

UNITED STATES HOUSE OF REPRESENTATIVES

Form A
For Use by Members, Officers, and Employees

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AUG 10 2020
LEGISLATIVE RESOURCE CENTER
2020 AUG 20 AM 11:53
JMC

2019 FINANCIAL DISCLOSURE STATEMENT

Name: Fred Lipton 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>ME</u> District: <u>1</u>	Officer or Employee	Employing Office:	Staff Filer Type: (if Applicable) <input type="checkbox"/> Shared <input type="checkbox"/> Principal Assistant
REPORT TYPE	<input type="checkbox"/> 2019 Annual (Due: May 15, 2020)	<input checked="" type="checkbox"/> Amendment	<input type="checkbox"/> Termination	Date of Termination:	

PRELIMINARY INFORMATION - ANSWER EACH OF THESE QUESTIONS

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 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 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?	Yes <input type="checkbox"/> No <input type="checkbox"/>	G. Did you, your spouse, or your dependent child receive any reportable gift(s) totaling more than \$390 in value from a single source during the reporting period?	Yes <input 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 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 \$390 in value from a single source during the reporting period?	Yes <input 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 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 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?	Yes <input type="checkbox"/> No <input type="checkbox"/>	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 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 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 type="checkbox"/>

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Use additional sheets if more space is required.

FRED UPTON
6TH DISTRICT, MICHIGAN

**COMMITTEE ON
ENERGY AND COMMERCE**

ENERGY
REPUBLICAN LEADER

HEALTH

CONSUMER PROTECTION AND
COMMERCE



**Congress of the United States
House of Representatives**

August 10, 2020

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Please note that in preparation of my 2020 Financial Disclosure report for CY19, I identified and confirmed with JP Morgan that the trusts they manage without my control, direction, or ownership, failed to indicate the holdings of Biogen, Parker-Hannifin, Medtronic, Schwab, Prudential Financial, and Occidental Petroleum in my 2019 Disclosure Report. They should have all been listed in value between \$1,000 to \$15,000 and were, but Biogen were sold in calendar year 2019 and such sales were reported in my Periodic Transactions Report last year. These holdings did not change the total value of the trusts they manage between \$15,000,000 and \$25,000,000.

I am including an amendment that should be attached to my 2018 Financial Disclosure Report.

Sincerely,

Fred Upton
Member of Congress

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