

**HAND DELIVERED**

**UNITED STATES HOUSE OF REPRESENTATIVES  
CALENDAR YEAR 2011 FINANCIAL DISCLOSURE STATEMENT**

**FORM A** Page 1 of 10  
For use by Members, officers, and employees

William Lewis Owens

202-225-4611

(Full Name)

(Daytime Telephone)

LEGISLATIVE RESOURCE CENTER  
2012 MAY 10 AM 11:30  
S. HOUSE OF REPRESENTATIVES  
(Office Use Only)

Me

Filer Status ☒ Member of the U.S. House of Representatives

State: NY District: 23

☐ Officer Or Employee

Employing Office:

Report Type ☒ Annual (May 15)

☐ Amendment

☐ Termination

Termination Date:

A \$200 penalty shall be assessed against anyone who files more than 30 days late.

**PRELIMINARY INFORMATION - ANSWER EACH OF THESE QUESTIONS**

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$360 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
II. 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 Schedule II.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$350 from one source)? If yes, complete and attach Schedule VII.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	IX. Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.	

**EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION - ANSWER EACH OF THESE QUESTIONS**

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 <input type="checkbox"/> No <input checked="" type="checkbox"/>
Exemptions-- 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? Do not answer "yes" unless you have first consulted with the Committee on Ethics.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

**SCHEDULE I - EARNED INCOME**

Name William Lewis Owens

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List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000.

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

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name William Lewis Owens

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BLOCK A Asset and/or Income Source		BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
<p>Identify (a) each asset held for investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or source of income which generated more than \$200 in "unearned" income during the year.</p> <p>Provide complete names of stocks and mutual funds (do not use ticker symbols.)</p> <p>For all IRAs and other retirement plans (such as 401(k) plans) that are self-directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the account that exceeds the reporting thresholds. For retirement accounts which are not self-directed, provide only the name of the institution holding the account and its value at the end of the reporting period.</p> <p>For rental or other real property held for investment, provide a complete address.</p> <p>For an ownership interest in a privately-held business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic location in Block A.</p> <p>Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any deposits totaling \$5,000 or less in a personal checking or saving accounts; and any financial interest in, or income derived from, a federal retirement program, including the Thrift Savings Plan.</p> <p>If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC), or is jointly held with your spouse (JT), in the optional column on the far left.</p>		<p>At close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."</p>	<p>Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if the asset generated no income during the reporting period.</p>	<p>For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated.</p>	<p>Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.</p>
	Champlain National Bank Common Stock	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
	Gamsey Road Building Partnership	\$15,001 - \$50,000	RENT	\$15,001 - \$50,000	
	Hydroionic Technologies Common Stock	\$15,001 - \$50,000	None	NONE	
	IRA of Jane Owens- NBT Bank (Attachment 3)	\$1,001 - \$15,000	INTEREST	\$201 - \$1,000	
SP	IRA of William L Owens - NBT Bank (Attachment 1)	\$500,001 - \$1,000,000	DIVIDENDS/INTE REST/CAPITAL GAINS	\$50,001 - \$100,000	

SP	Mountain Lake Public Television TIAA/CREF 403B Plan (Attachment 2)	\$15,001 - \$50,000	DIVIDENDS/INTE REST/CAPITAL GAINS	\$201 - \$1,000	
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**SCHEDULE III - ASSETS AND "UNEARNED" INCOME**

		Name William Lewis Owens		Page 4 of 10	
	NBT Bank Savings	\$100,001 - \$250,000	INTEREST	\$201 - \$1,000	
	NBT Common Stock	\$50,001 - \$100,000	DIVIDENDS	\$5,001 - \$15,000	
	NBT Unexercised Stock Options	\$15,001 - \$50,000	None	NONE	
	Stafford, Owens, Curtin & Murrane Building Partnership	\$250,001 - \$500,000	RENT	\$15,001 - \$50,000	
	Stafford, Piller, Plimpton, Kelleher & Trombley Profit Sharing	\$250,001 - \$500,000	DIVIDENDS/INTE REST/CAPITAL GAINS	\$15,001 - \$50,000	

# SCHEDULE IV - TRANSACTIONS

Name William Lewis Owens

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Intel Corp	P	N/A	2/28/11	\$15,001 - \$50,000
	Altria Group Inc	P	N/A	10/13/11	\$15,001 - \$50,000
	Avista Corp	P	N/A	10/13/11	\$15,001 - \$50,000
	Dodge & Cox International Stock Fund	S(part)	Yes	6/24/11	\$15,001 - \$50,000
	Fidelity Dividend Growth Fund	S(part)	Yes	6/24/11	\$1,001 - \$15,000
	Verizon Communications	S(part)	Yes	6/28/11	\$1,001 - \$15,000
	Intel Corp	S(part)	Yes	6/28/11	\$15,001 - \$50,000
	Nuance Communications	S(part)	Yes	6/28/11	\$1,001 - \$15,000
	Duke Energy Corp	S(part)	Yes	6/28/11	\$15,001 - \$50,000
	Johnson & Johnson	S(part)	Yes	6/28/11	\$1,001 - \$15,000
	Jones Lang Lasalle Inc	S(part)	Yes	6/28/11	\$1,001 - \$15,000

# **SCHEDULE IV - TRANSACTIONS**

Name William Lewis Owens

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain In Excess of \$200?	Date	Amount of Transaction
	Southern Co	S(part)	Yes	6/28/11	\$15,001 - \$50,000

# SCHEDULE V - LIABILITIES

Name William Lewis Owens

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Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless all or part of it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report "revolving charge accounts" (i.e., credit cards) only if the balance at the close of the preceding calendar year exceeded \$10,000. NOTE: Pending legislation may require Members to report mortgages on personal residences.

SP, DC, JT	Creditor	Date Liability Incurred	Type of Liability	Amount of Liability
	NBT Bank	1990	Mortgage on One Cumberland Ave, Plattsburgh NY	\$15,001 - \$50,000
JT	NBT Bank	February 2005	Mortgage on Personal Residence, Plattsburgh, NY	\$500,001 - \$1,000,000

# **SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS**

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Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than \$350 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure-- Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Days not at sponsor's expense
American Israel Education Foundation	8/7/11- 8/15/11	Burlington, VT - Tel Aviv, Israel - Burlington, VT	Y	Y	Y	None
Chinese Culture University	12/27/11- 1/1/12	Montreal-Taipei-Montreal	Y	Y	Y	None
Government of Canada	10/20/11- 10/21/11	Plattsburgh, NY - Ottawa- Plattsburgh	Y	Y	N	None



# SCHEDULE VIII - POSITIONS

Name William Lewis Owens

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Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
See Attached	See Attached

# **SCHEDULE IX - AGREEMENTS**

Name William Lewis Owens

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Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
12/15/09	Stafford, Piller, Murmane, Plimpton, Kelleher & Trombley, PLLC	Buyout of interest in firm; commenced 1/1/10 for 60 months at \$2,500 a month.

**Schedule III Attachment (1)**

**William L. Owens IRA, NBT Bank**

**Note: Aggregate income reported on Schedule III of filing.**

**Misc Cash:**

**Fed Govt MMP #5 - \$250,001-\$500,000**

**Security Mutual Life Insurance Co of NY - \$15,001-\$50,000**

**Federated Capital Preservation – \$250,001-\$500,000**

**Fixed Income Securities:**

**General Electric Cap Corp Med-Term- \$15,001-\$50,000**

**Ishares Barclay US TIPS BD FD- \$100,001-\$250,000**

**Mortgage of Warehouse at Van Buren Street -\$50,001-\$100,000**

**Equities:**

**Dodge & Cox International Stock Fund - \$15,001-\$50,000 – S (part)**

**NBT Bancorp Inc Com/NBT Bancorp INC DVR COM (Merged)- \$100,001-\$250,000**

**Duke Energy Corp - - \$15,001-\$50,000 – S (part)**

**Johnson & Johnson - \$1,001-\$15,000 – S (part)**

**Jones Lang Lasalle - \$1,001-\$15,000 – S (part)**

**Southern Company – \$15,001-\$50,000 – S (part)**

**Nuance Comm - \$15,001-\$50,000 – S (part)**

**Verizon - \$15,001-\$50,000 – S (part)**

**Fidelity Dividend Growth - \$1,001-\$15,000 – S (part)**

**Intel Corp - \$15,001-\$50,000 – (Purchase/S(part))**

**Avista Corp - \$15,001-\$50,000 – (Purchase)**

**Altria Group - \$15,001-\$50,000 – (Purchase)**

**Capital Gains:**

**Dodge & Cox International Stock Fund - \$5,001-\$15,000**

**Duke Energy Corp - \$1,001-\$2,500**

**Johnson & Johnson - \$201-\$1,000**

**Jones Lang Lasalle - \$1,001-\$2,500**

**Southern Company – \$201-\$1000**

**Nuance Comm - \$1,001-\$2,500**

**Verizon - \$1,001-\$2,500**

**Fidelity Dividend Growth - \$201-\$1,000**

**Intel Corp - \$201-\$1,000**

**Schedule III Attachment (2)**

**Jane Owens – Mountain Lake Public Television TIAA/CREF 403 (B) Plan**

**Note: Aggregate income reported on Schedule III of filing.**

**Guaranteed:**

TIAA Traditional – \$1,001-\$15,000.

**Equities:**

CREF Stock –\$1,001-\$15,000.

**Real Estate:**

TIAA Real Estate- \$1-\$1,000

**Fixed Income:**

CREF Infl Linked Bond- \$1-\$1,000

**Schedule III Attachment (3)**

**IRA of Jane Owens –NBT Bank**

**Note: Aggregate income reported on Schedule III of filing.**

**Misc Cash:**

**Fed Govt MMP 5: \$1,001-\$15,000**

**Schedule VIII – Positions**

**Member – Quebec-New York Coordinating Council**

**Member– Plattsburgh State University of New York School of Business Advisory Council**

**Member- American Legion Post 1619**