

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) BORDEN, GRAY M.	2. Court or Organization UNITED STATES DISTRICT COURT FOR MIDDLE DISTRICT OF ALABAMA	3. Date of Report 08/16/2017
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 01/01/2016 to 12/31/2016
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.)*

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. 2016	WAGES FROM SOUTHERN COMPANY
2. 2016	PARTNERSHIP DRAWS FROM BALCH & BINGHAM, LLP
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.				

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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. SPLV Common	A	Dividend			Sold	04/13/16	J	A	
3. SPHD Common	A	Dividend			Sold	04/13/16	J	A	
4. TSLA Common		None			Sold	04/12/16	J	A	
5. AWK Common	A	Dividend			Sold	03/31/16	J	A	
6. KO Common	A	Dividend			Sold	04/14/16	J	A	
7. SO Common	A	Dividend	J	T					
8. CX Common		None			Sold	01/01/16	J	A	
9. TIF Common	A	Dividend			Sold	04/13/16	J	A	
10. PYPL Common		None			Sold	11/17/16	J	A	
11. NXPI Common		None	J	T					
12. GE Common	A	Dividend	J	T					
13. DIS Common		None			Sold	04/14/16	J	A	
14. Charles Schwab Deposit Accounts	A	Interest	J	T					
15. Charles Schwab Cash		None			Closed	12/31/16	J	A	
16. DAL Common	A	Dividend			Buy	05/04/16	J		
17.					Sold	11/17/16	J	A	

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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18. HD Common	A	Dividend	J	T	Buy	06/09/16	J		
19. BROKERAGE ACCOUNT #2 (H)									
20. VNSYX	A	Dividend	J	T					
21. WITIX	A	Dividend	J	T					
22. SPY	A	Dividend	J	T					
23. AFNIX	A	Dividend	J	T					
24. TRBCX	A	Distribution	J	T					
25. UBS BANK USA DEP ACCT		None	J	T					
26. IRA #1 (H)									
27. MYL Common		None			Sold	06/02/16	J	A	
28. IWF Common	A	Dividend			Sold	06/02/16	J	A	
29. AMP Common	A	Dividend			Sold	06/02/16	J	A	
30. TMO Common	A	Dividend			Sold	06/02/16	J	A	
31. HLT Common	A	Dividend			Sold	06/02/16	J	A	
32. ROK Common	A	Dividend			Sold	06/02/16	J	A	
33. EFA Common	A	Dividend			Sold	06/02/16	J	A	
34. IEMG	A	Dividend			Sold	06/02/16	J	A	

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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35. BUFOX	A	Dividend			Sold	06/02/16	J	A	
36. YUM Common	A	Dividend			Sold	06/02/16	J	A	
37. SBUX Common	A	Dividend			Sold	06/02/16	J	A	
38. UTX Common	A	Dividend			Sold	06/02/16	J	A	
39. VFC Common	A	Dividend			Sold	06/02/16	J	A	
40. COL Common	A	Dividend			Sold	06/02/16	J	A	
41. TJX Common	A	Dividend			Sold	06/02/16	J	A	
42. SLB Common	A	Dividend			Sold	06/02/16	J	A	
43. ICE Common	A	Dividend			Sold	06/02/16	J	A	
44. ITW Common	A	Dividend			Sold	06/02/16	J	A	
45. MDT Common	A	Dividend			Sold	06/02/16	J	A	
46. MCK Common	A	Dividend			Sold	06/02/16	J	A	
47. ORLY Common		None			Sold	06/02/16	J	B	
48. HD Common	A	Dividend			Sold	06/02/16	J	B	
49. GOOGL Common		None			Sold	06/02/16	J	A	
50. ECL Common	A	Dividend			Sold	06/02/16	J	A	
51. CMCSA Common	A	Dividend			Sold	06/02/16	J	A	

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52. AGN Common		None			Sold	06/02/16	J	A	
53. AAPL Common (X)	A	Dividend			Sold	06/02/16	J	A	
54. BA Common (X)	A	Dividend			Sold	06/02/16	J	A	
55. CC (X)	A	Dividend			Sold	06/02/16	J	A	
56. KO Common (X)	A	Dividend			Sold	06/02/16	J	A	
57. CTSH Common (X,Y)		None			Sold	06/02/16	J	A	
58. CL Common (X)	A	Dividend			Sold	06/02/16	J	A	
59. CVS Common (X)	A	Dividend			Sold	06/02/16	J	A	
60. DHR Common (X)	A	Dividend			Sold	06/02/16	J	A	
61. DD Common (X)	A	Dividend			Sold	06/02/16	J	A	
62. PRXL Common (X)		None			Sold	06/02/16	J	A	
63. UBS Bank USA Dep Account		None	J	T					
64. Guggenheim S&P 500 Equal Weight ETF	A	Dividend	J	T	Buy	10/18/16	J		
65. Vanguard S&P 500 ETF	A	Dividend	K	T	Buy	06/02/16	K		
66. AAM/BAHL & Gaynor Income Growth Fund	A	Dividend	K	T	Buy	10/18/16	J		
67. Hamlin High Dividend Equity Fund	A	Dividend	K	T	Buy	06/02/16	K		
68.					Buy (add'l)	06/19/16	J		

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69. Oppenheimer International Growth Fund	A	Dividend	J	T	Buy	06/02/16	J		
70. Undiscovered MG BH VL SL	A	Dividend	J	T	Buy	06/02/16	J		
71. 401(k) #1 (H)									
72. AAGPX	C	Dividend	J	T	Sold (part)	06/30/16	K	B	
73. NINDX	A	Dividend	J	T	Sold (part)	06/30/16	L	B	
74. FCNTX	B	Dividend	J	T	Sold (part)	06/30/16	L	B	
75. MLRRX	D	Dividend	J	T	Sold (part)	06/30/16	L	A	
76. RPMGX	A	Dividend	J	T	Sold (part)	06/30/16	J	A	
77. AVFIX	A	Dividend	J	T	Sold (part)	06/30/16	J	A	
78. HIINX	A	Dividend	J	T	Sold (part)	06/30/16	J	A	
79. AEPGX	A	Dividend	J	T	Sold (part)	06/30/16	K	A	
80. FSTEX	A	Dividend			Sold	06/30/16	J	A	
81. SHSAX	B	Dividend	J	T	Sold (part)	06/30/16	K	B	
82. FSGRX	A	Dividend	J	T	Buy	06/30/16	J		
83.					Sold (part)	06/30/16	J	A	
84. VGENX	A	Dividend	J	T	Buy	06/30/16	J		
85.					Sold (part)	06/30/16	J	A	

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86. MVCKX	A	Dividend	J	T	Sold (part)	06/30/16	J	A	
87. Servis1st Bank Accounts	A	Interest	J	T					
88. KO Common	A	Dividend	J	T					
89. Wells Fargo Bank Accounts (X)	A	Interest	J	T					
90. IRA #2 (H)									
91. UBS BANK USA DEP ACCT		None	J	T	Open	05/11/16	J		
92. RSP	A	Dividend	K	T	Buy	08/16/16	K		
93. VOO	A	Dividend	K	T	Buy	05/11/16	K		
94.					Buy (add'l)	06/02/16	J		
95. HHDFX	A	Dividend	K	T	Buy	05/11/16	K		
96.					Buy (add'l)	06/02/16	J		
97. OIGYX	A	Dividend	J	T	Buy	05/11/16	J		
98. UBVSX	A	Dividend	J	T	Buy	05/11/16	J		
99. IRA #3 (H)									
100. UBS BANK USA DEP ACCT		None	J	T	Open	05/11/16	J		
101. GOOG Common		None	J	T	Buy	06/02/16	J		
102. AAPL Common	A	Dividend	J	T	Buy	05/11/16	J		

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103. CVX Common	A	Dividend	J	T	Buy	06/02/16	J		
104. GM Common	A	Dividend	J	T	Buy	11/14/16	J		
105. HCA Common		None	J	T	Buy	07/28/16	J		
106. INTC Common	A	Dividend	J	T	Buy	05/11/16	J		
107. IVZ Common	A	Dividend	J	T	Buy	08/15/16	J		
108. JPM Common	A	Dividend	J	T	Buy	05/11/16	J		
109. MAA Common	A	Dividend	J	T	Buy	08/15/16	J		
110. NKE Common	A	Dividend	J	T	Buy	05/11/16	J		
111. POT Common	A	Dividend	J	T	Buy	07/28/16	J		
112. TGT Common	A	Dividend	J	T	Buy	08/17/16	J		
113. RSP	A	Dividend	K	T	Buy	08/15/16	K		
114. VOO	B	Dividend	L	T	Buy	05/11/16	L		
115. HHDFX	B	Dividend	L	T	Buy	05/11/16	K		
116.					Buy (add'l)	06/02/16	K		
117. OIGYX	A	Dividend	K	T	Buy	05/11/16	K		
118.					Buy (add'l)	08/15/16	J		
119. UBVSX	A	Dividend	K	T	Buy	05/11/16	K		

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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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)
120. BX	A	Dividend	J	T	Buy	05/11/16	J		
121. 401(k) #2 (H)									
122. Vanguard Institutional 500 Index	A	Dividend	J	T	Buy	04/27/16	J		
123. BlackRock EAFE Equity Index Fund	A	Dividend	J	T	Buy	04/27/16	J		
124. BlackRock Russell 2000 Index Fund	A	Dividend	J	T	Buy	04/27/16	J		
125. Northern Trust Aggregate Bond Index Fund	A	Dividend	J	T	Buy	04/27/16	J		
126. 529 Fund #1 - Utah Educational Savings Plan (H)									
127. Vanguard Total Stock Market Index (X)	A	Dividend	J	T					
128. Vanguard Developed Markets Index (X)	A	Dividend	J	T					
129. Vanguard Emerging Mkt Stock Index (X)	A	Dividend	J	T					
130. 529 Fund #2 - Utah Educational Savings Plan (H)									
131. Vanguard Total Stock Market Index (X)	A	Dividend	J	T					
132. Vanguard Developed Markets Index (X)	A	Dividend	J	T					
133. Vanguard Emerging Mkt Stock Index (X)	A	Dividend	J	T					
134. Vanguard Total Bond Market Index (X)	A	Dividend	J	T					
135. Vanguard Short-Term Invest-Grade (X)	A	Dividend	J	T					
136. Vanguard Short-Term Bond Index (X)	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 \$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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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)
137. 529 Fund #3 - Utah Educational Savings Plan (H)									
138. Vanguard Institutional Index (X)	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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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. This is an amended report that is being filed to reflect changes suggested by a letter received from the Committee on Financial Disclosure dated August 10, 2017. The changes are as follows:
 - a. Part VII, line 89 - Wells Fargo Bank Accounts - an (X) was added to the description
 - b. Part VII, lines 126 - 138 - individual assets of the three 529 plans are now listed

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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