

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) GARCIA, ORLANDO L.	2. Court or Organization U.S. DISTRICT COURT	3. Date of Report 4/18/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) ARTICLE III JUDGE	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 John H. Wood, Jr. US Courthouse. 655 E. Cesar Chavez Blvd. San Antonio, TX 78206		
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.		
2.		
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. 12/1/2002	State legislative and judicial pension accounts which have vested and are created under Texas state law
2. 12/1/2012	I am presently receiving my state legislative pension which began at age 50. I am presently receiving my state judicial pension which began at age 60.
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

GARCIA, ORLANDO L.

Date of Report

4/18/2016

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2015	Employees Retirement System of Texas (state legislative pension-paid in monthly installments)	\$27,331.00
2. 2015	Judicial Retirement System of Texas	\$18,333.36
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. 2015	San Antonio ISD - salary
2. 2015	Northern Trust Company - annuity
3. 2015	Teacher Retirement System of Texas - annuity
4. 2015	Coty US LLC - salary

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 7

Name of Person Reporting

GARCIA, ORLANDO L.

Date of Report

4/18/2016

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 7

Name of Person Reporting

GARCIA, ORLANDO L.

Date of Report

4/18/2016

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. BLACKROCK GLOBAL ALLOCATION	A	Int./Div.			Sold	01/14/15	K		
2. FIRST EAGLE GLOBAL	A	Int./Div.	K	T					
3. IVY ASSET STRATEGY	A	Int./Div.	K	T	Sold (part)	01/14/15	J		
4. VANGUARD BAL INDEX FD	A	Int./Div.	J	T					
5. OPPENHEIMER DEV MARKETS	A	Int./Div.	J	T	Buy (add'l)	01/05/15	J		
6. OPPENHEIMER DEV MARKETS	A	Int./Div.	J	T	Buy (add'l)	01/14/15	J		
7. OPPENHEIMER DEV MARKETS	A	Int./Div.	J	T	Buy (add'l)	08/31/15	J		
8. PRUDENTIAL GLOBAL FD	A	Int./Div.	K	T	Buy (add'l)	08/31/15	J		
9. PUTMAN CAPITAL SPECTRUM FD	A	Int./Div.	K	T	Sold (part)	01/14/15	J		
10. PUTMAN CAPITAL SPECTRUM FD	A	Int./Div.	K	T	Sold (part)	12/24/15	J		
11. TEMPLETON INCOME FDS	A	Int./Div.	K	T	Buy (add'l)	12/23/15	J		
12. ING/AUSTIN FIXED FUND	A	Int./Div.	L	T					
13. FROST BANK CHECKING	A	Int./Div.	J	T					
14. FROST BANK SAVINGS	A	Int./Div.	M	T					
15. FIDELITY ADVISOR MATERIALS CLASS I	A	Int./Div.			Sold	01/14/15	J		
16. LOMIS STRATEGIC INCOME FD	A	Int./Div.	K	T	Buy (add'l)	01/14/15	J		
17. LOMIS STRATEGIC INCOME FD	A	Int./Div.	K	T	Buy (add'l)	01/23/15	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 L = \$50,001 - \$100,000	E = \$15,001 - \$50,000 M = \$100,001 - \$250,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.001 - \$500,000.000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	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 7

Name of Person Reporting

GARCIA, ORLANDO L.

Date of Report

4/18/2016

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)

18. MAINSTAY TR MARKETFIELD FD	A	Int./Div.			Sold	01/14/15	J		
19. OPPENHEIMER STEELPATH FD	A	Int./Div.	K	T	Buy (add'l)	01/14/15	J		
20. OPPENHEIMER STEELPATH FD	A	Int./Div.	K	T	Buy (add'l)	12/23/15	J		
21. OPPENHEIMER STEELPATH FD	A	Int./Div.	K	T	Buy (add'l)	08/31/15	J		
22. PRUDENTIAL HEALTH SCIENCES FD	A	Int./Div.	K	T	Sold (part)	01/14/15	K		
23. JANUS GLOBAL LIFE SCIENCES FD	A	Int./Div.	J	T	Buy	01/14/15	K		
24. JANUS INTL BALANCED FD	A	Int./Div.	J	T	Buy	01/14/15	K		
25. JANUS GLOBAL REAL ESTATE FD	A	Int./Div.	J	T	Buy	01/14/15	K		
26. OPPENHEIMER INTL SMALL FD	A	Int./Div.	K	T	Buy	12/23/15	K		
27. T ROW PRICE GLOBAL TECH FD	A	Int./Div.	K	T	Buy	01/14/15	K		
28. NATIXIS MANAGED FUTURES FD	A	Int./Div.	K	T	Buy	12/23/15	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 \$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 7

Name of Person Reporting

GARCIA, ORLANDO L.

Date of Report

4/18/2016

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

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

GARCIA, ORLANDO L.

Date of Report

4/18/2016

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/ ORLANDO L. GARCIA**

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