

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) Miller, Gray H.	2. Court or Organization United States District Court, Southern District of Texas	3. Date of Report 08/04/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	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 Advisory Board	National Alliance on Mental Illness (NAMI) of Greater Houston
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.		
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.	
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) 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. Individual Assets (H)									
2. Amegy Bank Account (cash)		None	K	T					
3. Account #1 (H)									
4. Fidelity Govt Cash Reserves (FDRXX)	A	Dividend	L	T					
5. AQR Large Cap Multi Style Fd R6 (QCERX)	D	Dividend	L	T	Buy (add'l)	03/11/20	J		
6.					Sold (part)	06/24/20	J		
7. Bridgeway Omni Small Cap Val (BOSVX)	B	Dividend	M	T	Buy (add'l)	03/11/20	K		
8.					Buy (add'l)	03/19/20	J		
9.					Buy (add'l)	03/28/20	J		
10.					Sold (part)	06/24/20	K		
11.					Sold (part)	12/30/20	K		
12. DFA World Ex US Target Value Portfolio Instl (DWUSX)	A	Dividend			Buy	03/26/20	J		
13.					Sold	12/30/20	J	D	
14. DFA Global Real Estate Sec Port (DFGEX)	B	Dividend	L	T	Buy (add'l)	06/24/20	K		
15. DFA Intl Core Equity (DFIEX)	A	Dividend	K	T	Buy (add'l)	03/19/20	J		
16.					Sold (part)	06/24/20	J		
17. DFA US Core Equity II (DFQTX)	C	Dividend	M	T	Buy (add'l)	03/11/20	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
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.					Buy (add'l)	03/26/20	J		
19.					Sold (part)	06/24/20	K	B	
20.					Sold (part)	12/30/20	J	B	
21. DFA Emerging Mrkts Core EQU Port (DFCEX)	B	Dividend	L	T	Buy (add'l)	03/19/20	J		
22.					Sold (part)	06/24/20	J		
23. DFA Intl Small Cap Val (DISVX)	B	Dividend	L	T	Buy (add'l)	03/11/20	J		
24.					Sold (part)	06/24/20	J		
25. DFA Intl Value Port III (DFVIX)	B	Dividend	L	T	Buy (add'l)	03/11/20	J		
26.					Buy (add'l)	03/26/20	J		
27.					Sold (part)	06/24/20	J		
28. Stoneridge Alt Lending Risk Prem I (LENDX)	C	Dividend	L	T	Sold (part)	03/18/20	J	A	
29. DFA Diversified Fixed Income Portolio Instl (DFXIX)	A	Dividend	L	T	Buy	06/24/20	L		
30. Stoneridge Reinsurance Risk Prem Interval (SRRIX)	B	Dividend	L	T	Sold (part)	06/03/20	J		
31. American Express Centrn CD (02587DN20)	C	Interest	M	T					
32. Capital One Natl Assn VA CD (14042RMU2)	B	Interest	M	T					
33. Morgan Stanley Bk NA UT CD (61747MP21)	C	Interest	M	T					
34. Sallie Mae BK Slt Lake City UT CD (7954503V5)	B	Interest	L	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	
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35. State Bk India New York NY CD (856285KEO)	A	Interest			Sold (part)	03/12/20	L		
36.					Redeemed	03/23/20	K		
37. State Bk India New York NY CD (856285KQ3)	C	Interest	M	T					
38. Account #2 (H)									
39. DFA Diversified Fix Inc Port Instl (DFXIX)	A	Dividend	L	T					
40. Account #3 (H)									
41. Specialty Foods Group Income T/U		None			Sold	01/29/20	J		

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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.

Parenthetical numbers in Part VII are CUSIP numbers.

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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
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