

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**

DC OFFICE:

2183 RAYBURN HOUSE OFFICE BUILDING
WASHINGTON, DC 20515-2206
(202) 225-3761
FAX: (202) 225-4986

MICHIGAN HOME OFFICES:
 350 E. MICHIGAN AVENUE
SUITE 130
KALAMAZOO, MI 49007
(269) 385-0039
FAX: (269) 385-2888

720 MAIN STREET
ST. JOSEPH, MI 49085
(269) 982-1986
FAX: (269) 982-0237

<http://upton.house.gov>

May 15, 2022

Please note that in preparation of my 2021 Financial Disclosure report under the Northern Trust accounts which are not managed by me, I noticed that in last year's filing I did not list the assets of Moody's in Schedule A. I did accurately report in Schedule B that Moody's had been sold on 5/21/20 (see page 19 of 28 on the '20 Disclosure Report). In fact, not all of Moody's was sold in the Northern Trust acct and therefore I should have reported the remaining balance in Schedule A. This holding did not change the total value of the Northern Trust accounts and I am including an amendment that should be attached to my 2020 Financial Disclosure statement.

Sincerely,

Fred Upton
Member of Congress

LEGISLATIVE RESOURCE CENTER
2022 MAY 17 AM 11:00
U.S. HOUSE OF REPRESENTATIVES
OFFICE OF THE CLERK

**HAND
DELIVERED**

UNITED STATES HOUSE OF REPRESENTATIVES
2021 FINANCIAL DISCLOSURE STATEMENT

For Use by Members, Officers, and Employees

(Office Use Only)

Name: Freel Lipton

Daytime Telephone: 202-225-3761

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

HAND

FILER STATUS	<input checked="" type="checkbox"/> Member of the U.S. House of Representatives	State: <u>NY</u>	Office or Employing Office:	Staff Filer Type: (If Applicable) Shared <input checked="" type="checkbox"/> Principal Assistant <input type="checkbox"/>
REPORT TYPE	<input type="checkbox"/> 2021 Annual (Due: May 16, 2022)	<input checked="" type="checkbox"/> Amendment	<input type="checkbox"/> Termination	Date of Termination: <u>MAY 17 2022</u>

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? <input checked="" type="checkbox"/>	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? <input checked="" type="checkbox"/> 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 \$415 in value from a single source during the reporting period? <input checked="" type="checkbox"/> 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 \$415 in value from a single source during the reporting period? <input checked="" type="checkbox"/> 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? <input checked="" type="checkbox"/> 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.

TRUSTS – Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "exempted trusts" need not be disclosed. Have you excluded from this report details of such a trust that benefits you, your spouse, or dependent child?

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.

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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.

SCHEDULE A – ASSETS & “UNEARNED INCOME”

Name: *Walter*

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BLOCK A – Assets and/or Income Sources

BLOCK A

Assets and/or Income Sources

Identify: (a) such asset held for investment or production of income and with a fair market value in excess of \$1,000 at the end of the reporting period; and (b) any other reportable asset or source of income that generated more than \$200 in “unearned” income during the year.

Provide complete names of stocks and mutual funds (do not use only ticker symbols).

For all IRAs and other retirement plans (such as 401(k) plans), provide the value for each asset held in the account that exceeds the reporting thresholds.

For bank and other cash accounts, total the amount in all interest-bearing accounts. If the total is over \$5,000, list every financial institution where there is more than \$1,000 in interest-bearing accounts.

For rental and other real property held for investment, provide a complete address or description, e.g., “Tennant property,” and a city and state.

For an ownership interest in a privately-held business that is not publicly traded, state the name or 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) and any financial interest in, or income derived from, a federal retirement program, including the Thrift Savings Plan.

If you report a privately-traded fund that is not an Investment Fund, please check the EIF box.

If you so choose, you may indicate that an asset or income equal to that of your spouse (SFI) or dependent (D) is entirely held with anyone (JT), in the capital column (not the fair left).

For a detailed discussion of Schedule A requirements, please refer to the Instruction booklet.

BLOCK B – Value of Asset

BLOCK B

Value of Asset

Indicate value of asset at close of the reporting period. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold during the reporting period and is included only because it generated income, the value should be “None.”

“Column M is for assets held by your spouse or dependent child in which you have no interest.”

Check all columns that apply. For accounts that generate tax-deferred income (such as 401(k), IRA, or 403(b) accounts), you may check the “Tax-Deferred” category of income by checking the appropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income for assets held in taxable accounts. Check “None” if these assets generated no income during the reporting period.

“Column X is for assets held by your spouse or dependent child in which you have no interest.”

BLOCK C – Type of Income

BLOCK C

Type of Income

Check all columns that apply. For assets for which you checked “Tax-Deferred” in Block C, 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 for assets held in taxable accounts. Check “None” if no income was earned or generated.

“Column XI is for assets held by your spouse or dependent child in which you have no interest.”

BLOCK D – Amount of Income

BLOCK D

Amount of Income

Indicate if the asset was held for investment or production of income and with a fair market value in excess of \$1,000 at the end of the reporting period, purchase (P), sale (S), or exchange (E). If only a portion of an asset was added or disposed of, indicate as follows: (S (part)), (P (part)), or (E (part)). Leave this column blank if there are no transactions that exceeded \$1,000.

If only a portion of an asset was added or disposed of, please indicate as follows: (S (part)), (P (part)), or (E (part)).

BLOCK E – Transaction

BLOCK E

Transaction

SP, DC, JT,	EG	Mesa Corp. Stock	EEF
Employee:			
	X		

A	B	C	D	E	F	G	H	I	J	K	L

Spouse/DC Asset over \$1,000*

Spiral, or E

Moody's

X

Moody's