

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Otazo-Reyes, Alicia M.	2. Court or Organization U.S. District Court, Southern District of Florida	3. Date of Report 04/28/2016
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 01/01/2015 to 12/31/2015
7. Chambers or Office Address 301 N. Miami Avenue, 10th Floor Miami, Florida 33128		
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.		
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 11

Name of Person Reporting

Otazo-Reyes, Alicia M.

Date of Report

04/28/2016

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 11

Name of Person Reporting

Otazo-Reyes, Alicia M.

Date of Report

04/28/2016

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 11

Name of Person Reporting

Otazo-Reyes, Alicia M.

Date of Report

04/28/2016

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. Citibank Accounts	A	Interest	N	T					
2. Capital One 360 Account	A	Interest			Closed	07/10/15	M		
3. IRA #1 (H)									
4. Bank of America, NA, RASP (cash account) (X)	A	Interest	K	T					
5. AB Large Cap Growth Fund	B	Dividend	K	T	Buy	04/01/15	J		
6.					Buy (add'l)	04/22/15	J		
7.					Buy (add'l)	09/15/15	J		
8. Allianzgi NFJ Int'l Value MF	A	Dividend			Sold	04/01/15	J	A	
9. American Funds, American Fundamental MF	A	Dividend			Sold	04/01/15	K	C	
10. Blackrock Equity Dividend MF		None			Sold	04/01/15	K	C	
11. Blackrock High Yield Bd. Portfolio Fund	A	Dividend	J	T	Buy	04/02/15	J		
12. Blackrock Secured Credit Portfolio	A	Dividend	J	T	Buy	04/02/15	J		
13.					Buy (add'l)	04/22/15	J		
14. Columbia Large Cap Enhanced Core Fund	A	Dividend	K	T	Buy	04/01/15	J		
15.					Buy (add'l)	04/22/15	K		
16. Delaware Value Fund	A	Dividend	K	T	Buy	04/01/15	J		
17.					Buy (add'l)	04/22/15	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 H = \$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 5 of 11

Name of Person Reporting

Otazo-Reyes, Alicia M.

Date of Report

04/28/2016

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 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. - Dreyfus Appreciation FD MF	B	Dividend			Sold (part)	04/01/15	L	A	
19.					Sold	04/22/15	J	A	
20. Eaton Vance Floating Rate MF	A	Dividend	J	T	Sold (part)	04/22/15	J		
21.					Sold (part)	11/30/15	J		
22. Fidelity Advisors Mid Cap Value Fund	A	Dividend	J	T	Buy	04/02/15	J		
23.					Buy (add'l)	04/22/15	J		
24. First TR Dorsey WRT	A	Dividend	J	T	Buy	03/26/15	J		
25.					Buy (add'l)	04/22/15	J		
26. Glenmede Large Cap Growth Fund	A	Dividend	K	T	Buy	04/01/15	J		
27.					Buy (add'l)	04/02/15	J		
28.					Buy (add'l)	09/15/15	J		
29.					Buy (add'l)	12/03/15	J		
30. Goldman Sachs Emerging Markets Debt Fund	A	Dividend	J	T	Buy	04/02/15	J		
31. Guggenheim Macro Opportunities Fund	A	Dividend			Buy	04/02/15	J		
32.					Buy (add'l)	04/22/15	J		
33.					Sold	08/03/15	J		
34. Hennessy Focus Fund	A	Dividend	J	T	Buy	04/02/15	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 6 of 11

Name of Person Reporting

Otazo-Reyes, Alicia M.

Date of Report

04/28/2016

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)
35.					Buy (add'l)	04/22/15	J		
36.					Buy (add'l)	09/15/15	J		
37. Hotchkis and Wiley Small Cap Value Fund	A	Dividend	J	T	Buy	04/02/15	J		
38.					Buy (add'l)	04/22/15	J		
39. iShares 20+ year Treasury Bond ETF	A	Dividend	J	T	Buy	07/27/15	J		
40. iShares Core US S&P 500 ETF	A	Dividend	K	T	Buy	04/01/15	K		
41. iShares Core US Growth ETF	A	Dividend	K	T	Buy	04/01/15	K		
42. iShares NASDAQ Biotech ETF	A	Dividend	J	T	Buy	10/02/15	J		
43. iShares Core US Value ETF	A	Dividend	K	T	Buy	04/01/15	K		
44. Janus Intech US Managed Volatility Fund	B	Dividend	K	T					
45. JOHCM International Select Fund	A	Dividend	J	T	Buy	04/02/15	J		
46.					Buy (add'l)	04/22/15	J		
47.					Buy (add'l)	07/07/15	J		
48. JP Morgan Intrepid Mid Cap Fund	A	Dividend	J	T	Buy	04/02/15	K		
49.					Buy (add'l)	04/22/15	K		
50. Loomis Sayles Investment Grade MF	A	Dividend			Sold	03/31/15	J	A	
51. Loomis Sayles Strategic Income Fund	A	Dividend			Sold	04/22/15	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 \$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 11

Name of Person Reporting

Otazo-Reyes, Alicia M.

Date of Report

04/28/2016

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)
52. Mainstay Large Cap Growth	C	Dividend	K	T	Sold (part)	04/22/15	K	D	
53. Metropolitan West Total Return Bond Fund	B	Dividend	K	T	Sold (part)	04/22/15	J	A	
54. MFS International Value Fund	A	Dividend	J	T	Buy	04/02/15	J		
55.					Buy (add'l)	04/22/15	J		
56. MFS Value FD CL I MF	C	Dividend	K	T					
57. Openheimer International MF		None			Sold	04/01/15	L	A	
58. Pimco Global Bond Fund	A	Dividend	J	T	Buy	04/02/15	J		
59.					Buy (add'l)	04/22/15	J		
60. Pimco Income Fund	A	Dividend	K	T	Buy	04/02/15	J		
61.					Buy (add'l)	11/30/15	J		
62. Pioneer Strategic Income Fund	B	Dividend	K	T	Sold (part)	01/21/15	J		
63.					Sold (part)	04/22/15	J		
64.					Sold (part)	11/30/15	J		
65. Prudential Short Term Corporate Bond Fund	A	Dividend	J	T	Sold (part)	04/22/15	J		
66. Prudential Total Return Bond Fund	A	Dividend	J	T	Buy	04/02/15	J		
67.					Buy (add'l)	04/22/15	J		
68. RS Small Cap Equity Fund	B	Dividend	J	T	Buy	04/02/15	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = 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 8 of 11

Name of Person Reporting

Otazo-Reyes, Alicia M.

Date of Report

04/28/2016

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)
69.					Buy (add'l)	04/22/15	J		
70.					Buy (add'l)	09/15/15	J		
71. SPDR Index SHS FDS	A	Dividend	J	T	Buy	01/21/15	J		
72.					Buy (add'l)	04/22/15	J		
73. Sunamerica Focused Dividend Strategy Fund	B	Dividend	K	T	Buy	04/01/15	J		
74.					Buy (add'l)	04/22/15	J		
75.					Buy (add'l)	09/15/15	J		
76. Thornburg Ltd Term Income Fund	A	Dividend	J	T	Buy	04/02/15	J		
77.					Buy (add'l)	04/22/15	J		
78. Tweedy Browne Global Value Fund	A	Dividend	J	T	Buy	04/02/15	J		
79.					Buy (add'l)	04/22/15	J		
80. Virtus Emerging Markets Opportunities Fund	A	Dividend	J	T	Buy	04/02/15	J		
81.					Buy (add'l)	04/22/15	J		
82. Wells Fargo Advantage Large Cap Core Fund	A	Dividend	K	T	Buy	04/01/15	J		
83.					Buy (add'l)	04/22/15	J		
84.					Buy (add'l)	09/15/15	J		
85. Wells Fargo Advantage Small Cap MF	A	Dividend			Sold	04/01/15	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 \$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 9 of 11

Name of Person Reporting

Otazo-Reyes, Alicia M.

Date of Report

04/28/2016

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)
86. Western Asset Core Plus Bond Fund	A	Dividend	K	T	Buy	04/02/15	J		
87.					Buy (add'l)	04/22/15	J		
88.					Buy (add'l)	11/30/15	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 10 of 11

Name of Person Reporting

Otazo-Reyes, Alicia M.

Date of Report

04/28/2016

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

Part VII, lines 3, 9, 10, 20, 44, 50, 51, 52, 53, 62, 65, and 85: These entries correspond with Part VII, lines 3, 8, 12, 14, 9, 10, 11, 18, 21, 25, 26, and 27 of the 2014 report, respectively. Name changes only.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Otazo-Reyes, Alicia M.

Date of Report

04/28/2016

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/ Alicia M. Otazo-Reyes

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