

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 04/27/2021
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 01/01/2020 to 12/31/2020
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. TRUSTEE	IRREVOCABLE TRUST #1
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 12

Name of Person Reporting

BORDEN, GRAY M.

Date of Report

04/27/2021

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. 2020	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. 2020	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.				

FINANCIAL DISCLOSURE REPORT
Page 3 of 12

Name of Person Reporting	Date of Report
BORDEN, GRAY M.	04/27/2021

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. RL INVESTMENT PROPERTY, LLC	CABIN RENTAL	K
2. REGIONS BANK	MORTGAGE FOR RENTAL PROPERTY	L
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

BORDEN, GRAY M.

Date of Report

04/27/2021

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. HON Common	A	Dividend	J	T					
9. ServisFirst Bancshs (X)		None	J	T					
10. BROKERAGE ACCOUNT #2 (H)									
11. VNSYX		None			Sold	03/12/20	J	A	
12. Wells Fargo Intermediate Tax/AMTFree Fund	A	Dividend	L	T					
13. SPY	A	Dividend	K	T					
14. AFNIX	A	Dividend			Sold	07/09/20	J	B	
15. TRBCX	A	Dividend	K	T					
16. UBS BANK USA DEP ACCT	A	Interest	L	T					
17. UBS Select Prime Investor Fund (Y)									

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 5 of 12

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18. Fastly, Inc.		None	K	T	Buy	07/13/20	J		
19.					Buy (add'l)	10/15/20	J		
20. Peloton Interactive, Inc.		None	M	T	Buy	03/11/20	K		
21. Roku Inc.		None	K	T	Buy	05/15/20	J		
22. Vanguard Growth ETF	A	Dividend	L	T	Buy	03/12/20	K		
23. AKRE Focus Fund Class Instl		None	K	T	Buy	07/09/20	K		
24. Vanguard Dividend Growth Fund	B	Dividend	L	T	Buy	03/12/20	K		
25. IRA #1 (H)									
26. UBS Bank USA Dep Account	A	Interest	J	T					
27. Invesco S&P 500 Equal Weight ETF	A	Dividend	K	T					
28. Ishares Core S&P 500 ETF	A	Dividend	K	T					
29. John Hancock Multi-Factor Mid Cap	A	Dividend	J	T					
30. Vanguard Growth ETF	A	Dividend	K	T					
31. AAM/BAHL & Gaynor Income Growth Fund	A	Dividend			Sold	02/27/20	K	C	
32. Columbia Small Cap Growth Fund		None	K	T					
33. DFA International Core Equity Fund	A	Dividend	J	T					
34. Vanguard Dividend Growth Fund	A	Dividend	K	T	Buy	02/28/20	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
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FINANCIAL DISCLOSURE REPORT

Page 6 of 12

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BORDEN, GRAY M.

Date of Report

04/27/2021

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35. Servis1st Bank Accounts	A	Interest	L	T					
36. KO Common	A	Dividend	J	T					
37. Wells Fargo Bank Accounts	A	Interest	K	T					
38. IRA #2 (H)									
39. UBS BANK USA DEP ACCT	A	Interest	J	T					
40. Invesco S&P 500 Equal Weight ETF	A	Dividend	J	T					
41. Ishares Core S&P 500 ETF	A	Dividend	K	T					
42. John Hancock Multi-Factor Mid Cap ETF	A	Dividend	J	T					
43. Vanguard Growth ETF	A	Dividend	K	T					
44. AAM/BAHL & Gaynor Income Growth Fund	A	Dividend			Sold	02/27/20	K	A	
45. Columbia Small Cap Growth Fund I		None	K	T					
46. DFA International Core Equity Fund Class I	A	Dividend	J	T					
47. Vanguard Dividend Growth Fund	A	Dividend	K	T	Buy	02/27/20	K		
48. IRA #3 (H)									
49. UBS BANK USA DEP ACCT		None	J	T					
50. Accenture PLC Ireland Cl A	A	Dividend			Sold	08/03/20	J	A	
51. Adobe Inc		None			Sold	08/03/20	J	C	

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FINANCIAL DISCLOSURE REPORT

Page 7 of 12

Name of Person Reporting

BORDEN, GRAY M.

Date of Report

04/27/2021

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52. Alphabet Inc Cl A		None			Sold	07/27/20	J	B	
53. AMZN Common		None			Sold	08/03/20	K	D	
54. American Tower Corp REIT	A	Dividend			Sold	08/03/20	J	A	
55. Ameriprise Financial Inc	A	Dividend			Sold	08/03/20	J	A	
56. Boeing Company	A	Dividend			Sold	08/03/20	J	A	
57. Comcast Corp	A	Dividend			Sold	08/03/20	J	A	
58. Costco Wholesale Corp	A	Dividend			Sold	08/03/20	J	A	
59. Danaher Corp	A	Dividend			Sold	08/03/20	J	B	
60. Facebook Inc Cl A		None			Sold	07/27/20	J	D	
61. Fidelity Natl Information Svcs	A	Dividend			Sold	08/03/20	J	A	
62. Home Depot Inc	A	Dividend			Sold	08/03/20	J	A	
63. Honeywell Intl Inc	A	Dividend			Sold	08/03/20	J	A	
64. Intercontinentalexchange Group	A	Dividend			Sold	08/03/20	J	A	
65. Lauder Estee Cos Cl A	A	Dividend			Sold	08/03/20	J	A	
66. Lowes Companies	A	Dividend			Sold	08/03/20	J	B	
67. Medtronic PLC	A	Dividend			Sold	08/03/20	J	A	
68. Microsoft Corp	A	Dividend			Sold	08/03/20	K	D	

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FINANCIAL DISCLOSURE REPORT

Page 8 of 12

Name of Person Reporting

BORDEN, GRAY M.

Date of Report

04/27/2021

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69. Mondelez Intl Inc	A	Dividend			Sold	08/03/20	J	A	
70. O Reilly Automotive		None			Sold	08/03/20	J	A	
71. Parker Hannifin Corp	A	Dividend			Sold	08/03/20	J	A	
72. Rockwell Automation Inc	A	Dividend			Sold	08/03/20	J	A	
73. Thermo Fisher Scientific Inc	A	Dividend			Sold	08/03/20	J	B	
74. TJX Cos Inc	A	Dividend			Sold	08/03/20	J	A	
75. Unitedhealth Group	A	Dividend			Sold	08/03/20	J	A	
76. Visa Inc	A	Dividend			Sold	08/03/20	J	A	
77. Walt Disney Co (Holding Co) Disney Com	A	Dividend			Sold	08/03/20	J	A	
78. VOO	B	Dividend	L	T	Sold (part)	08/03/20	K	D	
79. AAM/BAHL & Gaynor Income Growth Fund		None			Sold	02/27/20	L	A	
80. Columbia Small Cap Growth Fund		None	L	T	Sold (part)	08/03/20	K	D	
81. DFA International Core Equity Fund	B	Dividend	L	T	Sold (part)	07/27/20	J	A	
82.					Buy (add'l)	08/03/20	K		
83. Vanguard Growth ETF	A	Dividend	K	T	Buy	08/03/20	K		
84. AKRE Focus Fund Class Instl		None	M	T	Buy	08/03/20	M		
85. Vanguard Dividend Growth Fund	B	Dividend	L	T	Buy	02/28/20	L		

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86.					Buy (add'l)	08/03/20	J		
87. 401(k) (H)									
88. Vanguard Institutional 500 Index	A	Dividend	M	T					
89. BlackRock EAFE Equity Index Fund	A	Dividend	L	T					
90. BlackRock Russell 2000 Index Fund	A	Dividend	L	T					
91. ACP2 - Southern Company Supplemental Benefit		None	J	T					
92. Def. Comp. - Southern Company Stock Equivalent	A	Dividend	J	T					
93. 529 Fund #1 - Utah Educational Savings Plan (H)									
94. Vanguard Total Stock Market Index	A	Dividend	J	T					
95. Vanguard Developed Markets Index	A	Dividend	J	T					
96. Vanguard Emerging Mkt Stock Index	A	Dividend	J	T					
97. Vanguard Short-Term Investment Grade	A	Dividend	J	T					
98. Vanguard Total Bond Market Index	A	Dividend	J	T					
99. Vanguard Total International Bond Index	A	Dividend	J	T					
100. 529 Fund #2 - Utah Educational Savings Plan (H)									
101. Vanguard Total Stock Market Index	A	Dividend	J	T					
102. Vanguard Developed Markets Index	A	Dividend	J	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 10 of 12

Name of Person Reporting

BORDEN, GRAY M.

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103. Vanguard Emerging Mkt Stock Index	A	Dividend	J	T					
104. Vanguard Total Bond Market Index	A	Dividend	J	T					
105. Vanguard Short-Term Invest-Grade	A	Dividend	J	T					
106. Vanguard Total International Bond Index	A	Dividend	J	T					
107. Pimco Interest Income Fund		None	J	T					
108. 529 Fund #3 - Utah Educational Savings Plan (H)									
109. Vanguard Institutional Index	A	Dividend	K	T					
110. Notch 8 Investments, LLC (H)									
111. BROKERAGE ACCOUNT #3 (H)									
112. Southern Company	D	Dividend	M	T	Sold (part)	08/04/20	M	A	
113.					Buy (add'l)	02/11/20	J		
114.					Buy (add'l)	02/13/20	J		
115.					Buy (add'l)	02/27/20	J		
116.					Buy (add'l)	05/22/20	J		
117.					Buy (add'l)	09/08/20	M		
118. UBS Bank USA Dep Acct	A	Interest	J	T					
119. Rental Property, Montgomery County, AL (X)	D	Rent	M	V					

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(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	
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(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	
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FINANCIAL DISCLOSURE REPORT

Page 11 of 12

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BORDEN, GRAY M.

Date of Report

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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. This Trust was closed in 2020.
2. The Montgomery County, AL rental property listed on line 119 of Part VII is being valued at the amount per the county property tax appraisal.

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

BORDEN, GRAY M.

Date of Report

04/27/2021

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
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Washington, D.C. 20544