

**HAND
DELIVERED**

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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**

☒ Member of the U.S.
House of Representatives

State: *MI*
District: *6*

☐

Officer or
Employee

Employing Office:

Staff Filer Type: (If Applicable)

Shared ☐ Principal Assistant ☐

**REPORT
TYPE**

☒ 2016 Annual (Due: May 15, 2017)

☐

Amendment

☐

Termination

Date of Termination:

PRELIMINARY INFORMATION – ANSWER EACH OF THESE QUESTIONS

*But the Trusts of which I have no control did so
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? or
b. Receive more than \$200 in unearned income from any reportable asset during the reporting period?

Yes ☒ No ☐

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 ☐ No ☒

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 ☐ No ☒

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 ☒ No ☐

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 ☒ No ☐

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 ☒ No ☐

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 ☒ No ☐

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 ☐ No ☒

E. Did you hold any reportable positions during the reporting period or in the current calendar year up through the date of filing?

Yes ☒ No ☐

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 ☐ No ☒

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 ☐ No ☒

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 ☐ No ☒

SCHEDULE A – ASSETS & “UNEARNED INCOME”

Name: _____

Upton

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BLOCK A			BLOCK B													BLOCK C						BLOCK D												BLOCK E			
Assets and/or Income Sources			Value of Asset													Type of Income						Amount of Income												Transaction			
Identify (a) each asset held for investment or production of income and with a fair market value exceeding \$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.			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 529 accounts), you may check the "Tax-Deferred" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income for assets held in taxable accounts. Check "None" if the asset generated no income during the reporting period.						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 XII is for assets held by your spouse or dependent child in which you have no interest.												Indicate if the asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in the reporting period. If only a portion of an asset was sold, please indicate as follows: (S part)). Leave this column blank if there are no transactions that exceeded \$1,000.			
Provide complete names of stocks and mutual funds (do not use only ticker symbols).			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		
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.			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	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	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*	P, S, S(part), or E	
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., "rental property," and a city and state.																																					
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.																																					
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 have a privately-traded fund that is an Excepted Investment Fund, please check the "EIF" box.																																					
If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC), or jointly held with anyone (JT), in the optional column on the far left.																																					
For a detailed discussion of Schedule A requirements, please refer to the instruction booklet.																																					
SP, DC, JT		Examples:	SP	Mega Corp. Stock				X									X					Royalties					X									S(part)	
				Simon & Schuster																					X												
				ABC Hedge Fund						X												Partnership Income						X									
				JTW. Patman Credit U							X							X																			
				JT 5 th 3 rd Bank Accts							X							X																			
				JT Edgewater Bank CDs							X							X																			
				JT JP Morgan Checking			X																														

Use additional sheets if more space is required.

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*			
JT	Starbucks							X									X										X											
JT	Under Armour G.A				X												X								X													
JT	Under Armour G.L				X												X								X													
JT	XPO Logistics							X									X								X													
	Yum Brands							X									X											X										
	Yum China Holdings					X											X								X													
	Columbia Tax-Ex. Bond				X															X							X											
JT	Hartford Infl. + Bond								X											X												X						
	MFS (MSFRX)					X											X		X								X											
JT	Chesapeake Energy				X												X								X													
	J.P. Morgan (JPM)					X												X									X											
JT	Stryker								X									X												X								
S	AT&T						X											X												X								
S	Altria				X	X												X									X											
S	BP PLC				X													X									X											
S	Bristol Myers Squibb				X													X																				

SCHEDULE A – ASSETS & “UNEARNED INCOME”

Name:

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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	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	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									X											
S	Dow Chemical				X												X									X											
S	Exxon Mobil							X									X												X								
S	Fortune Brands				X												X									X											
S	G.E.					X											X										X										
S	IBM				X												X										X										
S	Mead Johnson Nut.				X												X										X										
S	Monsanto				X												X										X										
S	Pfizer				X												X										X										
S	Philip Morris Intl				X												X										X										
S	Post Holdings				X												X									X											
S	Raytheon				X												X										X										
S	Synchrony Financial				X												X										X										
S	21st Cent. Fox CCA				X												X										X										
S	Verizon					X											X										X										
ST	Whirlpool										X						X																				

SCHEDULE A – ASSETS & “UNEARNED INCOME”

Name:

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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*		
S	Zoetis					X											X										X										
S	Vanguard Int. (VBILX)							X									X		X							X											
S	Putnam Global Eq.				X												X		X						X												
	Prudential/Hartford Ins.							X									X		X										X								
	NY Life Ins.					X											X		X							X											
S	Nationwide Ins.				X												X		X						X												
	Mass Mutual Ins.								X								X		X										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>Total value =</i>										X						X		X																				
	<i>Composed of:</i>																																						
	<i>Whirlpool</i>											X																											
	<i>J.P. Morgan Accts</i>										X																												
	<i>Fidelity Investments</i>											X																											
	<i>Emerging Mkts</i>					X																																	
	<i>Wells Fargo</i>					X																																	
	<i>Hilliard Lyons</i>											X																											
	<i>Northern Trust</i>										X																												

SCHEDULE A – ASSETS & “UNEARNED INCOME”

Name: *Cyton*

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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	
			A	B	C	D	E	F	G	H	I	J	K	L	M									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	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	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*	P, S, S(part), or E	
SP, DC, JT	ASSET NAME	EIF																																			
	Trusts total value = composed of:										X						X	X														X					
	Whirlpool (WHR)										X																										S
	SPDR (SPY)								X																												
	JPM Global (JGINT)							X																													
	IShares (EFA)						X																														
	JPM (JPMEX)					X																															
	U.S. Dollar (USDPRM)						X																														
	Artisan Int (APDIX)				X																																
	BBH Core S. (BBTEX)					X																															
	Parnassus Core (PRUX)				X																																
	Dodge & Cox (DODFX)						X																														
	JPM MKT BND (PCMVX)				X																																
	ARKK MEAS (ARKTX)					X																															

SCHEDULE A – ASSETS & “UNEARNED INCOME”

Name: Upton Page 8 of 21

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	
			A	B	C	D	E	F	G	H	I	J	K	L	M									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	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	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*
SP, DC, JT	ASSET NAME	EIF																																	P, S, S(part), or E	
	J.P. Morgan																																			
	Prudential ABS (PAD2X)				X																															
	Pimco CPH1YX					X	X																													
	Vanguard (VFIDX)					X																														
	JPM Short-Term (JTM1X)					X																														
	JPM Interterm (JIT1X)					X																														
	Doubleline Tot (DB2TX)					X																														
	AQR Longterm (QLERX)					X																														
	MFS Emerg Mkt (MEDIX)					X																														
	Brown Adv (BAFJX)				X																															
	Equinox Fds (EQIPX)					X																														
	CRM Long (CR1HX)				X																															
	Equinox Growth (EBSIX)				X																															
	JPM Large Cap (JLPSX)					X																														
	Ishears (IJH)						X																													
	JPM USEqut (JMUEX)					X																														
	Goldman Sachs (GSZIX)				X																															

SCHEDULE A – ASSETS & “UNEARNED INCOME”

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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	
			A	B	C	D	E	F	G	H	I	J	K	L	M									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	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	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*	P, S, S(part), or E
SP, DC, JT	ASSET NAME	EIF																																		
	Metropolitan West (MWTIX)				X																															
	Blackrock Int (BTMIX)					X																														
	MFS Int (MINIX)						X																													
	Newberger Bond (NM4LX)				X																															
	J. Hancock Equity (JLVIX)				X																															
	JPM Muni (HLTAX)				X																															
	Microsoft (MSFT)				X																															S
	Wells Fargo (WFC)				X																															S
	Pimco ValueT. (PFIVX)				X																															
	T. Rowe Emg. Mkts (PREMX)				X																															
	I-shares/Tapan (EWT)				X																															
	Bristol-Myers (BMY)				X																															S
	Newberger Bond (NLSIX)				X																															
	CRM Long/short (CR1HX)				X																															
	Regeneron (REGX)																																			
	Eaton Vance (EIGMX)				X																															

SCHEDULE A – ASSETS & “UNEARNED INCOME”

Name:

Cytop

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SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name:

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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 None	B \$1-\$1,000	C \$1,001-\$15,000	D \$15,001-\$50,000	E \$50,001-\$100,000	F \$100,001-\$250,000	G \$250,001-\$500,000	H \$500,001-\$1,000,000	I \$1,000,001-\$5,000,000	J \$5,000,001-\$25,000,000	K \$25,000,001-\$50,000,000	L Over \$50,000,000	M Spouse/DC Asset over \$1,000,000*	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	I None	II \$1-\$200	III \$201-\$1,000	IV \$1,001-\$2,500	V \$2,501-\$5,000	VI \$5,001-\$15,000	VII \$15,001-\$50,000	VIII \$50,001-\$100,000	IX \$100,001-\$1,000,000	X \$1,000,001-\$5,000,000	XI Over \$5,000,000	XII Spouse/DC Asset with Income over \$1,000,000*	P, S, S(part), or E	
	<i>Trusts Total value = composed of:</i>									X						X		X																			
	<i>Pepsi</i>					X																															
	<i>Exxon-Mob.</i>					X																															
	<i>AT&T</i>					X																															
	<i>Verizon</i>					X																															
	<i>Voda-Fone</i>				X																																
	<i>Kimberly-Clark</i>					X																															
	<i>Holychild-Hum</i>				X																																
	<i>Pfizer</i>						X																														
	<i>Aegon Registry</i>				X																																
	<i>American Express</i>				X																																
	<i>Ameriprise Financial</i>				X																																
	<i>IBM</i>				X																																

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 None	B \$1-\$1,000	C \$1,001-\$15,000	D \$15,001-\$50,000	E \$50,001-\$100,000	F \$100,001-\$250,000	G \$250,001-\$500,000	H \$500,001-\$1,000,000	I \$1,000,001-\$5,000,000	J \$5,000,001-\$25,000,000	K \$25,000,001-\$50,000,000	L Over \$50,000,000	M Spouse/DC Asset over \$1,000,000*	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	I None	II \$1-\$200	III \$201-\$1,000	IV \$1,001-\$2,500	V \$2,501-\$5,000	VI \$5,001-\$15,000	VII \$15,001-\$50,000	VIII \$50,001-\$100,000	IX \$100,001-\$1,000,000	X \$1,000,001-\$5,000,000	XI Over \$5,000,000	XII Spouse/DC Asset with Income over \$1,000,000*	P, S, S(part), or E	
	<i>Northern Trust</i>																																				
	<i>Northern Stock Index</i>										X																										
	<i>Flexshare U.S. Mkt</i>				X																																
	<i>Starbucks</i>				X																																
	<i>Whirlpool</i>						X																														
	<i>Yum Brands</i>				X																																
	<i>Coca Cola</i>				X																															S	
	<i>CVS Health</i>				X																																
	<i>Chevron</i>				X																																
	<i>EOG Resources</i>				X																															P	
	<i>Halliburton</i>				X																																
	<i>Schlumberger</i>				X																															S	
	<i>Capital One Fin.</i>				X																																
	<i>CNO Finl.</i>				X																																
	<i>Intercontinental</i>				X																																
	<i>Moody's</i>				X																																
	<i>Wells Fargo</i>				X																																

SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name:

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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 None	B \$1-\$1,000	C \$1,001-\$15,000	D \$15,001-\$50,000	E \$50,001-\$100,000	F \$100,001-\$250,000	G \$250,001-\$500,000	H \$500,001-\$1,000,000	I \$1,000,001-\$5,000,000	J \$5,000,001-\$25,000,000	K \$25,000,001-\$50,000,000	L Over \$50,000,000	M Spouse/DC Asset over \$1,000,000*	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	I None	II \$1-\$200	III \$201-\$1,000	IV \$1,001-\$2,500	V \$2,501-\$5,000	VI \$5,001-\$15,000	VII \$15,001-\$50,000	VIII \$50,001-\$100,000	IX \$100,001-\$1,000,000	X \$1,000,001-\$5,000,000	XI Over \$5,000,000	XII Spouse/DC Asset with Income over \$1,000,000*	P, S, S(part), or E
	Northern Trust																																			
	Abbott Lab				X																															
	Abbvie				X																															
	CR Bard				X																															
	Danoher Corp				X																															
	Gilead Science				X																															
	Melcorson Corp				X																															
	Fortive Corp				X																															
	G.E.				X																															
	Grainco				X																															
	Norfolk Southern				X																															
	Alphabot inc CL-C				X																															
	Alphabot inc CL-A				X																															
	Apple				X																															
	IBM				X																															
	Mastercard CL-A				X																															
	Oracle				X																															

SCHEDULE A – ASSETS & “UNEARNED INCOME”

Name: _____

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[illegible]

SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name:

Caption

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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	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	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>Northern Trust</i>																																			
	Fleishman NatRes. (GNAR)						X																													
	Northern Inter Trust (NINTX)							X																												
	Northern TaxEx. (NOTEX)					X																														
	Northern Fund (NOFIX)			X																																
	Northern US (NOUGX)			X																																
	LGSL						X																													
	MFB Northern Short InterTrust			X																																
	MFO Vanguard Ltd Trm Pl					X																														
	MFL Fleishman 3/yr					X																														
	Pimco Pds High Yr H				X																															
	M Franklin Davis Floating Bond				X																															

SCHEDULE B – TRANSACTIONS

Name: Upton

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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.			Type of Transaction				Check Box if Capital Gain Exceeded \$200	Date (MO/DAY/YR) 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, DC, JT	Asset																		
SP	Example	Mega Corp. Stock			X		X	3/9/16		X									
All Transactions done by J.P. Morgan Trust w/o my control																			
	National Oilwell		X					2/3/16	X										
	Schlumberger		X					2/3/16	X										
	Whirlpool		X				✓	2/3/16	X										
	Microsoft		X					2/11/16	X										
	Wells Fargo		X					2/11/16	X										
	Bristol Myers Squibb		X					2/11/16	X										
	Coca Cola		X					3/23/16	X										
	Bristol Myers Squibb		X						X										
	EOG Resources	X						2/3/16	X										
	Exxon Mobil	X						2/3/16	X										
	Wells Fargo		X					5/17/16	X										
	Coca Cola		X					5/13/16	X										
	Pfizer		X					5/13/16	X										
	Microsoft		X					7/1/16	X										
	Bristol Myers Squibb		X					7/1/16	X										

Use additional sheets if more space is required.

SCHEDULE B - TRANSACTIONS

Name: Upton

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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 Quarterly, Monthly, or Bi- weekly, if applicable	Amount of Transaction										
SP	DC	JT	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)
		Example Mega Corp. Stock			X		X	3/5/16		X									
		Wells Fargo		X				7-1-16	X										
		Wells Fargo		X			✓	7-22-16			X								
		Chemical Financial		X				7-26-16	X										
		Wells Fargo		X				8-10-16	X										
		Microsoft		X				8-10-16	X										
		Briskel Myers Spill		X				8-10-16	X										
		Wells Fargo		X				9-29-16	X										
		Microsoft		X				9-29-16	X										
		Coca Cola		X				11-22-16	X										
		Microsoft		X				12-16-16	X										
		Wells Fargo		X				12-16-16	X										
		Wells Fargo		X				11/22-16	X										
		Microsoft		X				11-29-16	X										

Use additional sheets if more space is required.

SCHEDULE C – EARNED INCOME

Name: _____

Upton

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List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. government) totaling \$200 or more during the reporting period. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000. See examples below.

EXCLUDE: Military pay (such as National Guard or Reserve pay), federal retirement programs, and benefits received under the Social Security Act.

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.

[illegible]

Use additional sheets if more space is required.

SCHEDULE D – LIABILITIES

Name:

Lpton

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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)
	<i>Example</i>		First Bank of Wilmington, 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. Lpton Revocable Living Trust	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
<i>Owner</i>	<i>Lpton Asset Mgt. Corp (sole partner of SEU Lmt. Partnership)</i>
<i>owner w/spouse</i>	<i>SEU Limited Partnership (Family investment company)</i>
<i>Trustee</i>	<i>SEU Limited Partnership</i>
<i>Trustee</i>	<i>EVU, LLC (Family investment company)</i>
<i>Trustee w/spouse</i>	<i>Ops N Dollars, DV, LLC</i>
<i>Board Member</i>	<i>S.W. ME First</i>

Use additional sheets if more space is required.

SCHEDULE F – AGREEMENTS

Name:

Upton

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Identify the date, parties to, and general terms of any agreement or arrangement that you have with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties to Agreement	Terms of Agreement
	<i>none</i>	

SCHEDULE G – GIFTS

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.

Source	Description	Value
<i>Example:</i> Mr. Joseph Smith, Arlington, VA	Silver Platter (determination of personal friendship received from the Ethics Committee)	\$400
<i>Senator Alexander</i>	<i>Air Flight</i>	<i>\$1,184.94</i>

Use additional sheets if more space is required.

SCHEDULE H – TRAVEL PAYMENTS and REIMBURSEMENTS

Name:

Upton

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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 \$375 received by you, your spouse, or your dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense. Disclosure is required regardless of whether the expenses were paid directly by the sponsor or were paid by you and reimbursed 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 (FGDA, 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 the filer.

Source	Date(s)	City of Departure-Destination-City of Return	Lodging? (Y/N)	Food? (Y/N)	Family Member Included? (Y/N)
Examples:					
Government of China (MECEA)	Aug. 6-11	DC-Beijing, China-DC	Y	Y	N
Habitat for Humanity (charity fundraiser)	Mar. 3-4	DC-Boston-DC	Y	Y	Y
<i>American Enterprise Inst.</i>	<i>Mar 3-6</i>	<i>DC. → Sea Island</i>	<i>Y</i>	<i>Y</i>	<i>Y</i>
		<i>(no return for me, spouse went back to DC)</i>			
<i>Aspen Inst. Cons. Program</i>	<i>Aug 10-20</i>	<i>Kolamazoo → London → Kolamazoo</i>	<i>Y</i>	<i>Y</i>	<i>Y</i>
<i>(4 days at my own expense)</i>					
<i>Ripon Society & Franklin Center for Global Policy Exchange</i>	<i>Nov. 9-14</i>	<i>SBV → London → DC</i>	<i>Y</i>	<i>Y</i>	<i>Y</i>

Use additional sheets if more space is required.