

**HAND
DELIVERED**

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LEGISLATIVE RESOURCE CENTER

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(Office Use Only) CLERK
U.S. HOUSE OF REPRESENTATIVES

**UNITED STATES HOUSE OF REPRESENTATIVES
2016 FINANCIAL DISCLOSURE STATEMENT**

Form A
For Use by Members, Officers, and Employees

Name: Fred Upton Daytime Telephone: 202 225-3761

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

FILER STATUS	<input checked="" type="checkbox"/> Member of the U.S. House of Representatives	State: <u>MI</u> District: <u>6</u>	<input type="checkbox"/> Officer or Employee	Employing Office: _____	Staff Filer Type: (If Applicable) <input type="checkbox"/> Shared <input type="checkbox"/> Principal Assistant <input type="checkbox"/>
REPORT TYPE	<input checked="" type="checkbox"/> 2016 Annual (Due: May 15, 2017)	<input type="checkbox"/> Amendment	Date of Termination: _____		

PRELIMINARY INFORMATION - ANSWER EACH OF THESE QUESTIONS

But the trusts of which I have no control/did so that and I have included those stock trades & assets

A. Did you, your spouse, or your dependent child: a. Own any reportable asset that was worth more than \$1,000 at the end of the reporting period? <u>or</u> b. Receive more than \$200 in unearned income from any reportable asset during the reporting period?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	F. Did you have any reportable agreement or arrangement with an outside entity during the reporting period or in the current calendar year up through the date of filing?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
B. Did you, your spouse, or your dependent child purchase, sell, or exchange any securities or reportable real estate in a transaction exceeding \$1,000 during the reporting period? <i>✓</i>	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	G. Did you, your spouse, or your dependent child receive any reportable gift(s) totaling more than \$375 in value from a single source during the reporting period?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
C. Did you or your spouse have "earned" income (e.g., salaries, honoraria, or pension/IRA distributions) of \$200 or more during the reporting period?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	H. Did you, your spouse, or your dependent child receive any reportable travel or reimbursements for travel totaling more than \$375 in value from a single source during the reporting period?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
D. Did you, your spouse, or your dependent child have any reportable liability (more than \$10,000) at any point during the reporting period?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	I. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article during the reporting period?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
E. Did you hold any reportable positions during the reporting period or in the current calendar year up through the date of filing?			
ATTACH THE CORRESPONDING SCHEDULE IF YOU ANSWER "YES"			

IPO AND EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION - ANSWER EACH OF THESE QUESTIONS

IPO - Did you purchase any shares that were allocated as a part of an Initial Public Offering during the reporting period? If you answered "yes" to this question, please contact the Committee on Ethics for further guidance.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
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 that benefits you, your spouse, or dependent child?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
EXEMPTION - Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or your 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"/>

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Use additional sheets if more space is required

SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: Upston

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BLOCK A Assets and/or Income Sources		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income												BLOCK E Transaction			
SP, DC, JT	ASSET NAME	EIF	A	B	C	D	E	F	G	H	I	J	K	L	M	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	XII	P, S, Sp(art), or 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	Spouse/DC Asset over \$1,000,000*									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	Spouse/DC Asset with Income over \$1,000,000*		
S	Comcast cl. A				X											X																					
S	Dow Chemical				X											X																					
S	Exxon Mobil								X							X																					
S	Forster Bonds				X											X																					
S	G.E.						X									X																					
S	IBM						X									X																					
S	Meal Johnson N.Y.						X									X																					
S	Monaco						X									X																					
S	Pfizer						X									X																					
S	Philip Morris Int'l						X									X																					
S	Past Holdings						X									X																					
S	Raytheon						X									X																					
S	Synchro Fininvest						X									X																					
S	21st Cent. Fox CCA						X									X																					
S	Verizon						X									X																					
SP	Whisper!															X																					

SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name:

Up ten

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BLOCK A Assets and/or Income Sources		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income												BLOCK E Transaction	
SP, DC, JT	ASSET NAME	A	B	C	D	E	F	G	H	I	J	K	L	M	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	XII	P, S, S(part), or 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	Spouse/DC Asset over \$1,000,000*																					
	<i>Zoe tis</i>				X										X																				
	<i>S Vanguard Int. (VRILX)</i>						X								X																				
	<i>S Patten Cldl Eq.</i>			X											X																				
	<i>Prudential Mutual Ins.</i>														X																				
	<i>NY Life Ins.</i>				X										X																				
	<i>S Nationwide Ins.</i>			X											X																				
	<i>Mass Mutual Ins.</i>								X						X																				

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SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name:

Lydon

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BLOCK A Assets and/or Income Sources		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income												BLOCK E Transaction		
SP, DC, JT	ASSET NAME	A	B	C	D	E	F	G	H	I	J	K	L	M	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	XII	P, S, S(part), or 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	Spouse/DC Asset over \$1,000,000*									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	Spouse/DC Asset with Income over \$1,000,000*		
	<i>These trusts not managed or controlled by me - These are managed by J.P. Morgan</i>																																			
	<i>Trusts total value =</i>																																			
	<i>Composed of:</i>																																			
	<i>Whisper! (CML)</i>																																			
	<i>SPDR (SPY)</i>																																			
	<i>SPM 600 (SP6M)</i>																																			
	<i>EShows (EFA)</i>																																			
	<i>SPM (SPMEX)</i>																																			
	<i>U.S. Dollar (USDPRMT)</i>																																			
	<i>Action 30T (APDEX)</i>																																			
	<i>BBT Core S. (BBTEX)</i>																																			
	<i>Parasites Core (PRUX)</i>																																			
	<i>Dodge & Cox (DODFX)</i>																																			
	<i>JPM MGT BND (PCMVX)</i>																																			
	<i>MTG MBS (CAPTX)</i>																																			

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Use additional sheets if more space is required.

SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name:

Upston

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BLOCK A Assets and/or Income Sources		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income												BLOCK E Transaction		
SP, DC, JT	ASSET NAME	A	B	C	D	E	F	G	H	I	J	K	L	M	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	XII	P, S, S(part), or 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	Spouse/DC Asset over \$1,000,000*									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	Spouse/DC Asset with Income over \$1,000,000*		
	<i>J.P. Morgan</i>																																			
	Metropolitan Nat (MUTX)			X																																
	Blackrock Int (BTMXX)				X																															
	MFS Int (MINIX)					X																														
	Newberry Bond (NBYLX)						X																													
	J.Hancock Bond (JLVIX)							X																												
	SPM Muni (SLTAX)								X																											
	Microsoft (MSFT)							X																												
	Worlds Fargo (WFC)								X																											
	Pineco LifeSci (PFLIX)									X																										
	Procter & Gamble (PGIX)										X																									
	Johnson & Johnson (JNJ)											X																								
	Boji-Lyns (BLMY)												X																							
	Newberry Bond (NBYLX)													X																						
	CRM Longshort (CRISA)														X																					
	Blackrock Bond (BTMXX)																																			
	Upston Vance (UVCIX)																																			

SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name:

Spitzer

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BLOCK A Assets and/or Income Sources		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income												BLOCK E Transaction		
SP, DC, JT	ASSET NAME	A	B	C	D	E	F	G	H	I	J	K	L	M	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	XII		
		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	Spouse/DC Asset over \$1,000,000*									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	Spouse/DC Asset with Income over \$1,000,000*		
	<i>J.P. Morgan</i>																																			
	<i>GE (GE)</i>			X																																
	<i>Lowes (LOW)</i>			X																																
	<i>Time Warner (TWX)</i>			X																																
	<i>Madeline Pot (MDLZ)</i>			X																																
	<i>Phila (PFE)</i>			X																																
	<i>Apple (AAPL)</i>			X																																
	<i>Humana (HUM)</i>			X																																
	<i>Chubb (CHB)</i>			X																																
	<i>Decipher (DCRY)</i>			X																																
	<i>Comcast-CIA - (CMCSA)</i>			X																																
	<i>TPM Trust - (870999160)</i>				X																															
	<i>Iskcon Babel (IBR)</i>				X																															
	<i>Princeton Oyston (POSKX)</i>				X																															
	<i>Other</i>																																			

SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name:

Upton

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BLOCK A Assets and/or Income Sources		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income												BLOCK E Transaction		
SP, DC, JT	ASSET NAME	A	B	C	D	E	F	G	H	I	J	K	L	M	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	XII	P, S, S(part), or E	
	<i>These trusts are managed or controlled by me - they are managed by N. Thompson Trust</i>																																			
	<i>Trusts Total value = compared to:</i>																																			
	<i>Regis</i>																																			
	<i>Exxon-Mob. I</i>																																			
	<i>AT&T</i>																																			
	<i>Verizon</i>																																			
	<i>Vad-Tone</i>																																			
	<i>Kindly-Cloak</i>																																			
	<i>Helix-Health</i>																																			
	<i>Pfizer</i>																																			
	<i>Regen Rhyth</i>																																			
	<i>Amcor Syntex</i>																																			
	<i>Amcor Financial</i>																																			
	<i>IBM</i>																																			

SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name:

Upton

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BLOCK A Assets and/or Income Sources		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income												BLOCK E Transaction			
SP, DC, JT	ASSET NAME	EIF	A	B	C	D	E	F	G	H	I	J	K	L	M	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	XII	P, S, S(part), or 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	Spouse/DC Asset over \$1,000,000*									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	Spouse/DC Asset with Income over \$1,000,000*		
	<i>No Asset Trust</i>																																				
	Northern Stock Trader										X																										
	Fidelity U.S. Mkt				X																																
	Starbucks				X																																
	Wm. Pool						X																														
	Yum Brands				X																																
	Coca Cola				X																																
	CVS Health				X																																
	Cherem				X																																
	EOG Resources				X																																
	Halliburton				X																																
	Schlumberger				X																																
	Capital One Fin.				X																																
	CNO Finl.				X																																
	Intercontinental				X																																
	Moody's				X																																
	Wells Fargo				X																																

SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name:

Upston

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BLOCK A Assets and/or Income Sources		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income												BLOCK E Transaction			
SP, DC, JT	ASSET NAME	EIF	A	B	C	D	E	F	G	H	I	J	K	L	M	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	XII	P, S, S(part), or 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	Spouse/DC Asset over \$1,000,000*									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	Spouse/DC Asset with Income over \$1,000,000*		
	<i>None Here Trust</i>																																				
	Abbott 205	X																																			
	Abbott	X																																			
	CR Bard	X																																			
	Danbury Corp	X																																			
	Griffith Service	X																																			
	Melkerson Corp	X																																			
	Forth Corp	X																																			
	G.E.	X																																			
	Greiner	X																																			
	Northville South	X																																			
	Alphabeta inc C-C	X																																			
	Alphabeta inc C-A	X																																			
	Apple	X																																			
	IBM	X																																			
	Mustard C-C-A	X																																			
	Oracle	X																																			

SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: Lepton

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BLOCK A Assets and/or Income Sources		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income												BLOCK E Transaction			
SP, DC, JT	ASSET NAME	EIF	A	B	C	D	E	F	G	H	I	J	K	L	M	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	XII	P, S, S(part), or 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	Spouse/DC Asset over \$1,000,000*									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	Spouse/DC Asset with income over \$1,000,000*		
	<i>Northwestern</i> Du Pont				X																																
	Levizon				X																																
	Alliant Energy				X																																
	MFC Financial					X																															
	Northwestern Mid-Cap Growth							X																													
	DEA US Smallcap (D578)							X																													
	MFB Northern Fund Smidcap					X																															
	Northwest Int. (NWDINT)									X																											
	Harding Loewner (HLWNY)					X																															
	Neuburger Fund (NFBFID)					X																															
	MFC Vanguard Int.						X																														
	Northwestern Energy (NWEHND)							X																													
	Vanguard Div. Div. (VNDVX)							X																													
	Yam - China				X																																
	Northwestern Glob. Res. (NWRGX)								X																												
	MFC Vanguard REIT ETF					X																															

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Use additional sheets if more space is required.

SCHEDULE B - TRANSACTIONS

Name:

Walter

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Report any purchase, sale, or exchange transactions that exceeded \$1,000 in the reporting period of any security or real property held by you, your spouse, or your dependent child for investment or the production of income. Include transactions that resulted in a capital loss. Provide a brief description of an exchange transaction. Exclude transactions between you, your spouse, or dependent children, or the purchase or sale of your personal residence, unless it generated rental income. If only a portion of an asset is sold, please choose "partial sale" as the type of transaction.

Capital Gains: If a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box, unless it was an asset in a tax-deferred account, and disclose the capital gain income on Schedule A.

* Column K is for assets solely held by your spouse or dependent child.

SP, DC, JT	Asset	Type of Transaction				Check Box if Capital Gain Exceeded \$200	Date (MM/DD/YY) or Quarterly, Monthly, or Bi- weekly, if applicable	Amount of Transaction										
		Purchase	Sale	Partial Sale	Exchange			A \$1,001- \$15,000	B \$15,001- \$50,000	C \$50,001- \$100,000	D \$100,001- \$250,000	E \$250,001- \$500,000	F \$500,001- \$1,000,000	G \$1,000,001- \$5,000,000	H \$5,000,001- \$25,000,000	I \$25,000,001- \$50,000,000	J Over \$50,000,000	K Over \$1,000,000* (Spouse/DC Asset)
SP	Example Mega Corp. Stock			X		X	3/9/16		X									
	<i>All Transactions done by J.P. Morgan Asset Mgmt. Trust w/o my control</i>																	
	<i>National Oilwell</i>		X				2/3/16	X										
	<i>Schlumberger</i>		X				2/3/16	X										
	<i>Whitpool</i>		X			✓	2/3/16	X										
	<i>Microsoft</i>		X				2/11/16	X										
	<i>Wells Fargo</i>		X				2/11/16	X										
	<i>Banc of Amers Sec'ds</i>		X				2/11/16	X										
	<i>Coca Cola</i>		X				3/13/16	X										
	<i>Banc of Amers Sec'ds</i>		X					X										
	<i>EOG Resources</i>		X				2/3/16	X										
	<i>Exxon Mobil</i>		X				2/9/16	X										
	<i>Wells Fargo</i>		X				5/12/16	X										
	<i>Coca Cola</i>		X				5/12/16	X										
	<i>Pfizer</i>		X				5/12/16	X										
	<i>Banc of Amers Sec'ds</i>		X				2/11/16	X										
	<i>Banc of Amers Sec'ds</i>		X				2/11/16	X										

SCHEDULE B - TRANSACTIONS

Name:

Upstar

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Report any purchase, sale, or exchange transactions that exceeded \$1,000 in the reporting period of any security or real property held by you, your spouse, or your dependent child for investment or the production of income. Include transactions that resulted in a capital loss. Provide a brief description of an exchange transaction. Exclude transactions between you, your spouse, or dependent children, or the purchase or sale of your personal residence, unless it generated rental income. If only a portion of an asset is sold, please choose "partial sale" as the type of transaction.

Capital Gains: If a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box, unless it was an asset in a tax-deferred account, and disclose the capital gain income on Schedule A.

* Column K is for assets solely held by your spouse or dependent child.

SP, DC, JT	Asset	Type of Transaction				Check Box if Capital Gain Exceeded \$200	Date (MO/DA/YR) or Quantity, Monthly, or Bi- weekly, if applicable	Amount of Transaction										
		Purchase	Sale	Partial Sale	Exchange			A \$1,001- \$15,000	B \$15,001- \$50,000	C \$50,001- \$100,000	D \$100,001- \$250,000	E \$250,001- \$500,000	F \$500,001- \$1,000,000	G \$1,000,001- \$5,000,000	H \$5,000,001- \$25,000,000	I \$25,000,001- \$50,000,000	J Over \$50,000,000	K Over \$1,000,000* (Spouse/DC Asset)
SP	Example Mega Corp. Stock			X		X	3/8/16		X									
	Wells Fargo	X					7-1-16	X										
	Wells Fargo	X					7-22-16			X								
	Chemical Financial	X					7-22-16	X										
	Wells Fargo	X					8-10-16	X										
	Microsoft	X					8-10-16	X										
	Berk/ Myers Smith	X					8-10-16	X										
	Wells Fargo	X					9-23-16	X										
	Microsoft	X					9-23-16	X										
	Costa Cafe	X					11-22-16	X										
	Microsoft	X					12-16-16	X										
	Wells Fargo	X					12-16-16	X										
	Wells Fargo	X					11-29-16	X										
	Microsoft	X					11-29-16	X										

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INCOME LIMITS and PROHIBITED INCOME: The 2016 limit on outside earned income for Members and employees compensated at or above the "senior staff" rate was \$27,495. The 2017 limit is \$27,765. In addition, certain types of income (notably honoraria, director's fees, and payments for professional services involving a fiduciary relationship) are totally prohibited.

Use additional sheets if more space is required.

SCHEDULE D - LIABILITIES

Name:

Walter

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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 your dependent child. Mark the highest amount owed during the reporting period. **Members:** Members are required to report all liabilities secured by real property including mortgages on their personal residence. **Exclude:** Any mortgage on your personal residence (unless you rent it out or are a Member); 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 you by a spouse or the child, parent, or sibling of you or your spouse. Report a revolving charge account (i.e., credit card) only if the balance at the close of the reporting period exceeded \$10,000. *Column K is for liabilities held solely by your spouse or dependent child.

SP, DC, JT	Creditor	Date Liability Incurred MO/YR	Type of Liability	Amount of Liability										
				A	B	C	D	E	F	G	H	I	J	K
				\$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	Over \$1,000,000* (Spouse/DC Liability)
Example	First Bank of Wilmington, DE	5/98	Mortgage on Rental Property, Dover, DE				X							
JT	J.P. Morgan Chase	10/10	Home Equity line of credit		X									
JT	J.P. Morgan Chase	10/10	Home Mortgage				X							
JT	Stephen E. Lydon	2/14	Promissory Note					X						

SCHEDULE E - POSITIONS

Report all positions, compensated or uncompensated, held during the current or prior calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, nonprofit organization, labor organization, or educational or other institution other than the United States. **Exclude:** 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
Owner	Water Asset Mgt. Corp (Sub partner of SEU Land Partnership)
Owner w/ spouse	SEU Land Partnership (Family investment company)
Trustee	SEU Land Partnership
Trustee	EVU, LLC (Family investment company)
Trustee w/ spouse	Cops N Doctors PL, LLC
Board member	S.W. MGT First

Name:

Updon

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Report the source (by name), a brief description, and the value of all gifts totaling more than \$375 (received by you, your spouse, or your dependent child from any source during the year. **Exclude:** Gifts from relatives; gifts of personal hospitality from 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 \$150 or less need not be added towards the \$375 disclosure threshold. **Note:** The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

[illegible]

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Use additional sheets if more space is required.