

## Periodic Transaction Report

**HAND  
DELIVERED**

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## 1501 ADVISORY BOARD

2015 SEP 28 PM 3:20

U.S. HOUSE OF REPRESENTATIVES

**(For Official Use Only)**

Fred Upston

202  
PHONE: 225-3761

Member of the U.S. House of Representatives

State: NY District: 6

**File an original and 2 copies**

Officer or Employee

Employing Office: \_\_\_\_\_

**File an original and 1 copy**

Did you purchase any shares that were allocated as a part of an Initial Public Offering? ☐ ☒

☐ Yes

☒ No

**If you answered "yes" to this question, please contact the Committee on Ethics for further guidance.**

Please indicate whether this is an initial report or an amended report. For amendments, please provide the date of the report you are amending.

☒ 1.01 Budget

**Amendment**

Date of Report Being Amended:

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

[illegible]

## Periodic Transaction Report

Caplan

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[illegible]

NOTE NUMBER	FILER NOTES (optional)
	All of these purchases/trades are within accounts managed w/o my control or direction by N. Trust or T.P. Moore Chast.