

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 07/22/2020
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 01/01/2019 to 12/31/2019
7. Chambers or Office Address 1729 5TH AVENUE NORTH BIRMINGHAM, AL 35203		
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	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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2019	WAGES FROM UNIVERSITY OF ALABAMA	\$1,500.03
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. 2019	WAGES FROM ALABAMA POWER 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.				

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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	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	A	Dividend	J	T					
8. WMT Common	A	Dividend			Sold	06/04/19	J	B	
9. HON Common (X)		None	J	T					
10. BROKERAGE ACCOUNT #2 (H)									
11. VNSYX	B	Dividend	J	T					
12. Wells Fargo Intermediate Tax/AMTFree Fund	A	Dividend	K	T					
13. SPY	A	Dividend	K	T					
14. AFNIX	A	Dividend	J	T					
15. TRBCX	A	Dividend	K	T					
16. UBS BANK USA DEP ACCT	A	Interest	J	T					
17. IJR		None			Sold	03/08/19	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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18. BIIEEX		None			Sold	03/08/19	J	A	
19. UBS Select Prime Investor Fund (X)	C	Dividend	M	T					
20. IRA #1 (H)									
21. UBS Bank USA Dep Account	A	Interest	J	T					
22. Invesco S&P 500 Equal Weight ETF	A	Dividend	J	T	Buy	06/11/19	J		
23. Ishares Core S&P Small-Cap ETF	A	Dividend			Sold	06/11/19	J	A	
24. Ishares Core S&P 500 ETF	A	Dividend	K	T	Buy	06/11/19	K		
25. John Hancock Multi-Factor Mid Cap	A	Dividend	J	T	Buy	06/11/19	J		
26. Vanguard Growth ETF	A	Dividend	K	T	Buy	06/11/19	K		
27. Vanguard S&P 500 ETF	A	Dividend			Sold	06/11/19	K	D	
28. AAM/BAHL & Gaynor Income Growth Fund	A	Dividend	K	T	Buy (add'l)	06/11/19	J		
29. Columbia Small Cap Growth Fund		None	K	T	Buy	06/11/19	K		
30. DFA International Core Equity Fund	A	Dividend	J	T	Buy	10/18/19	J		
31. Natixis Vaughan Nelson Select Fund	A	Dividend			Sold	06/11/19	K	A	
32. Oppenheimer International Growth Fund	A	Dividend			Sold (part)	04/24/19	J	A	
33.					Sold	06/11/19	J	B	
34. Undiscovered MG BH VL SL	A	Dividend			Sold	06/11/19	J	A	

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35. Brandes Institution Intl Equity Fund		None			Buy	06/11/19	J		
36.					Sold	10/18/19	J	A	
37. Servis1st Bank Accounts	A	Interest	L	T					
38. KO Common	A	Dividend	J	T					
39. Wells Fargo Bank Accounts	A	Interest	K	T					
40. IRA #2 (H)									
41. UBS BANK USA DEP ACCT	A	Interest	J	T					
42. Invesco S&P 500 Equal Weight ETF	A	Dividend	J	T	Buy	06/11/19	J		
43. Ishares Core S&P Small-Cap ETF	A	Dividend			Sold	06/11/19	K	A	
44. Ishares Core S&P 500 ETF	A	Dividend	K	T	Buy	06/11/19	J		
45. John Hancock Multi-Factor Mid Cap ETF	A	Dividend	J	T	Buy	06/11/19	J		
46. Vanguard Growth ETF	A	Dividend	K	T	Buy	06/11/19	K		
47. VOO	A	Dividend			Sold	06/11/19	K	D	
48. AAM/BAHL & Gaynor Income Growth Fund	A	Dividend	K	T	Buy	06/11/19	K		
49. Columbia Small Cap Growth Fund I		None	K	T	Buy	06/11/19	K		
50. DFA International Core Equity Fund Class I	A	Dividend	J	T	Buy	10/18/19	J		
51. Natixis Vaughan Nelson Select Fund	A	Dividend			Sold	06/11/19	K	A	

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52. OIGYX	A	Dividend			Sold	06/11/19	K	A	
53. UBVSX	A	Dividend			Sold	06/11/19	J	A	
54. Brandes Institution Intl Equity Fund		None			Buy	06/11/19	J		
55.					Sold	10/18/19	J	A	
56. IRA #3 (H)									
57. UBS BANK USA DEP ACCT		None	J	T					
58. Accenture PLC Ireland Cl A	A	Dividend	J	T	Buy	10/18/19	J		
59. Adobe Inc		None	J	T	Buy	10/18/19	J		
60. Alphabet Inc Cl A		None	J	T	Buy	10/18/19	J		
61. GOOG Common		None			Sold	10/18/19	J	C	
62. AMZN Common		None	J	T					
63. American Tower Corp REIT	A	Dividend	J	T	Buy	10/18/19	J		
64. Ameriprise Financial Inc	A	Dividend	J	T	Buy	10/18/19	J		
65. AAPL Common	A	Dividend			Sold	10/18/19	J	D	
66. Boeing Company	A	Dividend	J	T	Buy	10/18/19	J		
67. CVX Common	A	Dividend			Sold	10/18/19	J	A	
68. Comcast Corp	A	Dividend	J	T	Buy	10/18/19	J		

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69. Costco Wholesale Corp	A	Dividend	J	T	Buy	10/18/19	J		
70. Danaher Corp	A	Dividend	J	T	Buy	10/18/19	J		
71. Facebook Inc Cl A		None	J	T	Buy	10/18/19	J		
72. Fidelity Natl Information Svcs	A	Dividend	J	T	Buy	10/18/19	J		
73. HCA Common		None			Sold	10/18/19	J	C	
74. Home Depot Inc	A	Dividend	J	T	Buy	10/18/19	J		
75. INTC Common	A	Dividend			Sold	10/18/19	J	C	
76. Honeywell Intl Inc	A	Dividend	J	T	Buy	10/18/19	J		
77. Intercontinentalexchange Group	A	Dividend	J	T	Buy	10/18/19	J		
78. JPM Common	A	Dividend			Sold	10/18/19	J	D	
79. Lauder Estee Cos Cl A	A	Dividend	J	T	Buy	10/18/19	J		
80. Lowes Companies	A	Dividend	J	T	Buy	10/18/19	J		
81. Medtronic PLC	A	Dividend	J	T	Buy	10/18/19	J		
82. Microsoft Corp	A	Dividend	J	T	Buy	10/18/19	J		
83. MAA Common	A	Dividend			Sold	10/18/19	J	B	
84. Mondelez Intl Inc	A	Dividend	J	T	Buy	10/18/19	J		
85. NKE Common	A	Dividend			Sold	10/18/19	J	C	

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86. O Reilly Automotive		None	J	T	Buy	10/18/19	J		
87. Parker Hannifin Corp	A	Dividend	J	T	Buy	10/18/19	J		
88. Rockwell Automation Inc	A	Dividend	J	T	Buy	10/18/19	J		
89. Thermo Fisher Scientific Inc	A	Dividend	J	T	Buy	10/18/19	J		
90. TJX Cos Inc	A	Dividend	J	T	Buy	10/18/19	J		
91. Unitedhealth Group	A	Dividend	J	T	Buy	10/18/19	J		
92. Visa Inc	A	Dividend	J	T	Buy	10/18/19	J		
93. Walt Disney Co (Holding Co) Disney Com	A	Dividend	J	T	Buy	10/18/19	J		
94. Ishares Core S&P Small-Cap ETF	A	Dividend			Sold (part)	04/26/19	J	A	
95.					Sold	10/18/19	J	A	
96. VOO	B	Dividend	L	T	Buy (add'l)	10/18/19	J		
97. Vanguard FTSE All World Ex-US ETF	A	Dividend			Sold	10/18/19	K	A	
98. AAM/BAHL & Gaynor Income Growth Fund	B	Dividend	L	T	Buy	10/18/19	L		
99. Columbia Small Cap Growth Fund		None	L	T	Buy	10/18/19	L		
100. DFA International Core Equity Fund	B	Dividend	K	T	Buy	10/18/19	K		
101. Natixis Vaughan Nelson Select Fund	A	Dividend			Sold	10/18/19	L	A	
102. OIGYX	A	Dividend			Sold	10/18/19	K	C	

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103. Oppenheimer Global Opportunities Fund		None			Sold	10/18/19	K	A	
104. UBVSX	A	Dividend			Sold	10/18/19	K	B	
105. BX	A	Dividend			Sold	10/18/19	J	C	
106. Invesco S&P 500 Equal Weight ETF		None			Buy	04/23/19	J		
107.					Sold	10/18/19	J	A	
108. Lyft Inc Cl A		None			Buy	04/26/19	J		
109.					Sold	10/18/19	J	A	
110. 401(k) (H)									
111. Vanguard Institutional 500 Index	A	Dividend	L	T					
112. BlackRock EAFE Equity Index Fund	A	Dividend	K	T					
113. BlackRock Russell 2000 Index Fund	A	Dividend	K	T					
114. ACP2 - Southern Company Supplemental Benefit		None	J	T					
115. Def. Comp. - Southern Company Stock Equivalent	A	Dividend	J	T					
116. 529 Fund #1 - Utah Educational Savings Plan (H)									
117. Vanguard Total Stock Market Index	A	Dividend	J	T					
118. Vanguard Developed Markets Index	A	Dividend	J	T					
119. Vanguard Emerging Mkt Stock 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	

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
120. Vanguard Short-Term Investment Grade	A	Dividend	J	T	Buy	05/13/19	J		
121. Vanguard Total Bond Market Index	A	Dividend	J	T	Buy	05/13/19	J		
122. Vanguard Total International Bond Index	A	Dividend	J	T	Buy	05/13/19	J		
123. 529 Fund #2 - Utah Educational Savings Plan (H)									
124. Vanguard Total Stock Market Index	A	Dividend	J	T					
125. Vanguard Developed Markets Index	A	Dividend	J	T					
126. Vanguard Emerging Mkt Stock Index	A	Dividend	J	T					
127. Vanguard Total Bond Market Index	A	Dividend	J	T					
128. Vanguard Short-Term Invest-Grade	A	Dividend	J	T					
129. Vanguard Total International Bond Index	A	Dividend	J	T					
130. Pimco Interest Income Fund		None	J	T	Buy	03/13/19	J		
131. 529 Fund #3 - Utah Educational Savings Plan (H)									
132. Vanguard Institutional Index	A	Dividend	J	T					
133. Notch 8 Investments, LLC (H)									
134. High Five MGM, LLC		None			Closed	01/01/19	J		
135. BROKERAGE ACCOUNT #3 (H)									
136. Southern Company	B	Dividend	L	T	Buy (add'l)	02/11/19	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	

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
137.					Buy (add'l)	02/13/19	J		
138.					Buy (add'l)	02/27/19	J		
139.					Buy (add'l)	06/07/19	J		
140. UBS Bank USA Dep Acct (X)	A	Interest	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. [REDACTED] Irrevocable Trust #1, as disclosed in Part 1, 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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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