

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

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

**HAND DELIVERED**  
LEGISLATIVE RESOURCE CENTER

Rep. Steve Stivers

614-771-4968

(Full Name)

(Daytime Telephone)

2012 JUN 15 AM 9:19

OFFICE OF THE CLERK  
(Office Use Only)

Filer Status	<input checked="" type="checkbox"/> Member of the U.S. House of Representatives	State: OH District: 15	<input type="checkbox"/> Officer Or Employee	Employing Office:	A \$200 penalty shall be assessed against anyone who files more than 30 days late.
Report Type	<input checked="" type="checkbox"/> Annual (May 15)	<input type="checkbox"/> Amendment	<input type="checkbox"/> Termination	Termination Date:	

## 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 \$350 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 type="checkbox"/> No <input checked="" 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 type="checkbox"/> No <input checked="" 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 type="checkbox"/> No <input checked="" 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 Rep. Steve Stivers

Page 2 of 10

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
State of Ohio	Spouse Income	\$15,250.23

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Rep. Steve Silvers

Page 3 of 10

## BLOCK A

### Asset and/or Income Source

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.

Provide complete names of stocks and mutual funds (do not use ticker symbols.)

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.

For rental or other real property held for investment, provide a complete address.

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.

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.

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.

## BLOCK B

### Year-End Value of Asset

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."

## BLOCK C

### Type of Income

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.

## BLOCK D

### Amount of Income

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.

## BLOCK E

### Transaction

Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.

	Asset and/or Income Source	Year-End Value of Asset	Type of Income	Amount of Income	Transaction
	PNC - Savings	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
	Chase Bank - Checking	\$1,001 - \$15,000	None	NONE	
SP	Huntington Bank - Checking	\$1,001 - \$15,000	None	NONE	
SP	Huntington Bank - Savings	\$1,001 - \$15,000	None	NONE	
DC	Huntingon Bank - Savings	\$1,001 - \$15,000	None	NONE	
JT	Arlington Bank - Savings	\$1,001 - \$15,000	INTEREST	\$1 - \$200	

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Rep. Steve Stivers

Page 4 of 10

	Chase Roth IRA	See Below			
	- JP Morgan US Treasury	\$1 - \$1,000	None	NONE	
	- Palomar Med. Technologies	\$1 - \$1,000	None	NONE	
	JP Morgan Chase 401K	See Below			
	- Common Stock Fund	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000	
	- S&P 500 Index Fund	\$50,001 - \$100,000	None	NONE	
	JP Morgan Chase Retirement (Pension) Acct.	\$50,001 - \$100,000	CAPITAL GAINS/DIVIDENDS	\$201 - \$1,000	S(part)

	Fidelity Inv. Retirement	See Below			
	- Dodge & Cox Stock	\$1,001 - \$15,000	DIVIDENDS/INTE REST	\$201 - \$1,000	
	Ohio PERS Pension Acct.	\$50,001 - \$100,000	None	NONE	
SP	Ohio PERS	See Below			
	- Defined Benefit	\$1,001 - \$15,000	None	NONE	
	- OPERS Bond Index Fund	\$1,001 - \$15,000	None	NONE	
	- OPERS Stock Index Fund	\$1,001 - \$15,000	None	NONE	

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Rep. Steve Stivers

Page 5 of 10

- OPERS Large Cap Index Fund	\$15,001 - \$50,000	None	NONE	
- OPERS Small Cap Index Fund	\$1,001 - \$15,000	None	NONE	
- OPERS Non-US Stock Index Fund	\$1,001 - \$15,000	None	NONE	
Citigroup (CGM) Morgan Stanley Smith Barney IRA	See Below			
- Bank Deposit Program	\$1 - \$1,000	None	NONE	
- Franklin Mutual Fund	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000	
- Wells Fargo Mutual Fund	\$15,001 - \$50,000	DIVIDENDS	\$1 - \$200	
Zua Stivers Trust	See Below			
- 1st Amer. Treasury	\$1,001 - \$15,000	None	NONE	
- Credit Suisse Comm Ret	\$1,001 - \$15,000	None	NONE	
- Nuveen Intermed Tax Free (formerly known as 1st Am. Tx Free Fund)	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000	
- Nuveen Short Tax Free (formerly known as 1st Am. Short Tax Free Fund)	None	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	S
- Bristol M. Squibb Stock	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	
- Exxon Mobile Stock	\$1,001 - \$15,000	DIVIDENDS/CAPITAL GAINS	\$1,001 - \$2,500	S(part)

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Rep. Steve Stivers

Page 6 of 10

- First Energy Stock	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
- GE Stock	\$1,001 - \$15,000	DIVIDENDS/CAPITAL GAINS	\$2,501 - \$5,000	S(part)
- JP Morgan Chase Stock	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	
- Procter & Gamble Stock	\$1,001 - \$15,000	DIVIDENDS/CAPITAL GAINS	\$2,501 - \$5,000	S(part)
- Verizon Stock	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
- Farmland in Crawford-Marion County, OH	\$100,001 - \$250,000	RENT	\$2,501 - \$5,000	
- Qwest Commons Intl	None	Securities class action settlement	\$1 - \$200	
AJ Stivers Trust	See Below			
- Blackrock Funds	None	DIVIDENDS	\$1 - \$200	E
- Blackrock Liquidity Fund	\$1 - \$1,000	INTEREST	\$1 - \$200	PS(part)
- Blackrock Total Return Mutual Fund	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	E
- Procter & Gamble Stock	\$100,001 - \$250,000	DIVIDENDS	\$5,001 - \$15,000	
- JM Smucker Stock	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
- Real Estate (Ripley, OH)	\$1,001 - \$15,000	RENT	\$1 - \$200	

# **SCHEDULE III - ASSETS AND "UNEARNED" INCOME**

Name Rep. Steve Stivers					Page 7 of 10
- Real Estate (Wheeler County, TX)	\$1,001 - \$15,000	RENT	\$1 - \$200		
Am. Equity Inv. Whole Life Cash Value	\$1,001 - \$15,000	None	NONE		
Northwestern Mutual Whole Life (XX-XXX-504)	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000		

# SCHEDULE IV - TRANSACTIONS

Name Rep. Steve Stivers

Page 8 of 10

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
	Zua Stivers Trust (Taxpayer) - BELOW				
	- Nuveen Short Tax Free (partial sale)	S(part)	Yes	2-07-11	\$1,001 - \$15,000
	- Nuveen Short Tax Free (sale)	S	Yes	10-11-11	\$15,001 - \$50,000
	- Exxon Mobile Stock (partial sale)	S(part)	Yes	10-13-11	\$1,001 - \$15,000
	- GE Stock (partial sale)	S(part)	Yes	10-13-11	\$1,001 - \$15,000
	- Procter & Gamble Stock (partial sale)	S(part)	Yes	10-13-11	\$1,001 - \$15,000
	AJ Stivers Trust (Taxpayer) - BELOW				
	- Blackrock Liquidity Fund (partial purchase)	P	N/A	2-28-11	\$1,001 - \$15,000
	- Blackrock Liquidity Fund (partial sale)	S(part)	No	3-31-11	\$1,001 - \$15,000
	- Blackrock Liquidity Fund (partial purchase)	P	N/A	5-31-11	\$1,001 - \$15,000
	- Blackrock Liquidity Fund (partial sale)	S(part)	No	6-30-11	\$1,001 - \$15,000



# SCHEDULE IV - TRANSACTIONS

Name Rep. Steve Stivers

Page 9 of 10

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
	- Blackrock Funds (exchange due to merger of funds)	E	N/A	7-15-11	\$1,001 - \$15,000
	- Blackrock Total Return (exchange due to merger of funds)	E	N/A	7-15-11	\$1,001 - \$15,000
	- Blackrock Liquidity Fund (partial purchase)	P	N/A	8-31-11	\$1,001 - \$15,000
	- Blackrock Liquidity Fund (partial sale)	S(part)	No	9-30-11	\$1,001 - \$15,000
	- Blackrock Liquidity Fund (partial purchase)	P	N/A	11-30-11	\$1,001 - \$15,000
	- Blackrock Liquidity Fund (partial sale)	S(part)	No	12-30-11	\$1,001 - \$15,000
	JP Morgan Chase Retirement (Pension) Acct.	S(part)	Yes	5-16-11	\$1,001 - \$15,000

# SCHEDULE V - LIABILITIES

Name Rep. Steve Stivers

Page 10 of 10

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
	Chase Bank*	August 2002	First Mortgage on Residence in Columbus, OH	\$15,001 - \$50,000
	Chase Bank*	August 2002	Second Mortgage on Residence in Columbus, OH	\$15,001 - \$50,000
	The Arlington Bank	August 2011	Home Equity Line	\$15,001 - \$50,000
	Wells Fargo Bank	August 2011	Mortgage on Residence in Upper Arlington, OH	\$250,001 - \$500,000
	* Mortgages were paid off in July 2011.			