

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

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

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Marcia (Marcy) C. Kaptur  
(Full Name)

(Daytime Telephone)

**Filer Status**  
☒ Member of the U.S. House of Representatives  
State: OH District: 09

☐ 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.

2013 MAY 15 PM 3:01  
(Office Use Only)

## 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?	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)?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
If yes, complete and attach Schedule I.		If yes, complete and attach Schedule VI.	
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?	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)?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
If yes, complete and attach Schedule II.		If yes, complete and attach Schedule VII.	
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?	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?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
If yes, complete and attach Schedule III.		If yes, complete and attach Schedule VIII.	
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?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	IX. Did you have any reportable agreement or arrangement with an outside entity?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
If yes, complete and attach Schedule IV.		If yes, complete and attach Schedule IX.	
V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>		
If yes, complete and attach Schedule V.			

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"/>

**HAND DELIVERED**

*MC*

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Marcia (Marcy) C. Kaptur

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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
<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 sources 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. 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>
<p>1848 Rivard Rd., Toledo, OH 43615</p>	<p>\$50,001 - \$100,000</p>	<p>No renter or rental income for 2011.</p>	<p>NONE</p>	
<p>1854 Harlan Rd, Toledo, OH 43615</p>	<p>\$50,001 - \$100,000</p>	<p>RENT</p>	<p>\$5,001 - \$15,000</p>	
<p>5151 Fleet Rd., Toledo, OH 43615</p>	<p>\$50,001 - \$100,000</p>	<p>No renter or rental income for 2011.</p>	<p>NONE</p>	

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Marcia (Marcy) C. Kaptur

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Congressional Federal Credit Union \$1,001 - \$15,000

INTEREST-funds accrued in this separate account are from foregone congressional pay (raises) and are distributed annually to charitable causes

DFA Global Fixed Income 1 yr (Mutual Fund) \$1,001 - \$15,000

DIVIDENDS \$1 - \$200

S(part)

DFA Global Fixed Income 2 yr (Mutual Fund) \$1,001 - \$15,000

DIVIDENDS \$1 - \$200

S(part)

DFA Selectively Hedged Fixed Income \$1,001 - \$15,000

DIVIDENDS \$201 - \$1,000

DFA U.S. Core Equity I \$1,001 - \$15,000

DIVIDENDS \$1 - \$200

Key Bank \$1,001 - \$15,000

INTEREST \$1 - \$200

PNC Bank \$15,001 - \$50,000

INTEREST on Certificate of Deposit \$1,001 - \$2,500

RBS Citizens Bank \$15,001 - \$50,000

INTEREST on Certificate of Deposit \$201 - \$1,000

Schwab Money Market \$1,001 - \$15,000

None NONE

Suburban Federal Credit Union \$1,001 - \$15,000

INTEREST \$1 - \$200

Transamerica Individual Retirement Annuity \$50,001 - \$100,000

INTEREST \$1,001 - \$2,500

not a self directed IRA

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

Name Marcia (Marcy) C. Kaptur

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U.S. Savings Bonds	\$50,001 - \$100,000	None	NONE	
Vanguard Inflation Protected Bonds (IPB)	None	DIVIDENDS/Capit al Gain	\$201 - \$1,000	S
Vanguard Short Term Bond	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
Vanguard Short Term Corp	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	

**SCHEDULE IV - TRANSACTIONS**

Name Marcia (Marcy) C. Kaptur

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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
	DFA 1 Year Fixed Income	S(part)	No	6-27-2011	\$1,001 - \$15,000
	DFA 2 Year Global Fixed Income	S(part)	No	11-28-2011	\$1,001 - \$15,000
	Vanguard Inflation Protected Bonds	S(part)	Yes	8-10-2011	\$1,001 - \$15,000
	Vanguard Short Term Bond	P	N/A	8-10-2011	\$1,001 - \$15,000

**SCHEDULE V - LIABILITIES**

Name Marcia (Marcy) C. Kaptur

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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
	Congressional Federal Credit Union	June 2011	Mortgage on Washington D.C. area condominium apartment used for temporary residence while Congress is in session. No mortgage on permanent/primary residence in Ohio.	\$250,001 - \$500,000

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

Name Marcia (Marcy) C. Kaptur

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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
Oranim College, Kiryat Tivon, Israel	Feb 19-23	DC-Tel Aviv-DC	Y	Y	N	None

**SCHEDULE VIII - POSITIONS**

Name Marcia (Marcy) C. Kaptur

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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
Trustee	The Anastasia Fund, P.O. Box 2121, Toledo, OH 43603. [a charity established in the names of Anastasia and Stephen Kaptur]