

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) GARCIA, ORLANDO L.	2. Court or Organization U.S. DISTRICT COURT	3. Date of Report 04/05/2017
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 01/01/2016 to 12/31/2016
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.	

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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. 2016	Employees Retirement System of Texas (state legislative pension-paid in monthly installments)	\$27,331.00
2. 2016	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.)*

DATE	SOURCE AND TYPE
1. 2016	San Antonio ISD - salary
2. 2016	Northern Trust Company - annuity
3. 2016	Teacher Retirement System of Texas - annuity
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.		
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. FIRST EAGLE GLOBAL	A	Int./Div.			Sold	10/04/16	J		
2. IVY ASSET STRATEGY	A	Int./Div.			Sold	10/04/16	J		
3. VANGUARD BAL INDEX FD	A	Int./Div.			Sold	10/04/16	J		
4. OPPENHEIMER DEV MARKETS	A	Int./Div.			Sold	10/04/16	J		
5. OPPENHEIMER DEV MARKETS	A	Int./Div.			Sold	10/04/16	J		
6. OPPENHEIMER DEV MARKETS	A	Int./Div.			Sold	10/04/16	J		
7. PRUDENTIAL GLOBAL FD	A	Int./Div.			Sold	10/04/16	J		
8. PUTMAN CAPITAL SPECTRUM FD	A	Int./Div.			Sold	10/04/16	J		
9. PUTMAN CAPITAL SPECTRUM FD	A	Int./Div.			Sold	10/04/16	J		
10. TEMPLETON INCOME FDS	A	Int./Div.			Sold	10/04/16	J		
11. ING/AUSTIN FIXED FUND	A	Int./Div.			Sold	10/04/16	K		
12. FROST BANK CHECKING	A	Int./Div.	J	T					
13. FROST BANK SAVINGS	A	Int./Div.	M	T					
14. LOMIS STRATEGIC INCOME FD	A	Int./Div.			Sold	10/04/16	J		
15. LOMIS STRATEGIC INCOME FD	A	Int./Div.			Sold	10/04/16	J		
16. OPPENHEIMER STEELPATH FD	A	Int./Div.			Sold	10/04/16	J		
17. OPPENHEIMER STEELPATH FD	A	Int./Div.			Sold	10/04/16	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 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	

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18. OPPENHEIMER STEELPATH FD	A	Int./Div.			Sold	10/04/16	J		
19. PRUDENTIAL HEALTH SCIENCES FD	A	Int./Div.			Sold	10/04/16	K		
20. JANUS GLOBAL LIFE SCIENCES FD	A	Int./Div.			Sold	10/04/16	K		
21. JANUS INTL BALANCED FD	A	Int./Div.			Sold	10/04/16	K		
22. JANUS GLOBAL REAL ESTATE FD	A	Int./Div.			Sold	10/04/16	K		
23. OPPENHEIMER INTL SMALL FD	A	Int./Div.			Sold	10/04/16	K		
24. T ROW PRICE GLOBAL TECH FD	A	Int./Div.			Sold	10/04/16	K		
25. NATIXIS MANAGED FUTURES FD	A	Int./Div.			Sold	10/04/16	K		
26. BLACKROCK, INC.	A	Int./Div.	J	T	Buy	11/01/16	J		
27. AMERICAN EXPRESS	A	Int./Div.	J	T	Buy	11/01/16	J		
28. APPLE, INC.	A	Int./Div.	J	T	Buy	11/01/16	J		
29. CHEVRON	A	Int./Div.	J	T	Buy	11/01/16	J		
30. CISCO SYSTEM	A	Int./Div.	J	T	Buy	11/01/16	J		
31. COCA COLA	A	Int./Div.	J	T	Buy	11/01/16	J		
32. DOW CHEMICAL	A	Int./Div.	J	T	Buy	11/01/16	J		
33. EVERSOURCE ENERGY	A	Int./Div.	J	T	Buy	11/01/16	J		
34. EXXON MOBILE	A	Int./Div.	J	T	Buy	11/01/16	J		

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35. GENERAL ELECTRIC	A	Int./Div.	J	T	Buy	11/01/16	J		
36. IBM	A	Int./Div.	J	T	Buy	11/01/16	J		
37. JOHNSON AND JOHNSON	A	Int./Div.	J	T	Buy	11/01/16	J		
38. J.P. MORGAN CHASE	A	Int./Div.	J	T	Buy	11/01/16	J		
39. LOCKHEED MARTIN	A	Int./Div.	J	T	Buy	11/01/16	J		
40. LOWES	A	Int./Div.	J	T	Buy	11/01/16	J		
41. MICROSOFT CORP.	A	Int./Div.	J	T	Buy	11/01/16	J		
42. ORACLE CO.	A	Int./Div.	J	T	Buy	11/01/16	J		
43. PFIZER	A	Int./Div.	J	T	Buy	11/01/16	J		
44. PROCTOR & GAMBLE	A	Int./Div.	J	T	Buy	11/01/16	J		
45. SIEMENS A G	A	Int./Div.	J	T	Buy	11/01/16	J		
46. T ROWE PRICE GROUP	A	Int./Div.	J	T	Buy	11/01/16	J		
47. UNITED TECHNOLOGIES	A	Int./Div.	J	T	Buy	11/01/16	J		
48. VERIZON COMMUNICATIONS	A	Int./Div.	J	T	Buy	11/01/16	J		
49. WALMART STORES, INC.	A	Int./Div.	J	T	Buy	11/01/16	J		
50. WELLS FARGO BANK NA	A	Int./Div.	J	T	Buy	11/01/16	J		

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

Regarding Part VII. Investments and Trusts, please note that there were multiple purchases in 2015 on different dates for the following mutual funds:

(a) Oppenheimer Div Markets - (Dates purchased: 01/05/15; 01/14/15; 08/31/15)

(b) Putman Capital Spectrum FD - (Dates purchased: 01/14/15; 12/24/15)

(c) Lomis Strategic Income FD - (Dates purchased: 01/14/15; 01/23/15)

These mutual funds were all sold on the same date, October 4, 2016.

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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/ 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
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Washington, D.C. 20544