



Filing ID #10001046

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

**Name:** Mr. William L. Owens  
**Status:** Member  
**State/District:** NY21

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2013  
**Filing Date:** 05/12/2014

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Champlain National Bank Common Stock		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Hydroionic Technologies Common Stock		\$15,001 - \$50,000	None		<input type="checkbox"/>
IRA of Jane Owens - NBT Bank ⇒ Duke Energy Corporation (DUK)	SP	\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
IRA of Jane Owens - NBT Bank ⇒ Fed Govt MMP 5	SP	\$1 - \$1,000	Tax-Deferred	None	<input type="checkbox"/>
IRA of Jane Owens - NBT Bank ⇒ Verizon Communications Inc. (VZ)	SP	\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
IRA of William L. Owens ⇒ Altria Group, Inc. (MO)		\$15,001 - \$50,000	Tax-Deferred	None	<input checked="" type="checkbox"/>
IRA of William L. Owens ⇒ AT&T Inc. (T)		\$1,001 - \$15,000	Tax-Deferred	None	<input checked="" type="checkbox"/>
IRA of William L. Owens ⇒ Avista Corporation (AVA)		\$1,001 - \$15,000	Tax-Deferred	None	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
IRA of William L. Owens ⇒ Bank Nova Scotia Halifax Pfd 3 Ordinary Shares (BNS)		\$15,001 - \$50,000	Tax-Deferred	None	<input checked="" type="checkbox"/>
IRA of William L. Owens ⇒ Bank of America Corporate Bond		\$50,001 - \$100,000	Tax-Deferred	None	<input checked="" type="checkbox"/>
IRA of William L. Owens ⇒ Bank Of Montreal (BMO)		\$15,001 - \$50,000	Tax-Deferred	None	<input checked="" type="checkbox"/>
IRA of William L. Owens ⇒ Dodge & Cox International Stock Fund		\$50,001 - \$100,000	Tax-Deferred	None	<input checked="" type="checkbox"/>
IRA of William L. Owens ⇒ Duke Energy Corporation (DUK)		\$15,001 - \$50,000	Tax-Deferred	None	<input checked="" type="checkbox"/>
IRA of William L. Owens ⇒ Fed Govt MMP 5 Cash Account		\$250,001 - \$500,000	Tax-Deferred	None	<input type="checkbox"/>
IRA of William L. Owens ⇒ Fidelity Dividend Growth		\$1,001 - \$15,000	Tax-Deferred	None	<input checked="" type="checkbox"/>
IRA of William L. Owens ⇒ Goldman Sachs Group Corporate Bond		\$50,001 - \$100,000	Tax-Deferred	None	<input checked="" type="checkbox"/>
IRA of William L. Owens ⇒ HSBC Financial Corporate Bond		\$50,001 - \$100,000	Tax-Deferred	None	<input checked="" type="checkbox"/>
IRA of William L. Owens ⇒ Intel Corporation (INTC)		\$1,001 - \$15,000	Tax-Deferred	None	<input checked="" type="checkbox"/>
IRA of William L. Owens ⇒ Ishares Barclay US TIPS BD FD		\$100,001 - \$250,000	Tax-Deferred	None	<input type="checkbox"/>
IRA of William L. Owens ⇒ Johnson & Johnson (JNJ)		\$1,001 - \$15,000	Tax-Deferred	None	<input checked="" type="checkbox"/>
IRA of William L. Owens ⇒ Jones Lang LaSalle Incorporated (JLL)		\$1,001 - \$15,000	Tax-Deferred	None	<input checked="" type="checkbox"/>
IRA of William L. Owens ⇒ Kimberly-Clark Corporation (KMB)		\$15,001 - \$50,000	Tax-Deferred	None	<input checked="" type="checkbox"/>
IRA of William L. Owens ⇒ Morgan Stanley Corporate Bond		\$50,001 - \$100,000	Tax-Deferred	None	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
IRA of William L. Owens ⇒ Mortgage of Warehouse at Van Buren Street		\$50,001 - \$100,000	Tax-Deferred	None	<input type="checkbox"/>
IRA of William L. Owens ⇒ Pepsico, Inc. (PEP)		\$1,001 - \$15,000	Tax-Deferred	None	<input checked="" type="checkbox"/>
IRA of William L. Owens ⇒ Seattle Genetics, Inc. (SGEN)		\$1,001 - \$15,000	Tax-Deferred	None	<input checked="" type="checkbox"/>
IRA of William L. Owens ⇒ Security Mutual Life Insurance Co of NY Cash Account		\$50,001 - \$100,000	Tax-Deferred	None	<input type="checkbox"/>
IRA of William L. Owens ⇒ Southern Company (SO)		\$1,001 - \$15,000	Tax-Deferred	None	<input checked="" type="checkbox"/>
IRA of William L. Owens ⇒ Sysco Corporation (SYY)		\$1,001 - \$15,000	Tax-Deferred	None	<input checked="" type="checkbox"/>
IRA of William L. Owens ⇒ Unifi, Inc. New (UFI)		\$1,001 - \$15,000	Tax-Deferred	None	<input checked="" type="checkbox"/>
IRA of William L. Owens ⇒ Verizon Communications Inc. (VZ)		\$1,001 - \$15,000	Tax-Deferred	None	<input checked="" type="checkbox"/>
IRA of William L. Owens ⇒ Winthrop Realty Trust		\$1,001 - \$15,000	Tax-Deferred	None	<input checked="" type="checkbox"/>
Mountain Lake Public Television TIAA/CREF 403 B ⇒ SP CREF Infl Linked Bond		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
Mountain Lake Public Television TIAA/CREF 403 B ⇒ SP CREF Stock		\$15,001 - \$50,000	Tax-Deferred	None	<input type="checkbox"/>
Mountain Lake Public Television TIAA/CREF 403 B ⇒ SP TIAA Real Estate		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
Mountain Lake Public Television TIAA/CREF 403 B ⇒ SP TIAA Traditional		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
NBT Bancorp Inc. (NBTB)		\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
NBT Bank Savings		\$100,001 - \$250,000	Interest	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Stafford, Owens, Curtin & Murnane Building Partnership		\$250,001 - \$500,000	Rent	\$15,001 - \$50,000	<input type="checkbox"/>
LOCATION: Plattsburgh, NY, US					
Stafford, Piller, Plimpton, Kelleher & Trombley Profit Sharing (401k) ⇒ American Growth Funds		\$50,001 - \$100,000	Tax-Deferred	None	<input checked="" type="checkbox"/>
Stafford, Piller, Plimpton, Kelleher & Trombley Profit Sharing (401k) ⇒ Federated Capital Preservation		\$50,001 - \$100,000	Tax-Deferred	None	<input type="checkbox"/>
Stafford, Piller, Plimpton, Kelleher & Trombley Profit Sharing (401k) ⇒ T Rowe Price Capital Appreciation		\$50,001 - \$100,000	Tax-Deferred	None	<input checked="" type="checkbox"/>
Stafford, Piller, Plimpton, Kelleher & Trombley Profit Sharing (401k) ⇒ T Rowe Price Equity Income Fund		\$50,001 - \$100,000	Tax-Deferred	None	<input checked="" type="checkbox"/>

\* Asset class details available at the bottom of this form.

SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
IRA of William L. Owens ⇒ Altria Group, Inc. (MO)		05/28/2013	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ AT&T Inc. (T)		01/14/2013	P	\$15,001 - \$50,000	
IRA of William L. Owens ⇒ AT&T Inc. (T)		05/28/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ Avista Corporation (AVA)		05/28/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ Bank Nova Scotia Halifax Pfd 3 Ordinary Shares (BNS)		05/28/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ Bank of America Corporate Bond		10/15/2013	P	\$50,001 - \$100,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
IRA of William L. Owens ⇒ Bank Of Montreal (BMO)		05/28/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ Dodge & Cox International Stock Fund		05/28/2013	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ Duke Energy Corporation (DUK)		05/28/2013	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ Fidelity Dividend Growth		05/28/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ Goldman Sachs Group Corporate Bond		10/15/2013	P	\$50,001 - \$100,000	
IRA of William L. Owens ⇒ HSBC Financial Corporate Bond		10/15/2013	P	\$50,001 - \$100,000	
IRA of William L. Owens ⇒ Intel Corporation (INTC)		05/28/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ Johnson & Johnson (JNJ)		05/28/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ Jones Lang LaSalle Incorporated (JLL)		05/28/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ Kimberly-Clark Corporation (KMB)		01/14/2013	P	\$15,001 - \$50,000	
IRA of William L. Owens ⇒ Kimberly-Clark Corporation (KMB)		05/28/2013	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ Morgan Stanley Corporate Bond		10/15/2013	P	\$50,001 - \$100,000	
IRA of William L. Owens ⇒ NBT Bancorp Inc. (NBTB)		05/28/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ NBT Bancorp Inc. (NBTB)		05/28/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ NBT Bancorp Inc. (NBTB)		05/28/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

[illegible]

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
IRA of William L. Owens ⇒ NBT Bancorp Inc. (NBTB)		11/1/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ NBT Bancorp Inc. (NBTB)		11/1/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ NBT Bancorp Inc. (NBTB)		11/1/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ NBT Bancorp Inc. (NBTB)		11/1/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ NBT Bancorp Inc. (NBTB)		11/1/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ NBT Bancorp Inc. (NBTB)		11/1/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ NBT Bancorp Inc. (NBTB)		11/1/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ NBT Bancorp Inc. (NBTB)		11/1/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ NBT Bancorp Inc. (NBTB)		11/1/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ NBT Bancorp Inc. (NBTB)		11/1/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ NBT Bancorp Inc. (NBTB)		11/1/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ NBT Bancorp Inc. (NBTB)		11/1/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ NBT Bancorp Inc. (NBTB)		11/1/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ NBT Bancorp Inc. (NBTB)		11/1/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ NBT Bancorp Inc. (NBTB)		11/1/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: This sale completes 22 transactions on 11/1/13 of NBT Bank Common Stock in the IRA of William Owens. This leaves the IRA without any shares. William Owens owns additional shares of NBT Bank Common Stock which are disclosed elsewhere in this report.					

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
IRA of William L. Owens ⇒ Pepsico, Inc. (PEP)		01/14/2013	P	\$15,001 - \$50,000	
IRA of William L. Owens ⇒ Pepsico, Inc. (PEP)		05/28/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ Seattle Genetics, Inc. (SGEN)		03/26/2013	P	\$1,001 - \$15,000	
IRA of William L. Owens ⇒ Seattle Genetics, Inc. (SGEN)		05/28/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ Southern Company (SO)		05/28/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ Sysco Corporation (SYY)		01/14/2013	P	\$15,001 - \$50,000	
IRA of William L. Owens ⇒ Sysco Corporation (SYY)		05/28/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ Unifi, Inc. New (UFI)		05/28/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ Unifi, Inc. New (UFI)		03/26/2013	P	\$1,001 - \$15,000	
IRA of William L. Owens ⇒ Verizon Communications Inc. (VZ)		05/28/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA of William L. Owens ⇒ Winthrop Realty Trust		05/28/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Stafford, Piller, Plimpton, Kelleher & Trombley Profit Sharing (401k) ⇒ American Growth Funds		08/26/2013	P	\$50,001 - \$100,000	
Stafford, Piller, Plimpton, Kelleher & Trombley Profit Sharing (401k) ⇒ Dodge & Cox Income Fund		08/26/2013	S	\$15,001 - \$50,000	<input type="checkbox"/>
Stafford, Piller, Plimpton, Kelleher & Trombley Profit Sharing (401k) ⇒ T Rowe Price Capital Appreciation		08/26/2013	P	\$50,001 - \$100,000	



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Stafford, Piller, Plimpton, Kelleher & Trombley Profit Sharing (401k) ⇒ T Rowe Price Equity Income Fund		08/26/2013	P	\$50,001 - \$100,000	

\* Asset class details available at the bottom of this form.

## SCHEDULE C: EARNED INCOME

Source	Type	Amount
Mountain Lake Public Television	Spouse Salary	N/A

## SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	NBT Bank	February 2005	Mortgage on Personal Residence, Plattsburgh NY	\$500,001 - \$1,000,000

## SCHEDULE E: POSITIONS

Position	Name of Organization
Member	Quebec-New York Coordinating Council
Member	Plattsburgh State University of New York School of Business Advisory Council
Member	American Legion Post 1619

## SCHEDULE F: AGREEMENTS

Date	Parties To	Terms of Agreement
December 2009	Stafford, Piller, Murnane, Plimpton, Kelleher & Trombley PLLC	Buyout of interest in firm; commenced 1/10/10 fo 60 months at \$2,500 a month.
March 2014	Stafford, Piller, Murnane, Kelleher & Trombley PLLC	Negotiations commenced in March 2014 to return to former law firm upon retirement from Congress. Specific terms of employment and start date have not been determined.

## SCHEDULE G: GIFTS

None disclosed.

## SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

None disclosed.

## **SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA**

None disclosed.

## **SCHEDULE A AND B ASSET CLASS DETAILS**

- IRA of Jane Owens - NBT Bank (Owner: SP)
- IRA of William L. Owens  
DESCRIPTION: IRA of William L. Owens - NBT Bank
- Mountain Lake Public Television TIAA/CREF 403 B (Owner: SP)
- Stafford, Piller, Plimpton, Kelleher & Trombley Profit Sharing (401k)

## **EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION**

**IPO:** Did you purchase any shares that were allocated as a part of an Initial Public Offering?

☐ Yes ☒ No

**Trusts:** Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?

☐ Yes ☒ No

**Exemption:** Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?

☐ Yes ☒ No

## **COMMENTS**

## **CERTIFICATION AND SIGNATURE**

☒ I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

**Digitally Signed:** Mr. William L. Owens , 05/12/2014