

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) MILLER, GRAY H.	2. Court or Organization U.S. DIST. COURT, SO. DIST. TX	3. Date of Report 05/07/2019
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	6. Reporting Period 01/01/2018 to 12/31/2018
	5b. ☐ Amended Report	
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 Advisory Board	National Alliance on Mental Illness (NAMI) of Greater Houston
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.

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.)

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.)

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) 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. Amegy Bank Account		None	K	T					
2. Brokerage Account #1 (H)									
3. Specialty Foods Group LLC CL 1		None			Sold	10/23/18	J		
4. Specialty Foods Group LLC CL 2		None			Sold	10/23/18	K		
5. Specialty Foods Group Income T/U		None	J	T					
6. Brokerage Account #2 (H)									
7. Fidelity Govt Cash Reserves (FDRXX) (X)	A	Dividend	M	T					
8. DFA One Yr Fixed Inc PRTF I (DFIHX)	A	Dividend			Buy	03/07/18	L		
9.					Sold (part)	03/09/18	J		
10.					Sold	11/01/18	L		
11. Raymond James Bank Deposit Program (Y)									
12. American Funds Inflation Linked Bond Fund Class F2 (BFIGX)	A	Dividend			Sold	03/05/18	J		
13. American Funds Capital Income Builder Fund Class F2 (CAIFX)		None			Sold	03/05/18	M		
14. Tax Exempt Bond Fund of America Class F2 (TEAFX)	A	Dividend			Sold	01/04/18	K		
15. Bond Fund of America Cl F2 (ABNFX)		None			Sold	01/04/18	J		
16. IRA #1 (H)									
17. Fidelity Govt Cash Reserves (FDRXX)	B	Dividend	M	T	Open	02/21/18	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	

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Name of Person Reporting

MILLER, GRAY H.

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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)
18. AQR Large Cap Multi Style Fd R6 (QCERX)	D	Dividend	L	T	Buy	03/06/18	L		
19.					Sold (part)	09/26/18	K	A	
20. Bridgeway Omni Small Cap Val (BOSVX)	E	Dividend	M	T	Buy	03/06/18	N		
21.					Sold (part)	09/26/18	L	D	
22. DFA Global Real Estate Sec Port (DFGEX)	C	Dividend	L	T	Buy	03/06/18	M		
23.					Sold (part)	09/26/18	K	B	
24. DFA Intl Core Equity (DFIEX)	B	Dividend	K	T	Buy	03/06/18	L		
25.					Sold (part)	09/26/18	J		
26. DFA US Core Equity II (DFQTX)	D	Dividend	M	T	Buy	03/06/18	N		
27.					Sold (part)	09/26/18	L	C	
28. DFA Emerging Mkts Core EQU Port (DFCEX)	B	Dividend	L	T	Buy	03/06/18	M		
29.					Sold (part)	09/26/18	J		
30. DFA Intl Small Cap Val (DISVX)	D	Dividend	L	T	Buy	03/06/18	M		
31.					Sold (part)	09/26/18	K		
32. DFA Intl Value Port III (DFVIX)	D	Dividend	L	T	Buy	03/06/18	M		
33.					Sold (part)	09/26/18	K		
34. Stoneridge Alt Lending Risk Prem I (LENDX)	C	Dividend	L	T	Buy	04/03/18	M		

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	
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	(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.					Sold (part)	12/12/18	K	A	
36. Stoneridge Reinsurance Risk Prem Interval (SRRIX)	B	Dividend	L	T	Buy	03/20/18	M		
37.					Sold (part)	11/17/18	J		
38. American Express Centrn CD (02587DN20)	C	Dividend	M	T	Buy	03/08/18	M		
39. Morgan Stanley Bk NA UT CD (61747MP21)	B	Dividend	M	T	Buy	03/15/18	M		
40. State Bk India New York NY CD (856285KEO)	B	Dividend	M	T	Buy	03/22/18	M		
41. State Bk India New York NY CD (856285KQ3)	B	Dividend	M	T	Buy	03/29/18	M		
42. Wells Fargo Bank Natl Assn CD (949763PA8)	B	Dividend	M	T	Buy	03/14/18	M		
43. Raymond James Bank Deposit Program (Y)									
44. Invesco Equally Weighted S & P 500 Fund Class Y (VADDX)	D	Dividend			Sold	03/06/18	N	E	
45. Allianzgi Global Water Fund Class P (AWTPX)	C	Dividend			Sold	03/06/18	L	C	
46. American Funds Developing World Growth and Income FD CL F2 (DWGHX)	B	Dividend			Sold	03/06/18	N	F	
47. American Funds Capital World Gr & Inc Fd Cl F2 (WGFIX)	D	Dividend			Sold	03/06/18	M	D	
48. American Funds Europacific Growth Fund Cl F2 (AEPFX)	D	Dividend			Sold	03/06/18	N	E	
49. American Funds Intl Growth & Inc Fd CL F2 (IGFFX)	C	Dividend			Sold	03/06/18	M	D	
50. MFS Mid Cap Value Fund Class I (MCVIX)	D	Dividend			Sold	03/06/18	M	E	
51. MFS Blended Research Core Eq Fd Cl I (MUSEX)	D	Dividend			Sold	03/06/18	M	E	

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52. First Trust Dow Jones Internet (FDN)		None			Sold	03/07/18	L	E	
53. First TR NASDAQ100 Tech Index SHS (QTEC)	A	Dividend			Sold	03/07/18	L	E	
54. First Trust ETF II Indls Prod Durable Alphas Fund Annual (FXR)	A	Dividend			Sold	03/07/18	L	D	
55. First Tr ETF VI NASDAQ BK ETF (FTXO)	A	Dividend			Sold	03/07/18	L	D	
56. IRA #2 (H)									
57. Fidelity Govt Cash Reserves (FDRXX) (X) (Y)									
58. DFA Diversified Fix Inc Port Instl (DFXIX)	B	Dividend	L	T	Buy	03/06/18	L		
59.					Sold (part)	11/01/18	J		
60. Invesco Equally Weighted S & P 500 Fund Class Y (VADDX)	A	Dividend			Sold	03/06/18	J	B	
61. Allianzgi Global Water Fund Class P (AWTPX)	A	Dividend			Sold	03/06/18	J	A	
62. American Funds Developing World Growth and Income FD CL F2 (DWGHX)	A	Dividend			Sold	03/06/18	J	B	
63. American Funds Capital World Growth & Inc Fd Cl F2 (WGIFX)	A	Dividend			Sold	03/06/18	J	A	
64. American Funds Europacific Growth Fund Cl 2 (AEPFX)	A	Dividend			Sold	03/06/18	J	A	
65. American Funds Intl Growth & Inc Fd Cl F2 (IGFFX)	A	Dividend			Sold	03/06/18	J	A	
66. MFS Mid Cap Value Fund Class I (MCVIX)	A	Dividend			Sold	03/06/18	J	A	
67. MFS Blended Research Core Eq Fd Cl I (MUSEX)	A	Dividend			Sold	03/06/18	J	A	
68. First Trust Dow Jones Internet (FDN)		None			Sold	03/07/18	J	B	

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	(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)
69. First TR NASDAQ100 Tech Index SHS (QTEC)	A	Dividend			Sold	03/07/18	J	A	
70. First Trust ETF II Indls Prod Durable Alphadex Fund Annual (FXR)	A	Dividend			Sold	03/07/18	J	A	
71. First Trust ETF VI NASDAQ BK ETF (FTXO)	A	Dividend			Sold	03/07/18	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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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 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