core S&P Small-Cap ETF	A	Dividend	J	T	Buy	09/28/17	J		
20. Vanguard S&P 500 ETF	A	Dividend	K	T					
21. AAM/BAHL & Gaynor Income Growth Fund	A	Dividend	K	T					
22. Natixis Vaughan Nelson Select Fund	A	Dividend	K	T	Buy	06/28/17	K		
23. Hamlin High Dividend Equity Fund	A	Dividend			Sold (part)	02/08/17	J	A	
24.					Sold (part)	06/28/17	K	B	
25.					Sold	09/28/17	J	A	
26. Oppenheimer International Growth Fund	A	Dividend	J	T					
27. Undiscovered MG BH VL SL	A	Dividend	J	T					
28. 401(k) #1 (H)									
29. AAGPX	A	Dividend	J	T					
30. NINDX	A	Dividend	J	T					
31. MBCGX	A	Dividend	J	T	Buy	03/30/17	J		
32. FCNTX	A	Dividend	J	T					
33. MLRRX	A	Dividend			Sold	03/30/17	J	A	
34. RPMGX	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	

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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				
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35. AVFIX	A	Dividend	J	T					
36. HIINX	A	Dividend	J	T					
37. AEPGX	A	Dividend	J	T					
38. SHSAX	A	Dividend	J	T					
39. FSGRX	A	Dividend	J	T					
40. VGENX	A	Dividend	J	T					
41. MVCKX	A	Dividend	J	T					
42. Servis1st Bank Accounts	A	Interest	J	T					
43. KO Common	A	Dividend	J	T					
44. Wells Fargo Bank Accounts	A	Interest	J	T					
45. IRA #2 (H)									
46. UBS BANK USA DEP ACCT		None	J	T					
47. RSP	A	Dividend	K	T					
48. Ishares Core S&P Small-Cap ETF	A	Dividend	K	T	Buy	09/28/17	J		
49. VOO	A	Dividend	K	T					
50. HHDFX	A	Dividend			Sold (part)	06/28/17	K	B	
51.					Sold	09/28/17	J	B	

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52. Natixis Vaughan Nelson Select Fund	A	Dividend	K	T	Buy	06/28/17	K		
53. OIGYX	A	Dividend	J	T					
54. UBVSX	A	Dividend	J	T					
55. IRA #3 (H)									
56. UBS BANK USA DEP ACCT		None	J	T					
57. GOOG Common		None	J	T					
58. AMZN Common		None	J	T	Buy	09/26/17	J		
59. AAPL Common	A	Dividend	J	T					
60. CVX Common	A	Dividend	J	T					
61. GM Common	A	Dividend	J	T					
62. HCA Common		None	J	T					
63. INTC Common	A	Dividend	J	T					
64. IVZ Common	A	Dividend	J	T					
65. JPM Common	A	Dividend	J	T					
66. MAA Common	A	Dividend	J	T					
67. NKE Common	A	Dividend	J	T					
68. POT Common	A	Dividend			Sold	06/28/17	J	A	

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69. TGT Common	A	Dividend			Sold	06/22/17	J	A	
70. RSP	A	Dividend	K	T					
71. VOO	B	Dividend	L	T					
72. Vanguard FTSE All World Ex-US ETF	A	Dividend	K	T	Buy	06/28/17	K		
73. HHDFX	B	Dividend	K	T	Sold (part)	06/28/17	K	C	
74. OIGYX	A	Dividend	K	T					
75. UBVSX	A	Dividend	K	T	Buy (add'l)	01/05/17	J		
76. BX	A	Dividend	J	T					
77. 401(k) #2 (H)									
78. Vanguard Institutional 500 Index	A	Dividend	K	T					
79. BlackRock EAFE Equity Index Fund	A	Dividend	K	T					
80. BlackRock Russell 2000 Index Fund	A	Dividend	K	T					
81. Northern Trust Aggregate Bond Index Fund	A	Dividend	J	T					
82. Def. Comp. - Southern Company Stock Equivalent	A	Dividend	J	T	Buy	01/06/17	J		
83. 529 Fund #1 - Utah Educational Savings Plan (H)									
84. Vanguard Total Stock Market Index	A	Dividend	J	T					
85. Vanguard Developed Markets Index	A	Dividend	J	T					

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86. Vanguard Emerging Mkt Stock Index	A	Dividend	J	T					
87. 529 Fund #2 - Utah Educational Savings Plan (H)									
88. Vanguard Total Stock Market Index	A	Dividend	J	T					
89. Vanguard Developed Markets Index	A	Dividend	J	T					
90. Vanguard Emerging Mkt Stock Index	A	Dividend	J	T					
91. Vanguard Total Bond Market Index	A	Dividend	J	T					
92. Vanguard Short-Term Invest-Grade	A	Dividend	J	T					
93. Vanguard Short-Term Bond Index	A	Dividend			Sold	07/14/17	J	A	
94. Vanguard Total International Bond Index	A	Dividend	J	T	Buy	07/14/17	J		
95. 529 Fund #3 - Utah Educational Savings Plan (H)									
96. Vanguard Institutional Index	A	Dividend	J	T					
97. Notch 8 Investments, LLC (H)									
98. High Five MGM, LLC		None	J	W	Buy	10/31/17	J		

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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.

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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