

UNITED STATES HOUSE OF REPRESENTATIVES
CALENDAR YEAR 2011 FINANCIAL DISCLOSURE STATEMENT

Form A
 For use by Members, officers, and employees

Name: Fred Upton Daytime Telephone: 202-225-3761

Filer Status	<input checked="" type="checkbox"/> Member of the U.S. House of Representatives	State: <u>Michigan</u> District: <u>6</u>	<input type="checkbox"/> Officer or Employee	Employing Office:
Report Type	<input checked="" type="checkbox"/> Annual (May 15, 2012)	<input type="checkbox"/> Amendment	<input type="checkbox"/> Termination	Termination Date:

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

HAND DELIVERED
 LEGISLATIVE RESOURCE CENTER
 2012 MAY 15 PM 1:37
 OFFICE USE ONLY - MEMBERS

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 type="checkbox"/> No <input checked="" 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 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 a 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?

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? Do not answer "yes" unless you have first consulted with the Committee on Ethics.

Yes ☐ No ☒
 Yes ☐ No ☒

Name	Upton
Page	2 of 17

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name

Upton

Page

3 of 4

BLOCK A		BLOCK B												BLOCK C								BLOCK D											BLOCK E	
Asset and/or Income Source		Year-End Value of Asset												Type of Income								Amount of Income											Transaction	
SP, DC, JT		A None	B \$1 – \$1,000	C \$1,001 – \$15,000	D \$15,001 – \$50,000	E \$50,001 – \$100,000	F \$100,001 – \$250,000	G \$250,001 – \$500,000	H \$500,001 – \$1,000,000	I \$1,000,001 – \$5,000,000	J \$5,000,001 – \$25,000,000	K \$25,000,001 – \$50,000,000	L Over \$50,000,000	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	I None	II \$1 – \$200	III \$201 – \$1,000	IV \$1,001 – \$2,500	V \$2,501 – \$5,000	VI \$5,001 – \$15,000	VII \$15,001 – \$50,000	VIII \$50,001 – \$100,000	IX \$100,001 – \$1,000,000	X \$1,000,001 – \$5,000,000	XI Over \$5,000,000	P, S, E	
JT	Whisper! stock																																	
JT	5th 3rd Bank Accts						X								X			X								X								
JT	W. R. Thomas Card. Fdn. Acct							X									X									X								
JT	Edgewater Bank CD's							X									X									X								
JT	TP Morgan Checking Accts				X												X																	
JT	Hillwood Lyons 98 mkt/fund						X										X																	
SP	AT&T					X									X																			
SP	Altria Group																																	
SP	BP PLC					X									X											X								
SP	Beam Inc														X																			
SP	British Nysys Squibs					X									X																			
SP	Comcast Corp Class A					X									X																			
JT	Chesapeake Energy					X									X																			
SP	Directv Cl. A														X																			
SP	Dow Chemical					X									X																			
SP	Exxon Mobil							X							X																			
SP	Fortune Brands																																	
SP	General Electric					X									X																			
SP	IBM														X																			
JT	TP Morgan - Chase														X																			
SP	Procter & Johnson														X																			

Continuation Sheet (if needed)

Up to

Page 4 of 17

This page may be copied if more space is required.

Continuation Sheet (if needed)

Wotton

5/2/77

This page may be copied if more space is required.

Continuation Sheet (if needed)

Updon

Page 6 of 14

This page may be copied if more space is required.

Continuation Sheet (if needed)

Upston

Page 7 of 17

This page may be copied if more space is required.

Continuation Sheet (if needed)

Upton

Page 8 of 17

This page may be copied if more space is required.

9/17/2003

9/17/2003

This page may be copied if more space is required.

SCHEDULE III—ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name

Up to 17

Page 10 of 17

SP, DC, JT	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																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																												
		A	B	C	D	E	F	G	H	I	J	K	L	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	I	II	III	IV	V	VI	VII	VIII	IX	X	XI																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																														
		None	\$1 – \$1,000	\$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	\$1,000,001 – \$5,000,000	\$5,000,001 – \$25,000,000	\$25,000,001 – \$50,000,000	Over \$50,000,000									None	\$1 – \$200	\$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	\$1,000,001 – \$5,000,000	Over \$5,000,000																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																														
	DB 95% APOL EX Budget																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																													</

SCHEDULE III—ASSETS AND “UNEARNED” INCOME

Continuation Sheet (if needed)

Name

Upston

Page 11 of 17

BLOCK A		BLOCK B													BLOCK C								BLOCK D											BLOCK E
Asset and/or Income Source		Year-End Value of Asset													Type of Income								Amount of Income											Transaction
SP, DC, JT		A	B	C	D	E	F	G	H	I	J	K	L	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	P, S, E	
	None																																	
	\$1 – \$1,000																																	
	\$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																																	
	\$1,000,001 – \$5,000,000																																	
	\$5,000,001 – \$25,000,000																																	
	\$25,000,001 – \$50,000,000																																	
	Over \$50,000,000																																	
DR	Stylen																																	
	Eschors Barclays Tips Bond Fund																																	
	Eschors S&P 500 S&P Index																																	
	TRone High Yield Bond																																	
	Manell Technology Group																																	
	Wade Corp																																	
	Abbott Labs																																	
	Alliant Corp																																	
	Amesbury Fund																																	
	Amherst Resch																																	
	Apache Corp																																	
	Apple Inc																																	
	Arnold Corp																																	
	Bard Corp																																	
	CARD FIVE Group																																	
	Capital One Fin																																	
	Cherem																																	
	Conquest Corp CL A																																	
	Deere & Co.																																	
	East West Bancorp																																	
	Fed-Ex																																	

Continuation Sheet (if needed)

Up to

Page 12 of 17

BLOCK A	BLOCK B	BLOCK C	BLOCK D	BLOCK E
Asset and/or Income Source	Year-End Value of Asset	Type of Income	Amount of Income	Transaction
SP, DC, JT	A None B \$1 - \$1,000 C \$1,001 - \$15,000 D \$15,001 - \$50,000 E \$50,001 - \$100,000 F \$100,001 - \$250,000 G \$250,001 - \$500,000 H \$500,001 - \$1,000,000 I \$1,000,001 - \$5,000,000 J \$5,000,001 - \$25,000,000 K \$25,000,001 - \$50,000,000 L Over \$50,000,000	NONE DIVIDENDS RENT INTEREST CAPITAL GAINS EXCEPTED/BLIND TRUST TAX-DEFERRED Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	I None II \$1 - \$200 III \$201 - \$1,000 IV \$1,001 - \$2,500 V \$2,501 - \$5,000 VI \$5,001 - \$15,000 VII \$15,001 - \$50,000 VIII \$50,001 - \$100,000 IX \$100,001 - \$1,000,000 X \$1,000,001 - \$5,000,000 XI Over \$5,000,000	P, S, E
F5 Networks	X			
Fidelity ADV Small cap	X			
Citigroup Securities Inc.	X			
Google Inc, et al	X			
Honeywell Intl	X			
Isheues 7R MISC Emg Hk	X			
Techstars MSC1 DATA Index	X			
JP Morgan Chase & Co.	X			
Joy Global Bus	X			
Kellogg	X			
Kahle's	X			
MBA Business Group	X			
Mastercard	X			
Millerson Corp	X			
Nvidia Health	X			
Medtronics	X			
Moody's	X			
Mylen	X			
National Oilwell	X			
Oracle Corp	X			
PNC Financial Services	X			

Page 13 of 17

Upston

This page may be copied if more space is required.

Page 14 of 17

Type of Transaction		Date		Amount of Transaction									
PURCHASE	SALE	(MO/DAY/YR) or Quarterly, Monthly, or Bi-weekly, if applicable		A	B	C	D	E	F	G	H	I	J
Check Box if Capital Gain Exceeded \$200				\$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	\$1,000,001-\$5,000,000	\$5,000,001-\$25,000,000	\$25,000,001-\$50,000,000	Over \$50,000,000

[illegible]

SCHEDULE V— LIABILITIES

Name

Caprice

Page

15 of 17

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 it is rented out); loans secured by automobiles, household furniture, or appliances; liabilities of a business in which you own an interest (unless you are personally liable); 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 Mo/Year	Type of Liability	Amount of Liability										
				A	B	C	D	E	F	G	H	I	J	
	Example: First Bank of Wilmington, DE	May 1998	Mortgage on 123 Main St., Dover, DE	\$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	\$1,000,001-\$5,000,000	\$5,000,001-\$25,000,000	\$25,000,001-\$50,000,000	Over \$50,000,000	
JT	J.P. Morgan	Oct, 2010	Home Equity Line of Credit		X									
JT	Chase Home Finance	04, 2010	Home Mortgage					X						

SCHEDULE VI— GIFTS

Report the source, a brief description, and the value of all gifts totalling more than \$350 received by you, your spouse, or a dependent child from any source during the year. **Exclude:** Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of \$140 or less need not be added towards the \$350 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Ethics)	\$375
	<i>None</i>	

Name	WOTON
Page	16 of 17

[illegible]

Page 17 of 17

Exclude: Positions listed on Schedule I; positions held in any religious, social, fraternal, or political entities (such as political parties and campaign organizations); and positions solely of an honorary nature.

Position	Name of Organization
Limited Partner	SEU (Captor) Limited Partnership Captex Asset Mgt Corp is con.
	Partner of SEU Limited Partnership
Board Member	Aspen Institute
Board Member	Socbaurst Michigan First

SCHEDULE IX—AGREEMENTS

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.

[illegible]