

HAND DELIVERED

UNITED STATES HOUSE OF REPRESENTATIVES
CALENDAR YEAR 2009 FINANCIAL DISCLOSURE STATEMENT

FORM A

For use by Members, officers, and employees

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J. Heath Shuler

(Full Name)

828-255-6401

(Daytime Telephone)

2011 AUG 11 PM 3:03

U.S. (Office Use Only)

Filer ☒ Member of the U.S. House of Representatives State: NC District: 11

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.

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 \$335 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 \$335 from one source)?	Yes <input type="checkbox"/> No <input checked="" 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 type="checkbox"/> No <input checked="" type="checkbox"/>
If yes, complete and attach Schedule III.		If yes, complete and attach Schedule VIII.	
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?	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 type="checkbox"/> No <input checked="" type="checkbox"/>	Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.	
If yes, complete and attach Schedule V.			

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

Trusts-- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct 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 Standards of Official Conduct.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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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
<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 assets or sources of income which generated more than \$200 in "unearned" income during the year. For rental property or land, provide a complete address. Provide full 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 and income information on each asset in the account that exceeds the reporting threshold. For retirement plans that are not self-directed, name the institution holding the account and its value at the end of the reporting period. For an active business, that is not publicly traded, state the name of the business, the nature of its activities, and its geographic location in Block A. For additional information, see the instruction booklet.</p> <p>Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent or sibling; any deposits totaling \$5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.</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 (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 plans or accounts that do not allow you to choose specific investments, you may write "NA". For all other assets including all IRAs, indicate the type of income by checking the appropriate box below. Dividends and interest, even if reinvested, should be listed as income. Check "None" if asset did not generate any income during the calendar year.</p>	<p>For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, including all IRAs, indicate the category of income by checking the appropriate box below. Dividends and interest, even if reinvested, should be listed 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>
DC	FA 529 Port 2019-OLD CL A (529 Savings Plan for Son)	\$15,001 - \$50,000	None	NONE	
DC	FA 529 Port 2022-CL A (529 Savings Plan for Daughter)	\$1,001 - \$15,000	None	NONE	
	Wells Fargo Advisors Cash Balance	\$1 - \$1,000	INTEREST	\$1 - \$200	
	Telefonica S A Spon ADR	None	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	S
	Telefonos De Mexico SA Spon ADR Repstg SH Ord L	None	CAPITAL GAINS	\$201 - \$1,000	S
	Telmex Internacional ADR	None	CAPITAL GAINS	\$201 - \$1,000	S

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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	Unilever N V ADR	None	CAPITAL GAINS	\$201 - \$1,000	S
DC	American Capital Ltd	None	DIVIDENDS	\$201 - \$1,000	S
DC	Apollo Investment Corp	None	DIVIDENDS	\$201 - \$1,000	S
SP	General Electric	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
	Thrift Savings Plan (Funds for Stability)	\$50,001 - \$100,000	None	NONE	
JT	United Community Bank (Personal Checking Account)	\$15,001 - \$50,000	None	NONE	
	Mountain Commerce Bank	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
	The Highlands Property Group, LLC (management company that manages investments)	\$1,000,001 - \$5,000,000	Partnership	NONE	
	Shuler Properties, LLC - See Footnote 1	\$1,000,001 - \$5,000,000	Partnership	NONE	S(part)
	NFL Player Annuity & Ins.	\$15,001 - \$50,000	None	NONE	
DC	American Capital Ltd	\$1 - \$1,000	None	NONE	P
DC	Wells Fargo Advisors Cash Balance	\$1 - \$1,000	INTEREST	\$1 - \$200	
	Wells Fargo Advisors (Personal IRA):	\$1,001 - \$15,000	None	NONE	
	1. Advantage Oil & Gas Ltd				
	2. American Capital Ltd	\$1,001 - \$15,000	None	NONE	

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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3. Apollo Investment Corp	\$1,001 - \$15,000	DIVIDENDS	\$1,001 - \$2,500
4. Cel-Sci Com	\$1,001 - \$15,000	None	NONE
5. Covidien PLC	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200
6. Enterprise Products Partners	\$15,001 - \$50,000	DIVIDENDS	\$1,001 - \$2,500
7. Merge Healthcare Inc	\$1,001 - \$15,000	None	NONE
8. Tyco Electronics LTd	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200
9. Tyco International Ltd	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200
10. UTSTARCOM Inc	\$1,001 - \$15,000	None	NONE
11. Cash Balance	\$50,001 - \$100,000	INTEREST	\$1 - \$200
NFL Player Second Career Savings Plan - 401(k):	\$1 - \$1,000	DIVIDENDS	\$1 - \$200
1. Bond Fund	\$50,001 - \$100,000	DIVIDENDS	\$2,501 - \$5,000
2. Value Fund	\$15,001 - \$50,000	DIVIDENDS	\$1,001 - \$2,500
3. Growth Fund	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000
4. Small Cap Value Fund	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000
5. Small Cap Core Fund	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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6. International Fund	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	



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
DC	American Capital Ltd	S	No	7-24-09	\$1,001 - \$15,000
DC	Apollo Investment Corp	S	No	7-24-09	\$1,001 - \$15,000
DC	Enterprise Products Partners	S	Yes	07-24-09	\$1,001 - \$15,000
	Safeway Inc.	S	No	07-24-09	\$1,001 - \$15,000
	Shuler Properties, LLC - See Footnote 1	S(part)	No	10-15-09	\$1,001 - \$15,000
	Telefonica S A Spon ADR	S	Yes	07-24-09	\$1,001 - \$15,000
	Telefonos De Mexico SA Spon ADR Repstg SH Ord L	S	Yes	07-24-09	\$1,001 - \$15,000
	Telmex Internacional ADR	S	Yes	07-24-09	\$1,001 - \$15,000
	Unilever N V ADR	S	Yes	07-24-09	\$1,001 - \$15,000
DC	UTStarcom Inc	S	No	07-24-09	\$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	Type of Liability	Amount of Liability
	Bank of America	Commercial Line of Credit	\$100,001 - \$250,000
	United Community Bank	Commercial Line of Credit	\$50,001 - \$100,000
	SunTrust Bank	SWAP Loan	\$250,001 - \$500,000

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SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

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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 \$335 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
Government of Sri Lanka	May 26-29	DC-London-Dubai-Colombo- Dubai-DC	Y	Y	N	None

FOOTNOTES

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Number	Section / Schedule	Footnote	This note refers to the following item
1	Schedule III	As of 12/31/09, Shuler Properties, LLC owned two pieces of residential real property. Also, as of 12/31/09, Shuler Properties, LLC owns a 50% interest in QuailSouth, LLC and Quailfeather Holdings, LLC; both of these LLCs are related to a quail hunting plantation located in Albany, GA. Quailfeather Holdings, LLC owns real property and QuailSouth, LLC leases the real property from Quailfeather Holdings, LLC for use in QuailSouth's hunting operation.	Shuler Properties, LLC - See Footnote 1
2	Schedule III	Wells Fargo Advisors (Personal IRA) consists of 10 Securities and a cash account which are listed as items 1-11 immediately following the entry for Wells Fargo (Personal IRA) on Schedule III.	Wells Fargo Advisors (Personal IRA)
3	Schedule III	NFL Player Second Career Savings Plan - 401(k) consists of 6 mutual funds which are listed as items 1-6 immediately following the entry for NFL Player Savings Plan on Schedule III	NFL Player Second Career Savings Plan
4	Schedule V	SunTrust Bank - SWAP Loan - This liability is the result of an extended closing on property sold in 2008 involving an interest rate swap agreement. The principal amount was approximately \$300,000 but was inadvertently reported incorrectly in the \$1,000,001 - \$5,000,000 range on the originally submitted statement.	SunTrust Bank