United States Senate
# Financial Disclosures

00000623310

## UNITED STATES SENATE FINANCIAL DISCLOSURE REPORT FOR ANNUAL AND TERMINATION FILERS

☐ Amendment

| Last Name | First Name and Middle Initial | Annual Report: Calendar Year Covered by Report | Senate Office / Agency in Which Employed |
|---|---|---|---|
| Rubio | Marco A. | 2012 | Rubio/United States Senate |
| **Senate Office Address (Number, Street, City, State, and ZIP Code)** | **Senate Office Telephone Number *(Include Area Code)*** | **Termination Report: Termination Date (mm/dd/yy)** | **Prior Office / Agency in Which Employed** |
| 284 Russell Senate Office Building | (202) 224-3041 | | |

**AFTER READING THE INSTRUCTIONS – ANSWER EACH OF THESE QUESTIONS AND ATTACH THE RELEVANT PART**

| | YES | NO | | YES | NO |
|---|---|---|---|---|---|
| Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If Yes, complete and attach PART I. | ☐ | ☒ | Did you, your spouse, or dependent child receive any reportable travel or reimbursements for travel in the reporting period (i.e., worth more than $350 from one source)? If Yes, complete and attach PART VI. | ☐ | ☒ |
| Did you or your spouse have earned income (e.g., salaries or fees) or non-investment income of more than $200 from any reportable source in the reporting period? If Yes, complete and attach PART II. | ☒ | ☐ | Did you, your spouse, or dependent child have any reportable liability (more than $10,000) during the reporting period? If Yes, complete and attach PART VII. | ☒ | ☐ |
| Did you, your spouse, or dependent child hold any reportable asset worth more than $1,000 at the end of the period, or receive unearned or investment income of more than $200 in the reporting period? If Yes, complete & attach PART IIIA and/or IIIB. | ☒ | ☐ | Did you hold any reportable positions on or before the date of filing in the current calendar year? If Yes, complete and attach PART VIII. | ☒ | ☐ |
| Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? If Yes, complete and attach PART IV. | ☐ | ☒ | Do you have any reportable agreement or arrangement with an outside entity? If Yes, complete and attach PART IX. | ☒ | ☐ |
| Did you, your spouse, or dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $350 and not otherwise exempt)? If Yes, complete and attach PART V. | ☐ | ☒ | If this is your FIRST Report: Did you receive compensation of more than $5,000 from a single source in the two prior years? If Yes, complete and attach PART X. | ☐ | ☒ |

**Each question must be answered and the appropriate PART attached for each "YES" response.**

**FOR OFFICIAL USE ONLY**
**Do Not Write Below this Line**

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SECRETARY OF THE SENATE

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| Reporting Individual's Name | ☐ Amendment | PART II. EARNED AND NON-INVESTMENT INCOME | Page Number |
|---|---|---|---|
| Rubio, Marco A. | | | 2 |

Report the source (name and address), type, and amount of earned income to you from any source aggregating $200 or more during the reporting period. For your spouse, report the source (name and address) and type of earned income which aggregate $1,000 or more during the reporting period. No amount needs to be specified for your spouse. (See p.3, CONTENTS OF REPORTS Part B of Instructions.) Do not report income from employment by the U.S. Government for you or your spouse.

**Individuals not covered by the Honoraria Ban:**
For you and /or your spouse, report honoraria income received which aggregates $200 or more by exact amount, give the date of, and describe the activity (speech, appearance or article) generating such honoraria payment. Do not include payments in lieu of honoraria reported on Part I.

| | Name of Income Source | Address (City, State) | Type of Income | Amount |
|---|---|---|---|---|
| Example: | *JP Computers* | *Wash., DC* **EXAMPLE** | *Salary* | *$15,000* |
| | *MCI (Spouse)* | *Arlington, VA* **EXAMPLE** | *Salary* | *Over $1,000* |
| 1 | Florida International University | Miami, FL | Salary | $16,416 |
| 2 | Penguin Group USA | Livonia, MI | Royalties | $800,000 |
| 3 | JDR Events, Inc. (Spouse) | Miami, FL | Distribution | over $1,000 |
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Reporting Individual's Name: Rubio, Marco A. ☐ Amendment

# PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number 3

**BLOCK A — Identity of Publicly Traded Assets And Unearned Income Sources**

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, *(See p.3, CONTENTS OF REPORTS Part B of Instructions)* for production of income or investment which:

(1) had a value exceeding $1,000 at the close of the reporting period; and/or

(2) generated over $200 in "unearned" income during the reporting period.

Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

**BLOCK B — Valuation of Assets**

At the close of reporting period. If None, or less than $1,001, Check the first column.

**BLOCK C — Type and Amount of Income**

**Type of Income**

**Amount of Income**

| | | | BLOCK B: None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 – $1,000,000 | Over $1,000,000*** | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | BLOCK C: Type of Income: None | Dividends | Rent | Interest | Capital Gains | Excepted Investment Fund | Excepted Trust | Qualified Blind Trust | Other (Specify Type) | Amount of Income: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000*** | $1,000,001 - $5,000,000 | Over $5,000,000 | Actual Amount Required if "Other" Specified |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Example: S, DC, or J | | *IBM Corp. (stock)* | | | | X | | | | | | | | | | X | | | | | | | *Example* | | X | | | | | | | | | *Example* |
| | | *(S) Keystone Fund* | | | | | X | | | | | | | | | | | | | X | | | *Example* | X | | | | | | | | | | | *Example* |
| 1 | | ABA Retirement Funds, Stable Asset Return Fund | | | X | | | | | | | | | | | | | | | X | | | | X | | | | | | | | | | | |
| 2 | | ABA Retirement Funds, Bond Core Plus Fund | | X | | | | | | | | | | | | | | | | X | | | | X | | | | | | | | | | | |
| 3 | | ABA Retirement Funds, Large Cap Equity Fund | | X | | | | | | | | | | | | | | | | X | | | | X | | | | | | | | | | | |
| 4 | | ABA Retirement Funds, All Cap Index Equity Fund | | X | | | | | | | | | | | | | | | | X | | | | X | | | | | | | | | | | |
| 5 | | ABA Retirement Funds, Small-Mid Cap Equity Fund | | X | | | | | | | | | | | | | | | | X | | | | X | | | | | | | | | | | |
| 6 | | ABA Retirement Funds, Intl All Cap Equity Fund | | X | | | | | | | | | | | | | | | | X | | | | X | | | | | | | | | | | |
| 7 | J | Citibank (Checking) | | | X | | | | | | | | | | | | | X | | | | | | X | | | | | | | | | | | |
| 8 | J | Citibank (Savings) | | | X | | | | | | | | | | | | | X | | | | | | X | | | | | | | | | | | |
| 9 | J | Citibank (Money Market) | | | | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | |
| 10 | | Ameritrade Insured Deposit Account | | X | | | | | | | | | | | | | | X | | | | | | X | | | | | | | | | | | |

EXEMPTION TEST *(see instructions before marking box)*: If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. ☐

*** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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Reporting Individual's Name: Rubio, Marco A. | ☐ Amendment

# PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number: 4

**BLOCK A — Identity of Publicly Traded Assets And Unearned Income Sources**

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, *(See p.3, CONTENTS OF REPORTS Part B of Instructions)* for production of income or investment which:
(1) had a value exceeding $1,000 at the close of the reporting period; and/or
(2) generated over $200 in "unearned" income during the reporting period.
Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

**BLOCK B — Valuation of Assets**

At the close of reporting period. If None, or less than $1,001, Check the first column.

**BLOCK C — Type and Amount of Income**

**Type of Income**

**Amount of Income**

| | S, DC, or J | | BLOCK B: None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 – $1,000,000 | Over $1,000,000*** | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | BLOCK C: None | Dividends | Rent | Interest | Capital Gains | Excepted Investment Fund | Excepted Trust | Qualified Blind Trust | Other (Specify Type) | None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000*** | $1,000,001 - $5,000,000 | Over $5,000,000 | Actual Amount Required if "Other" Specified |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Example:** | | *IBM Corp. (stock)* | | | | X | | | | | | | | | | X | | | | | | | *Example* | | X | | | | | | | | | *Example* |
| | | *(S) Keystone Fund* | | | | | X | | | | | | | | | | | | | X | | | *Example* | X | | | | | | | | | | | *Example* |
| 1 | | Coca Cola Co. | | X | | | | | | | | | | | | X | | | | | | | | X | | | | | | | | | | | |
| 2 | S | Scholars Choice Savings Account for AR | | X | | | | | | | | | | | X | | | | | | | | | X | | | | | | | | | | | |
| 3 | S | Scholars Choice Savings Account for DR | | X | | | | | | | | | | | X | | | | | | | | | X | | | | | | | | | | | |
| 4 | | FIU 401(A) Temporary Employee Savings Plan (Bencor) Guaranteed Pooled Fund | | X | | | | | | | | | | | X | | | | | | | | | X | | | | | | | | | | | |
| 5 | | FL Prepaid College Plan for AR | | X | | | | | | | | | | | X | | | | | | | | | X | | | | | | | | | | | |
| 6 | | FL Prepaid College Plan for DR | | X | | | | | | | | | | | X | | | | | | | | | X | | | | | | | | | | | |
| 7 | | FL Prepaid College Plan for AR | | X | | | | | | | | | | | X | | | | | | | | | X | | | | | | | | | | | |
| 8 | | FL Prepaid College Plan for DR | | X | | | | | | | | | | | X | | | | | | | | | X | | | | | | | | | | | |
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EXEMPTION TEST *(see instructions before marking box)*: If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. ☐

*** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

Click...to create an additional page for this part.

Reporting Individual's Name: Rubio, Marco A. ☐ Amendment

## PART IIIB. NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES



**BLOCK A — Identity of Non-Publicly Traded Assets and Unearned Income Sources**

Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p.3, CONTENTS OF REPORTS Part B of Instructions) for the production of income or investment in a non-public trade or business which:
(1) had a value exceeding $1,000 at the close of the reporting period; and/or
(2) generated over $200 in "unearned" income during the reporting period.
Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA.

**BLOCK B — Valuation of Assets**

At the close of reporting period. If None, or less than $1,001, Check the first column.

**BLOCK C — Type and Amount of Income**

**Type of Income**

**Amount of Income**

| | BLOCK A | BLOCK B: None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 – $1,000,000 | Over $1,000,000*** | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | BLOCK C: None | Dividends | Rent | Interest | Capital Gains | Excepted Investment Fund | Excepted Trust | Qualified Blind Trust | Other (Specify Type) | None (or less than $201) | $201 - $1,000 | $1,000 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000*** | $1,000,001 - $5,000,000 | Over $5,000,000 | Actual Amount Required if "Other" Specified |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Example:** S, DC, or J | *JP Computer, Software Design, Wash DC* | | | | X | | | | | | | | | | X | | | | | | | *Example* | | X | | | | | | | | | | *Example* |
| | *Undeveloped land, Dubuque, Iowa* | | | | | X | | | | | | | | X | | | | | | | | *Example* | X | | | | | | | | | | | *Example* |
| 1 | Rental Property, Talahassee, FL | | | | | X | | | | | | | | | | X | | | | | | | | | | | X | | | | | | | |
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EXEMPTION TEST *(see instructions before marking box)*: If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. ☐

*** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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Reporting Individual's Name: Rubio, Marco A. ☐ Amendment

## PART VII. LIABILITIES

Page Number: 6

Report liabilities over $10,000 owed by you, your spouse, or dependent child (See p.3, CONTENTS OF REPORTS, Part B of Instructions), to any one creditor at any time during the reporting period. Check the highest amount owed during the reporting period. Exclude: (1) mortgages on your personal residences unless rented **(except for Senators)**; (2) loans secured by automobiles, household furniture or appliances; and (3) liabilities owed to certain relatives listed in Instructions. See Instructions for reporting revolving charge accounts.

| | Name of Creditor | Address | Type of Liability | Date Incurred | Interest Rate | Discount Points Paid for Mortgage (*Senators Only*) | Term if Applicable | Category of Amount of Value (x) | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | $10,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000*** | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 |
| | S, **Example**: DC, or J *First District Bank* | *Wash., DC* | *Mortgage on undeveloped land* | *1992* | *13%* | *1 pt* | *25 yrs* | | | X | | E | X | A | M | P | L | E |
| | *(J) John Jones* | *Wash., DC* | *Promissory Note* | *2000* | *10%* | *n/a* | *On dmd* | | | | X | E | X | A | M | P | L | E |
| 1 | Chase | Columbus, OH | Mortgage | 2006 | 6.5% | n/a | 30 years | | | | | X | | | | | | |
| 2 | GMAC | Waterloo, IA | Mortgage on Rental Property | 2005 | 4.25% | n/a | 30 years | | | | X | | | | | | | |
| 3 | U.S. Century Bank | Miami, FL | Home Equity Loan | 2006 | 7.25% | n/a | 10 years | | | | X | | | | | | | |
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EXEMPTION TEST *(see instructions before marking box)*: If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. ☐

*** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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| Reporting Individual's Name | ☐ Amendment | | Page Number |
|---|---|---|---|
| Rubio, Marco A. | | **PART VIII. POSITIONS HELD OUTSIDE U.S. GOVERNMENT** | 7 |

Report any positions held by you during the applicable reporting period whether compensated or not. Positions include, but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. Both the year and month must be reported for the period of time that the position was held.

**Exclude:** Positions with federal government, religious, social, fraternal, or political entities, and those solely of an honorary nature.

| | Name of Organization | Address (City, State) | Type of Organization | Position Held | From (Mo/Yr) | To (Mo/Yr) |
|---|---|---|---|---|---|---|
| Example: | *National Assn. of Rock Collectors* | *NY,NY* **EXAMPLE** | *Non-profit education* | *President* | *6 / 91* | *Present* |
| | *Jones & Smith* | *Hometown, USA* **EXAMPLE** | *Law Firm* | *Partner* | *7 / 96* | *11 / 1X* |
| 1 | Florida International University | Miami, FL | University | Senior Fellow | 5/11 | Present |
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**Compensation in excess of $200 from any position must be reported in Part II.**

| Reporting Individual's Name | ☐ Amendment | PART IX. AGREEMENTS OR ARRANGEMENTS | Page Number |
|---|---|---|---|
| Rubio, Marco A. | | | 8 |

Report your agreements or arrangements for future employment (including agreements with a publisher for writing a book or sale of other intellectual property), leaves of absence, continuation of payment by a former employer (including severance payments), or continuing participation in an employee benefit plan. See Instructions regarding the reporting of negotiations for any of these arrangements or benefits.

| | Status and Terms of any Agreement or Arrangement | Parties | Date |
|---|---|---|---|
| Example: | *Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on services performed through 11/0X and retained pension benefits (diversified, independently managed, fully funded, defined contribution plan)* | *Jones & Smith, Hometown, USA* **EXAMPLE** | *1 / 94* |
| | *Employment agreement with XYZ Co. to become Vice President of Government Relations. Terms of agreement include salary between $50,001-$100,000, signing bonus between $2,501-$5,000 and stock options* | *XYZ Co., Bethesda, MD* **EXAMPLE** | *1 / 1X* |
| 1 | Book contract providing for royalty payments of 15% of hardcover edition, 7.5 to 10% paperback editions, and 25% of audio editions. | Penguin Group USA, New York, NY | 1/2012 |
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