

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 07/31/2017
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 13

Name of Person Reporting

MILLER, GRAY H.

Date of Report

07/31/2017

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 13

Name of Person Reporting

MILLER, GRAY H.

Date of Report

07/31/2017

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 4 of 13

Name of Person Reporting

MILLER, GRAY H.

Date of Report

07/31/2017

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. Everbank Bank Accounts	A	Interest	K	T					
2. Amegy Bank Account		None	J	T					
3. Brokerage Account #1 (H)									
4. - SFG Parent Inc		None	K	T					
5. - Specialty Foods Group Income T/U		None	J	T					
6. Brokerage Account #2 (H)									
7. - Raymond James Bank Deposit Program - US Bank N.A. (formerly...	A	Interest	K	T					See Note in Part VIII
8. - Hodges Small Cap Fund Retail Class		None			Sold	08/26/16	J		
9. - Oakmark International Fund Class I		None			Sold	08/26/16	J		
10. - Pear Tree Polaris Foreign Value SM Cap Ordinary Shrs		None			Sold	08/26/16	J		
11. - T.Rowe Price Blue Chip Growth Fund		None			Sold	08/11/16	K	A	
12. - American International Growth & Income Fund Class F-2	A	Dividend			Sold	03/18/16	J		
13. - Oppenheimer Global Fund Class Y		None			Sold	08/11/16	J		
14. - American Funds Capital Income Builder Fund Class F2	C	Dividend	M	T					
15. - American Developing World Growth and Income Fund Class F2	A	Dividend	J	T	Buy	03/22/16	J		
16. - Tax Exempt Bond Fund of America Class F2	A	Dividend	K	T	Buy	03/23/16	K		
17. - American Funds Inflation Linked Bond Fund Class F2	A	Dividend	J	T	Buy	03/23/16	J		

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 5 of 13

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	(1) Amount Code I (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. IRA #1 (H)									
19. - Raymond James Bank Deposit Program - Raymond James Bank (formerly..	A	Interest	K	T					See Note in Part VIII
20. - Raymond James Bank Deposit Program - PNC Bank N.A.	A	Interest			Open	02/01/16	J		
21.					Closed	03/23/16	N		
22. - New World Fund Class F2 - American Funds N/L	B	Dividend	M	T	Buy (add'l)	08/26/16	M		
23.					Sold (part)	12/16/16	L		
24. - Oakmark International Fund CL I		None			Sold	04/08/16	L		
25. - Hodges Small Cap Fund Retail Class N/L		None			Sold	08/23/16	L		
26. - Harbor Mid Cap Value FD Investor CL N/L		None			Sold	08/23/16	L		
27. - T.Rowe Price Blue Chip Growth FD N/L		None			Sold	08/23/16	M	B	
28. - Pear Tree Polaris Foreign Value SM Cap ordinary Shrs N/L		None			Sold	02/16/16	L		
29. - Wasatch International Opportunities FD Inv CL N/L		None			Sold	08/23/16	M	D	
30. - American International Growth & Income FD CL F-2	A	Dividend			Sold	03/18/16	M		
31. - First Trust NYSE Arca Biotechnology Index FD		None			Sold	08/23/16	L		
32. - First Trust Dow Jones Internet		None	L	T	Sold (part)	08/23/16	L	D	
33.					Sold (part)	12/16/16	J	A	
34. - First Trust ETF II Consumer Discretionary Alphadex	A	Dividend			Sold (part)	08/23/16	K	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		
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FINANCIAL DISCLOSURE REPORT

Page 6 of 13

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35.					Sold	12/16/16	L	A	
36.	- First Trust ETF II Consumer Staples Alphadex	B	Dividend		Sold (part)	08/23/16	L	D	
37.					Sold	12/16/16	L	B	
38.	- First Trust Health Care Alphadex FD ETF		None		Sold	08/23/16	L		
39.	- First Trust ETF Alphadex FD II Germany Alphadex		None		Sold	01/19/16	K		
40.	- First TR ISE Chindia Index FD		None		Sold	01/19/16	K		
41.	- First Trust ETF Alphadex FD II Switzerland Alphadex		None		Sold (part)	01/19/16	K		
42.					Sold	01/27/16	K		
43.	- Powershares Dynamic Technology Sector Portfolio		None		Sold	02/16/16	K		
44.	- First Trust ETF Alphadex FD II United Kingdom Alphadex FD		None		Sold (part)	01/22/16	K		
45.					Sold	01/26/16	K		
46.	- Powershares ETF Dynamic Indls Sector Portfolio		None		Sold	01/19/16	K		
47.	- First Trust ETF Alphadex FD II Hong Kong Alphadex		None		Sold	03/01/16	K		
48.	- Powershares DWA Healthcare Momentum Portfolio		None		Sold	02/16/16	K		
49.	- Powershares DWA Consumer Cyclical Momentum Portfolio		None		Sold	02/16/16	K		
50.	- American Developing World Growth and Income FD CL F2	C	Dividend	M	T	Buy	03/22/16	M	
51.					Buy (add'l)	08/26/16	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 \$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 7 of 13

Name of Person Reporting

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52.					Sold (part)	12/16/16	L	A	
53. - Tax Exempt Bond Fund of America Class F2 - American Funds	A	Dividend			Buy	03/23/16	L		
54.					Sold	08/23/16	L	B	
55. - American Mortgage Fund Class F2 - American Funds	A	Dividend			Buy	03/23/16	L		
56.					Sold	08/23/16	L		
57. - Lord Abbett Floating Rate Fund Class F	B	Dividend			Buy	03/23/16	L		
58.					Sold	08/23/16	L	B	
59. - Lord Abbett Short Duration Income Fund Class F	B	Dividend			Buy	03/23/16	L		
60.					Sold	08/23/16	L	A	
61. - American Funds Inflation Linked Bond Fund Class F2		None			Buy	03/23/16	L		
62.					Sold	08/23/16	L	B	
63. - U.S. Government Securities Fund Class F2 - American Funds	A	Dividend			Buy	03/23/16	L		
64.					Sold	08/23/16	L	A	
65. - Bond Fund of America Class F2 - American Funds	A	Dividend			Buy	03/23/16	L		
66.					Sold	08/23/16	L	B	
67. - First Trust ETF II Energy Alphasdex Fund Annual	A	Dividend	L	T	Buy	08/26/16	L		
68.					Sold (part)	12/16/16	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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FINANCIAL DISCLOSURE REPORT

Page 8 of 13

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69. - First Trust ETF II Utilities Alphadex Fund Annual	A	Dividend			Buy	08/26/16	L		
70.					Sold	12/16/16	L	A	
71. - ETFS Prec Metal Basket Physical PM SHS		None			Buy	08/26/16	L		
72.					Sold	12/16/16	L		
73. - ETFS Silver Trust Silver Shares		None			Buy	08/26/16	L		
74.					Sold	12/16/16	L		
75. - American Mutual Fund Class F2 - American Funds	A	Dividend			Buy	08/26/16	M		
76.					Sold	12/16/16	M	B	
77. - Europacific Growth Fund Class F2 - American Funds		None			Buy	08/26/16	M		
78.					Sold	12/16/16	M		
79. - Allianzgi Global Water Fund Class P	A	Dividend	L	T	Buy	08/26/16	L		
80.					Buy (add'l)	12/21/16	J		
81. - MFS Mid Cap Value Fund Class I	C	Dividend	M	T	Buy	08/26/16	M		
82.					Buy (add'l)	12/21/16	L		
83. - Washington Mutual Investors Fund Class F2 - American Funds	A	Dividend			Buy	08/26/16	M		
84.					Sold	12/16/16	M	C	
85. - MFS Value Fund Class I	C	Dividend	M	T	Buy	08/26/16	M		

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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	
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FINANCIAL DISCLOSURE REPORT

Page 9 of 13

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86.					Buy (add'l)	12/21/16	L		
87. - Pimco Commodities Plus Strategy Fund Class P		None	M	T	Buy	12/19/16	M		
88. - First TR NASDAQ100 Tech Index SHS	A	Dividend	L	T	Buy	12/21/16	L		
89. - First Trust ETF II Indls Prod Durable Alphadex Fund Annual	A	Dividend	L	T	Buy	12/21/16	L		
90. - Invesco Equally Weighted S & P 500 Fund Class Y		None	O	T	Buy	12/21/16	O		
91. IRA #2 (H)									
92. - Raymond James Bank Deposit Program - Raymond James Bank (formerly, ..	A	Interest	J	T					See Note in Part VIII
93. - New World Fund Class F2 - American Funds N/L	A	Dividend	J	T	Sold (part)	08/24/16	J		
94.					Sold (part)	12/16/16	J		
95. - Oakmark International Fund Class I		None			Sold	01/21/16	J		
96. - Hodges Small Cap Fund Retail Class N/L		None			Sold	08/24/16	J		
97. - Rydex S&P Pure Growth Fund Class H N/ L		None			Sold	08/24/16	J	A	
98. - The Oakmark FD Class I N/L		None			Sold	02/16/16	J		
99. - Wasatch International Opportunities FD Inv Class N/L		None			Sold (part)	08/11/16	J	A	
100.					Sold	08/24/16	J	A	
101. - Pear Tree Polaris Foreign Value SM Cap Ordinary Shrs N/L		None			Sold	02/16/16	J		
102. - American International Growth & Income FD Class F-2 N/L	A	Dividend			Sold	03/18/16	J		

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FINANCIAL DISCLOSURE REPORT

Page 10 of 13

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103. - American Developing World Growth and Income FD CL F2	A	Dividend	J	T	Buy	03/22/16	J		
104.					Sold (part)	08/24/16	J	A	
105.					Sold (part)	12/16/16	J	A	
106. - American Funds Inflation Linked Bond Fund Class F2		None			Buy	03/23/16	J		
107.					Sold	08/24/16	K	A	
108. - First Trust Dow Jones Internet		None	J	T	Buy	08/29/16	J		
109. - First Trust ETF II Consumer Discretionary Alphadex	A	Dividend			Buy	08/29/16	J		
110.					Sold	12/16/16	J	A	
111. - First Trust ETF II Consumer Staples Alphadex	A	Dividend			Buy	08/29/16	J		
112.					Sold	12/16/16	J		
113. - First Trust ETF II Utilities Alphadex Fund Annual	A	Dividend			Buy	08/29/16	J		
114.					Sold	12/16/16	J	A	
115. - First Trust ETF II Energy Alphadex Fund Annual	A	Dividend	J	T	Buy	08/29/16	J		
116.					Sold (part)	12/16/16	J	A	
117. - ETFS Silver Trust Silver Shares		None			Buy	08/29/16	J		
118.					Sold	12/16/16	J		
119. - ETFS Prec Metal Basket Physical PM SHS		None			Buy	08/29/16	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	

FINANCIAL DISCLOSURE REPORT

Page 11 of 13

Name of Person Reporting

MILLER, GRAY H.

Date of Report

07/31/2017

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)
120.					Sold	12/16/16	J		
121. - Europacific Growth Fund Class F2 - American Funds		None			Buy	08/29/16	J		
122.					Sold	12/16/16	J		
123. - American Mutual Fund Class F2 - American Funds	A	Dividend			Buy	08/29/16	J		
124.					Sold	12/16/16	J	A	
125. - Allianzgi Global Water Fund Class P	A	Dividend	J	T	Buy	08/29/16	J		
126.					Buy (add'l)	12/21/16	J		
127. - MFS Mid Cap Value Fund Class I	A	Dividend	J	T	Buy	08/29/16	J		
128.					Buy (add'l)	12/21/16	J		
129. - MFS Value Fund Class I	A	Dividend	J	T	Buy	08/29/16	J		
130.					Buy (add'l)	12/21/16	J		
131. - Washington Mutual Investors Fund Class F2 - American Funds	A	Dividend			Buy	08/29/16	J		
132.					Sold	12/16/16	J	A	
133. - Pimco Commodities Plus Strategy Fund Class P		None	J	T	Buy	12/19/16	J		
134. - First TR NASDAQ100 Tech Index SHS	A	Dividend	J	T	Buy	12/21/16	J		
135. - First Trust ETF II Indls Prod Durable Alphadex Fund Annual	A	Dividend	J	T	Buy	12/21/16	J		
136. - Invesco Equally Weighted S & P 500 Fund Class Y		None	K	T	Buy	12/21/16	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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 13

Name of Person Reporting

MILLER, GRAY H.

Date of Report

07/31/2017

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, page 4 line 7 - Raymond James Bank Deposit Program - US Bank N.A. was formerly named Raymond James Bank Deposit Program - Regions Bank. The Raymond James Bank Deposit Program was switched from Regions Bank to US Bank N.A. in October 2016 so the description was renamed Raymond James Bank Deposit Program - US Bank N.A.

Part VII, page 5 line 19 - Raymond James Bank Deposit Program - Raymond James Bank was formerly named Raymond James Bank Deposit Program - Regions Bank. The Raymond James Bank Deposit Program was switched from Regions Bank to Raymond James Bank in August 2016 so the description was renamed Raymond James Bank Deposit Program - Raymond James Bank.

Part VII, page 9 line 92 - Raymond James Bank Deposit Program - Raymond James Bank was formerly named Raymond James Bank Deposit Program - Regions Bank. The Raymond James Bank Deposit Program was switched from Regions Bank to Raymond James Bank in August 2016 so the description was renamed Raymond James Bank Deposit Program - Raymond James Bank.

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

MILLER, GRAY H.

Date of Report

07/31/2017

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)

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