

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 03/25/2014
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 01/01/2013 to 12/31/2013
7. Chambers or Office Address John H. Wood Jr. U.S. 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

03/25/2014

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. 2013	Employees Retirement System of Texas (state legislative pension-paid in monthly installments)	\$25,019.68
2. 2013	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. 2013	Northeast ISD - salary
2. 2013	Northern Trust Company - annuity
3. 2013	Teacher Retirement System of Texas - annuity
4. 2013	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

03/25/2014

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

03/25/2014

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 ALL-CAP GLOBAL RESOURCE	A	Int/Div.	J	T					
2. BLACKROCK GLOBAL ALLOCATION	A	Int/Div.	K	T					
3. DELAWARE DIVERSIFIED INCOME	A	Int/Div.	J	T	Sold (part)	10/08/13	J		
4. FIRST EAGLE GLOBAL	A	Int/Div.	K	T					
5. IVY ASSET STRATEGY	A	Int/Div.	K	T	Sold (part)	10/08/13	J		
6. MATTHEWS ASIAN GROWTH & INCOME	A	Int/Div.	J	T					
7. PIMCO REAL RETURN	A	Int/Div.	J	T	Sold (part)	10/08/13	J		
8. RYDEX MANAGED FUTURES	A	Int/Div.			Sold	10/08/13	J		
9. PIMCO DELVELOPING LOCAL MARKETS	A	Int/Div.			Sold	10/08/13	J		
10. VANGUARD BAL INDEX FD	A	Int/Div.	J	T					
11. HIGHLAND LONG/SHORT HEALTHCARE FD	A	Int/Div.	J	T					
12. OPPENHEIMER DEV MARKETS	A	Int/Div.	K	T	Sold (part)	10/08/13	K		
13. OPPENHEIMER INTL BD FD	A	Int/Div.			Sold	10/08/13	J		
14. PRUDENTIAL GLOBAL FD	A	Int/Div.	K	T	Sold (part)	10/08/13	J		
15. PUTMAN CAPITAL SPECTRUM FD	A	Int/Div.	K	T	Buy (add'l)	10/08/13	J		
16. NATIXIS MANAGED FUTURES FD	A	Dividend	K	T	Sold (part)	10/08/13	J		
17. YACKTMAN FOCUSED FD	A	Int/Div.	J	T					

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 7

Name of Person Reporting

GARCIA, ORLANDO L.

Date of Report

03/25/2014

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. EATON VANCE RETURN FD	A	Int./Div.			Sold	10/08/13	J		
19. PIMCO DEV MARKETS	A	Int./Div.	J	T					
20. TEMPLETON INCOME FDS	A	Int./Div.	J	T					
21. INVEST MANAGERS	A	Int./Div.			Sold	10/08/13	J		
22. RS GLOBAL NAT. RESOURCES	A	Int./Div.			Sold	10/08/13	J		
23. ING/AUSTIN FIXED FUND (X)	A	Int./Div.	K	T					
24. FROST BANK CHECKING	A	Int./Div.	J	T					
25. FROST BANK SAVINGS	A	Int./Div.	K	T					
26. FIDELITY ADVISOR MATERIALS CLASS I	A	Int./Div.	K	T	Buy	10/08/13	K		
27. LOMIS STRATEGIC INCOME FD	A	Int./Div.	K	T	Buy	10/08/13	K		
28. MAINSTAY TR MARKETFIELD FD	A	Int./Div.	J	T	Buy	10/08/13	J		
29. OPPENHEIMER STEELPATH FD	A	Int./Div.	K	T	Buy	10/08/13	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

03/25/2014

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

I HAVE FILED THIS AMENDED REPORT TO COMPLY WITH THE COMMITTEE'S DIRECTIVE DATED JUNE 5, 2014.

IN PART IV, THE MUTUAL FUNDS LISTED ON PAGE 4, LINES 11, 15 AND 16; AND PAGE 5, LINES 26-29, HAVE BEEN MORE SPECIFICALLY IDENTIFIED IN CONFORMITY WITH THE COMMITTEE'S DIRECTIVE AND FILING INSTRUCTIONS.

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

GARCIA, ORLANDO L.

Date of Report

03/25/2014

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