

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 05/15/2019
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 01/01/2018 to 12/31/2018
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.		

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

Name of Person Reporting

BORDEN, GRAY M.

Date of Report

05/15/2019

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)
18. BIIEX	A	Dividend	J	T	Buy	09/13/18	J		
19. IRA #1 (H)									
20. UBS Bank USA Dep Account		None	J	T					
21. Guggenheim S&P 500 Equal Weight ETF	A	Dividend			Sold	02/26/18	J	B	
22. Ishares Core S&P Small-Cap ETF	A	Dividend	J	T					
23. Vanguard S&P 500 ETF	A	Dividend	K	T					
24. AAM/BAHL & Gaynor Income Growth Fund	A	Dividend	K	T					
25. Natixis Vaughan Nelson Select Fund	A	Dividend	K	T	Buy (add'l)	02/26/18	J		
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			Sold	06/15/18	J	A	
30. NINDX	A	Dividend			Sold	03/31/18	J	A	
31. MBCGX	A	Dividend			Sold	06/15/18	J	A	
32. FCNTX	A	Dividend			Sold	06/15/18	J	A	
33. RPMGX	A	Dividend			Sold	06/15/18	J	A	
34. AVFIX	A	Dividend			Sold	06/15/18	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	
	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 2 of 11

Name of Person Reporting

BORDEN, GRAY M.

Date of Report

05/15/2019

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. 2018	WAGES FROM UNIVERSITY OF ALABAMA	\$1,500.00
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. 2018	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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

BORDEN, GRAY M.

Date of Report

05/15/2019

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 7 of 11

Name of Person Reporting

BORDEN, GRAY M.

Date of Report

05/15/2019

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. IRA #3 (H)									
53. UBS BANK USA DEP ACCT		None	J	T					
54. GOOG Common		None	J	T					
55. AMZN Common		None	J	T					
56. AAPL Common	A	Dividend	J	T					
57. CVX Common	A	Dividend	J	T					
58. GM Common	A	Dividend			Sold	11/27/18	J	A	
59. HCA Common		None	J	T					
60. INTC Common	A	Dividend	J	T					
61. IVZ Common	A	Dividend			Sold	06/05/18	J	A	
62. JPM Common	A	Dividend	J	T					
63. MAA Common	A	Dividend	J	T					
64. NKE Common	A	Dividend	J	T					
65. Ishares Core S&P Small-Cap ETF	A	Dividend	J	T	Buy	06/15/18	K		
66. RSP	A	Dividend			Sold	02/26/18	K	D	
67. VOO	B	Dividend	L	T					
68. Vanguard FTSE All World Ex-US ETF	A	Dividend	K	T	Sold (part)	06/05/18	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 11

Name of Person Reporting

BORDEN, GRAY M.

Date of Report

05/15/2019

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. HHDFX	A	Dividend			Sold (part)	06/05/18	K	C	
70.					Sold	06/15/18	K	C	
71. Natixis Vaughan Nelson Select Fund	A	Dividend	K	T	Buy	02/26/18	K		
72.					Buy (add'l)	06/15/18	K		
73. OIGYX	A	Dividend	K	T					
74. Oppenheimer Global Opportunities Fund		None	K	T	Buy	06/05/18	K		
75. UBV SX	A	Dividend	K	T					
76. BX	A	Dividend	J	T					
77. 401(k) #2 (H)									
78. Vanguard Institutional 500 Index	A	Dividend	K	T	Buy (add'l)	01/25/18	J		
79. BlackRock EAFE Equity Index Fund	A	Dividend	K	T					
80. BlackRock Russell 2000 Index Fund	A	Dividend	K	T					
81. ACP2 - Southern Company Supplemental Benefit		None	J	T					
82. Northern Trust Aggregate Bond Index Fund	A	Dividend			Sold	01/25/18	J	A	
83. Def. Comp. - Southern Company Stock Equivalent	A	Dividend	J	T					
84. 529 Fund #1 - Utah Educational Savings Plan (H)									
85. Vanguard Total Stock Market Index	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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 11

Name of Person Reporting

BORDEN, GRAY M.

Date of Report

05/15/2019

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)

86. Vanguard Developed Markets Index	A	Dividend	J	T					
87. Vanguard Emerging Mkt Stock Index	A	Dividend	J	T					
88. 529 Fund #2 - Utah Educational Savings Plan (H)									
89. Vanguard Total Stock Market Index	A	Dividend	J	T					
90. Vanguard Developed Markets Index	A	Dividend	J	T					
91. Vanguard Emerging Mkt Stock Index	A	Dividend	J	T					
92. Vanguard Total Bond Market Index	A	Dividend	J	T					
93. Vanguard Short-Term Invest-Grade	A	Dividend	J	T					
94. Vanguard Total International Bond Index	A	Dividend	J	T					
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					
99. BROKERAGE ACCOUNT #3 (H)									
100. Southern Company (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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 11

Name of Person Reporting

BORDEN, GRAY M.

Date of Report

05/15/2019

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. HIINX	A	Dividend			Sold	03/31/18	J	A	
36. AEPGX	A	Dividend			Sold	06/15/18	J	A	
37. SHSAX	A	Dividend			Sold	06/15/18	J	A	
38. FSGRX	A	Dividend			Sold	06/15/18	J	A	
39. VGENX	A	Dividend			Sold	06/15/18	J	A	
40. MVCKX	A	Dividend			Sold	06/15/18	J	A	
41. Servis1st Bank Accounts	A	Interest	K	T					
42. KO Common	A	Dividend	J	T					
43. Wells Fargo Bank Accounts	A	Interest	J	T					
44. IRA #2 (H)									
45. UBS BANK USA DEP ACCT		None	J	T					
46. RSP	A	Dividend			Sold	02/26/18	K	C	
47. Ishares Core S&P Small-Cap ETF	A	Dividend	J	T					
48. VOO	A	Dividend	K	T					
49. Natixis Vaughan Nelson Select Fund	A	Dividend	K	T	Buy (add'l)	02/26/18	J		
50. OIGYX	A	Dividend	K	T	Buy (add'l)	02/26/18	J		
51. UBVSX	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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

BORDEN, GRAY M.

Date of Report

05/15/2019

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.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

BORDEN, GRAY M.

Date of Report

05/15/2019

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

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

BORDEN, GRAY M.

Date of Report

05/15/2019

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	A	Dividend	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. ADM Common (X)	A	Dividend	J	T					
8. WMT Common (X)		None	J	T					
9. BROKERAGE ACCOUNT #2 (H)									
10. VNSYX	A	Dividend	J	T					
11. WITIX	A	Dividend	K	T					
12. SPY	A	Dividend	K	T	Buy (add'l)	02/05/18	J		
13.					Buy (add'l)	04/03/18	J		
14. AFNIX	A	Dividend	J	T	Buy (add'l)	06/05/18	J		
15. TRBCX	A	Dividend	J	T					
16. UBS BANK USA DEP ACCT	A	Interest	K	T					
17. IJR	A	Dividend	J	T	Buy	09/13/18	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 \$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	