

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) FUSTE, JOSE A.	2. Court or Organization District Court - Puerto Rico	3. Date of Report 05/11/2015
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 01/01/2014 to 12/31/2014
7. Chambers or Office Address RM. CH-133 U.S. COURTHOUSE 150 CHARDON AVENUE SAN JUAN PR 00918-1758		
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. PRESIDENT, BOARD OF DIRECTORS

ST. MARY'S PLAZA CONDOMINIUM (SEE SECTION VIII FOR EXPLANATORY NOTE).

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.

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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.)*

DATE

SOURCE AND TYPE

INCOME

(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.)*

DATE

SOURCE AND TYPE

1. 2014

Self-employed attorney

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

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.)*

	<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.	Banco Popular de Puerto Rico	Credit Card	K
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. GINNIE MAE BONDS	D	Interest	L	T					
2. AMERICAN FUNDS GROUP: EUROPACIFIC GROWTH FUND	B	Dividend	L	T					
3. AMERICAN FUNDS GROUP: EUROPACIFIC GROWTH FUND	B	Dividend	K	T					
4. AMERICAN FUNDS GROUP: EUROPACIFIC GROWTH FUND	A	Dividend	J	T					
5. AMERICAN FUNDS GROUP: SMALLCAP WORLD FUND	D	Dividend			Sold	08/25/14	M		
6. JOHNSON & JOHNSON (COMMON STOCK)	A	Dividend	K	T					
7. SAVINGS ACCT. (CARIBE FEDERAL CREDIT UNION)	A	Dividend	J	T					
8. CHECKING & SAVINGS ACCT. (BANCO POPULAR)	A	Interest	J	T					
9. CHECKING & SAVINGS ACCT. (BANCO POPULAR)	A	Interest	J	T					
10. CHECKING & SAVINGS ACCT. (BANCO POPULAR P.R.)	A	Interest	K	T					
11. IRA ORIENTAL FED. BANK	B	Interest	K	T					
12. IRA ORIENTAL FED. BANK	C	Interest	L	T					
13. SAVINGS ACCT. (BANCO POPULAR)	A	Interest	J	T					
14. AMERICAN FUNDS GROUP: EUROPACIFIC GROWTH FUND	B	Dividend	K	T					
15. AMERICAN FUNDS GROUP: CAPITAL WORLD G+I	B	Dividend	L	T					
16. SAVINGS ACCT. (BANCO POPULAR)	A	Interest	J	T					
17. LEHMAN BROS. 1993 GRANTOR TRUST CORP BOND	A	Interest	J	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	
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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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. Foothill Eastern Transp. Muni. Bond	C	Interest			Redeemed	03/18/14	L		
19. North Adams Community Schools Muni Bond	C	Interest	K	T					
20. Ellis Cty. General Oblig. Bond	E	Interest	M	T					
21. American Funds Group: AMCAP Fund	A	Dividend	J	T					
22. Chicago Ill Gen Oblig Muni Bond	C	Interest	L	T					
23. PR Mortgage-Backed & US Gov't Securities Fund	A	Dividend	J	T					
24. Int'l Hospitality Assoc., Class A Pref Spec P'ship Interest		None	K	T					
25. Illinois Development Finance Authorization Muni. Bond	D	Interest	K	T					
26. PR Fixed Income Fund	A	Dividend	J	T					
27. Colquitt County GA Municipal Bond	A	Dividend	J	T					
28. Cook County IL Municipal Bond	A	Interest	K	T	Buy	03/01/14	K		
29. Foothill Municipal Bond	A	Interest	K	T	Buy	03/01/14	K		
30. American Funds Developing World Fund	A	Dividend	K	T	Buy	08/25/14	K		
31. First Eagle Global Fund	B	Dividend	L	T	Buy	08/25/14	L		
32. Growth Fund of America	C	Dividend	K	T	Buy	08/25/14	K		
33. New Perspective Fund	A	Dividend	K	T	Buy	08/25/14	K		
34. New World Fund	B	Dividend	L	T	Buy	08/25/14	L		

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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35. Wells Fargo Advantage Absolute Fund	A	Dividend	L	T	Buy	08/25/14	L		
36. AT&T	A	Dividend	L	T	Buy	08/25/14	L		
37. Senior Hsg. Reit	A	Dividend	L	T	Buy	08/25/14	L		

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

SEC. 1. POSITIONS. I OWN AN APARTMENT IN THE CONDOMINIUM AND RESIDE IN THE SAME. I RECEIVE NO COMPENSATION AND MY DUTIES ARE CONFINED TO NON-PROFIT OPERATION AND MAINTENANCE OF THIS RESIDENCIAL FACILITY. SEE ADVISORY OPINION 29 & CANON 5.

SEC. IV. REIMBURSEMENTS & GIFTS. I HAVE ONLY RECEIVED OFFICIAL COURT-RELATED REIMBURSEMENTS ON AUTHORIZED EXPENDITURES REGARDING OFFICIAL TRAVEL ON BEHALF OF THE U.S. COURTS.

SEC. VII. INVESTMENTS & TRUSTS. THE IRAs OWNED BY MY SPOUSE AND MYSELF ARE CASH-EQUIVALENT ACCOUNTS MAINTAINED AT A FINANCIAL INSTITUTION. THEY ARE COMPOSED OF GINNIE MAE BONDS AND OTHER SECURITIES WHICH ARE NOT DIRECTED OR MANAGED BY EITHER OF US. WE HAVE NO ABILITY TO SELECT THE ASSETS WITHIN THE ACCOUNTS AND, IN FACT, WE ARE NOT NOTIFIED OF THEIR CONTENTS. [REDACTED] ALSO HAS A RETIREMENT ACCOUNT THAT CONSISTS OF SECURITIES TRADED WITHOUT [REDACTED] CONSENT. DISCRETION LIES IN THE HANDS OF THE BROKER, AND WE ARE AWARE OF PURCHASES AND SALES ON A DELAYED BASIS, WITH NO CONTROL OVER THEIR TIMING.

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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/ JOSE A. FUSTE**

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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