

# UNITED STATES HOUSE OF REPRESENTATIVES CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATEMENT

**FORM A**  
For use by Members, officers, and employees

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SPENCER T. BACHUS, III  
(Full Name)

(202) 225-4921  
(Daytime Telephone)

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

State: AL  
District: 06

☐ Officer Or Employee

Employing Office:

**Report Type**  
☒ Annual (May 15)

☐ Amendment

☐ Termination

Termination Date:

3. If you are a filer, you must 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 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 \$335 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 \$335 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 \$1,000 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

<b>Trusts--</b> 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"/>
<b>Exemptions--</b> 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"/>

LEGISLATIVE PROCEEDINGS CENTER

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# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name SPENCER T. BACHUS, III

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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 financial institution; any other institution; any other asset or source of income.	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.
CALL (FX) ISHARES OCT 43	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
CALL (QQQ) POWER SHARES APR 46	None	CAPITAL GAINS	\$201 - \$1,000	PS
CALL (QQQ) POWER SHARES MAR 44	None	CAPITAL GAINS	\$201 - \$1,000	PS
SP CITIBANK NA	\$1 - \$1,000	INTEREST	\$1 - \$200	
CONGRESSIONAL FED CR UN	\$1 - \$1,000	INTEREST	\$1 - \$200	
FIDELITY INVESTMENTS	\$1 - \$1,000	DIVIDENDS/CAPITAL GAINS	\$1 - \$200	PS(part)

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

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SP	FIDELITY INVESTMENTS	\$1 - \$1,000	DIVIDENDS	\$1 - \$200	PS(part)
SP	PACIFIC LIFE ANNUITY	\$250,001 - \$500,000	INTEREST	NONE	
SP	PUT (FSI ) TR FTSE SEP	None	CAPITAL GAINS	\$201 - \$1,000	PS
	PUT (FXI) ISHARES AUG 42	None	CAPITAL GAINS	\$201 - \$1,000	PS
	REGIONS	\$1 - \$1,000	INTEREST	\$1 - \$200	
SP	REGIONS	\$1,001 - \$15,000	INTEREST	\$201 - \$1,000	
SP	SMITH BARNEY IRA	\$100,001 - \$250,000	DIVIDENDS/INTE REST/CAPITAL GAINS	NONE	
SP	SOUTHWOOD PROPERTIES	\$100,001 - \$250,000	RENT	\$2,501 - \$5,000	
SP	WESTERN ASSET MM	\$50,001 - \$100,000	INTEREST	\$201 - \$1,000	E

# SCHEDULE IV - TRANSACTIONS

Name SPENCER T. BACHUS, III

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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
	CALL (FXI) ISHARES FEB 44	P	N/A	02-04-10	\$1,001 - \$15,000
	CALL (FXI) ISHARES FEB 44	S	No	02-22-10	\$1,001 - \$15,000
	CALL (FXI) ISHARES JUN 35	P	N/A	05-11-10	\$1,001 - \$15,000
	CALL (FXI) ISHARES JUN 35	S	No	06-21-10	\$1,001 - \$15,000
	CALL (FXI) ISHARES JUN 36	P	N/A	06-10-10	\$1,001 - \$15,000
	CALL (FXI) ISHARES JUN 36	S	No	06-21-10	\$1,001 - \$15,000
	CALL (FXI) ISHARES OCT 43	P	N/A	09-09-10	\$1,001 - \$15,000
	CALL (FXI) ISHARES OCT 43	S	Yes	10-18-10	\$1,001 - \$15,000
	CALL (QQQ) POWER SHARE APR 46	S	Yes	04-19-10	\$1,001 - \$15,000
	CALL (QQQ) POWER SHARES APR 46	P	N/A	03-23-10	\$1,001 - \$15,000
	CALL (QQQ) POWER SHARES MAR 44	S	Yes	03-22-10	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

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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
	CALL (QQQ) POWER SHARES MAR 44	P	N/A	03-08-10	\$1,001 - \$15,000
SP	PROSHARES ULTRA SHORT 100 FD	P	N/A	01-02-10	\$1,001 - \$15,000
SP	PROSHARES ULTRA SHORT 100 FD	S	No	07-27-10	\$1,001 - \$15,000
SP	PUT (FSI) ISHARES FTSE AUG	P	N/A	07-03-10	\$1,001 - \$15,000
SP	PUT (FSI) ISHARES FTSW SEP	P	N/A	07-29-10	\$1,001 - \$15,000
	PUT (FXI) ISHARES AUG 38	S	No	08-23-10	\$1,001 - \$15,000
	PUT (FXI) ISHARES AUG 38	P	N/A	08-11-10	\$1,001 - \$15,000
	PUT (FXI) ISHARES AUG 42	S	Yes	08-23-10	\$1,001 - \$15,000
	PUT (FXI) ISHARES AUG 42	P	N/A	07-27-10	\$1,001 - \$15,000
SP	PUT (FXI) ISHARES FTSE AUG	S	No	08-23-10	\$1,001 - \$15,000
SP	PUT (FXI) ISHARES FTSE SEP	S	Yes	08-25-10	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	PUT (FXI) ISHARES JUL 39	S	No	07-19-10	\$1,001 - \$15,000
	PUT (FXI) ISHARES JUL 39	P	N/A	07-16-10	\$1,001 - \$15,000
	PUT (FXI) ISHARES JUL 40	P	N/A	07-13-10	\$1,001 - \$15,000
	PUT (FXI) ISHARES JUL 40	S	No	07-15-10	\$1,001 - \$15,000
	PUT (QQQ) POWER SHARES APR 48	S	No	04-19-10	\$1,001 - \$15,000
	PUT (QQQ) POWER SHARES APR 48	P	N/A	04-12-10	\$1,001 - \$15,000

**SCHEDULE V - LIABILITIES**

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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.

SP, DC, JT	Creditor	Date Liability Incurred	Type of Liability	Amount of Liability
	BBVA COMPASS BANK	OCT 2010	OPEN BANK LOAN	\$15,001 - \$50,000