

FRED UPTON
6TH DISTRICT, MICHIGAN

**COMMITTEE ON
ENERGY AND COMMERCE**
CHAIRMAN



Congress of the United States
House of Representatives

July 28, 2015

The Honorable Charles W. Dent
Committee on Ethics
1015 Longworth
Washington, DC 20515-6601

Chairman Dent,

I would note that I have provided the combined income by category for the trusts managed by Northern Trust and J.P. Morgan Chase, and not by individual listing. As I indicated, these trusts are managed by these institutions and I have no authority or decision making authority. Though I am informed of the value of each of the assets within the trusts, neither institution has itemized the amount of income for the separate 140-plus entities, except for the K-1s for each trust which complies with my IRS tax submittal. I have asked that they inform me of securities that are bought and sold within each trust, and I will submit such when it is given to me within the 30-day window. I have already heard that N. Trust has not made any transactions in 2015.

Thank you for your understanding. If you have any questions, I can be reached at (202)225-3761.

Sincerely,


Fred Upton
Member of Congress

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<http://upton.house.gov>

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UNITED STATES HOUSE OF REPRESENTATIVES
2014 FINANCIAL DISCLOSURE STATEMENT

Form A
 For Use by Members, Officers, and Employees

Name: Fred Upton Daytime Telephone: 202/225-3761

HAND DELIVERED Page 1 of 19
 LEGISLATIVE RESOURCE CENTER
 2015 JUL 28 PM 4:44
 U.S. HOUSE OF REPRESENTATIVES
 (Office Use Only)

FILER STATUS	<input checked="" type="checkbox"/> Member of or Candidate for U.S. House of Representatives	State: <u>MI</u> District: <u>6</u>	<input type="checkbox"/> Officer or Employee	Employing Office: _____
REPORT TYPE	<input checked="" type="checkbox"/> 2014 Annual (Due: May 15, 2015)	<input type="checkbox"/> Amendment	<input type="checkbox"/> Termination	Date of Termination: _____

PRELIMINARY INFORMATION - ANSWER EACH OF THESE QUESTIONS

<p>A. Did you, your spouse, or your dependent child:</p> <p>a. Own any reportable asset that was worth more than \$1,000 at the end of the reporting period? <u>or</u></p> <p>b. Make more than \$200 in unearned income from any reportable asset during the reporting period?</p> <p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p>	<p>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?</p> <p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>
<p>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?</p> <p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p>	<p>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?</p> <p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>
<p>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?</p> <p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>	<p>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?</p> <p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p>
<p>D. Did you, your spouse, or your dependent child have any reportable liability (more than \$10,000) at any point during the reporting period?</p> <p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p>	<p>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?</p> <p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>
<p>E. Did you hold any reportable positions during the reporting period or in the current calendar year up through the date of filing?</p> <p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p>	<p>ATTACH THE CORRESPONDING SCHEDULE IF YOU ANSWER "YES"</p>

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 your 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: Upfon Page 2 of 19

BLOCK A Asset and/or Income Source			BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income												BLOCK E Transaction			
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., "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.			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.			
SP, DC, JT		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		
	Examples: Mega Corp. Stock																																					
	Simon & Schuster																																					
	ABC Hedge Fund	X																																				
	Indefinite																																					
	ST W. Ritzman Credit U.									X																												
	ST Smg's Bank accts																																					
	SP Ritzman 6661 Ely-A					X																																
	ST Wh. pool stock																																					
	ST Edgewater Bank CO's																																					
	ST JP Morgan Checking																																					

Use additional sheets if more space is required.

SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: *W. P. T. N.*

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BLOCK A Asset and/or Income Source		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income												BLOCK E Transaction				
SP, DC, JT	ASSET NAME	EF*	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		
SP	Alyria				X												X																					
SP	BP				X												X																					
SP	Bristol Myers Squibb				X												X																					
SP	Walt Disney																X																					
SP	Comcast-A				X												X																					
SP	Direct-TV																X																					
SP	Dow Chemical				X												X																					
SP	Exxon-Mobil				X												X																					
SP	Future Brands				X												X																					
SP	G-E																X																					
SP	IBM				X												X																					
SP	Med Johnson				X												X																					
SP	Merck				X												X																					
SP	Pfizer																X																					
SP	Philip Morris				X												X																					
SP	Post Holdings				X												X																					

SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: Upton

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BLOCK A Asset and/or Income Source		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	
	Raytheon			X											X																					
	21st Century Fox			X											X																					
	Verizon			X											X																					
	Zoetis/A				X										X																					
	Vanguard				X										X																					
	Beam-on																					Paid cash														
	Sly, it was merged into Scribby Holdings & no new shares issued																																			

Use additional sheets if more space is required.

SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: *Upston*

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BLOCK A Asset and/or Income Source		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>Trusts managed by JP Morgan - They have full discretion over investment decisions relating to the assets in the trusts - As a beneficiary, I have no investment management authority or decision making powers re: investments</i>																																						
	<i>J.P. Morgan Trusts 10/1/15</i>														X																								
	<i>Income from 01/14</i>																																						
	<i>Composed of:</i>																																						
	<i>Affison Int Fd</i>						X																																
	<i>Artisan Value Fund</i>						X																																
	<i>Astoria Composite m'd</i>						X																																
	<i>BBK Core Select Fund</i>						X																																
	<i>Brown Adv Tgm</i>						X																																
	<i>Deutsche X Trac</i>						X																																
	<i>Dodge & Co Int.</i>							X																															
	<i>Doubleline Total</i>						X																																
	<i>Egnyer FLS</i>						X																																
	<i>Gayway Fund - Y</i>						X																																
	<i>Goldman Sachs TR</i>						X																																

Use additional sheets if more space is required.

SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name:

V. P. W...

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BLOCK A Asset and/or Income Source		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>J.P. W...</i>																																		
	<i>IBM</i>		X																																
	<i>Loews</i>			X																															
	<i>Marck</i>			X																															
	<i>Microsoft</i>				X																														
	<i>Mandelz Int.</i>			X																															
	<i>Occidental</i>			X																															
	<i>Pizza</i>			X																															
	<i>Philip Morris</i>			X																															
	<i>Time Warner</i>			X																															
	<i>Worlds Forge</i>				X																														
	<i>Whirlpool</i>									X																									
	<i>Yum Brands</i>			X																															
	<i>BARC BAPF</i>			X																															

Use additional sheets if more space is required.

SCHEDULE A – ASSETS & "UNEARNED INCOME"

Name:

Upston

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BLOCK A Asset and/or Income Source		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income												BLOCK E Transaction						
SP, DC, JT	ASSET NAME	EP	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																																						
	<i>N. Trust</i>																																							
	<i>Orack</i>	<input checked="" type="checkbox"/>																																						
	<i>De Post</i>	<input checked="" type="checkbox"/>																																						
	<i>Verizon</i>	<input checked="" type="checkbox"/>																																						
	<i>Alliant Energy</i>	<input checked="" type="checkbox"/>																																						
	<i>N. Small Cap</i>	<input checked="" type="checkbox"/>																																						
	<i>FlexShares Mkt T-1H</i>	<input checked="" type="checkbox"/>																																						
	<i>Vanguard Int. Tdly</i>	<input checked="" type="checkbox"/>																																						
	<i>Vanguard Emrg. Mkts</i>	<input checked="" type="checkbox"/>																																						
	<i>Vanguard REIT</i>	<input checked="" type="checkbox"/>																																						
	<i>FlexShares Int Ry (Growth)</i>	<input checked="" type="checkbox"/>																																						
	<i>Rince Ayl's Kell</i>	<input checked="" type="checkbox"/>																																						
	<i>Franklin Floating Bd</i>	<input checked="" type="checkbox"/>																																						
	<i>Vanguard LTD</i>	<input checked="" type="checkbox"/>																																						
	<i>FlexShares Tot. Ret Ex</i>	<input checked="" type="checkbox"/>																																						
	<i>N. Int. Tax Exempt</i>	<input checked="" type="checkbox"/>																																						
	<i>N. Short Term Tax Ex</i>	<input checked="" type="checkbox"/>																																						

Use additional sheets if more space is required.

SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name:

Upston

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BLOCK A Asset and/or Income Source		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*																						
	<i>Cash</i>					X																															
	<i>Reps</i>						X																														
	<i>Exxon-Mobil</i>						X																														
	<i>AT&T</i>						X																														
	<i>Frontier</i>						X																														
	<i>Verizon</i>						X																														
	<i>Verizon</i>						X																														
	<i>Kimbely-Clark</i>						X																														
	<i>Helvid Brothers</i>							X																													
	<i>Argon Property</i>							X																													
	<i>American Express</i>							X																													
	<i>American Exp.</i>							X																													
	<i>IBM</i>							X																													
	<i>N. State Bank (NYSB)</i>									X																											
	<i>N. Nat'l. Bank (NMB)</i>									X																											
	<i>Elmhurst Bank</i>										X																										

Use additional sheets if more space is required.

SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: W. F. Farn Page 14 of 19

BLOCK A Asset and/or Income Source		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income												BLOCK E Transaction			
SP, DC, JT	ASSET NAME	EF	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>N. Trust</i>																																				
	N. Ind. sup (NORIN)						X																														
	N. Mult-tyr (NMMIX)							X																													
	N. Mult-tyr (NMMISX)								X																												
	DFA US Small cap								X																												
	N. Mult-tyr (NMIEX)									X																											
	N. Ind. rnder (NIDIND)										X																										
	Hedging for VIX (HDMIX)				X																																
	Prohager (NBIIX)				X																																
	N. Emerg. Mkt (NEMIX)						X																														
	N. Mult-tyr Emer. Mkt							X																													
	Oppn hedges deriv Mkt				X																																
	N. Mult-tyr (NMMIX)								X																												
	N. Glob. Red Eq (NREIX)									X																											
	N. Taka Tax Er. (NUSIX)										X																										
	N. Tax Exempt (NOSTEX)											X																									
	N. Fixed Inv. (NDFIX)				X																																

Use additional sheets if more space is required.

SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name:

W. J. J. J.

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BLOCK A Asset and/or Income Source		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>N. Trust</i>																																					
	<i>N. U.S. Govt (over 5%)</i>			X																																		

Use additional sheets if more space is required.

SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name:

Up for

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BLOCK A Asset and/or Income Source		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income												BLOCK E Transaction					
SP, DC, JT	ASSET NAME	None	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>Dynasty Trust Retained F.P. Morgan Rev in constant management decisions.</i>																																						
	<i>Dynasty Trust to be held by composed of:</i>																																						
	<i>Chemical Financial</i>																																						
	<i>Whisper</i>																																						
	<i>T.P. Morgan Cash Trust</i>																																						
	<i>F.P. Morgan Trust</i>																																						
	<i>Fidelity Investment</i>																																						
	<i>Emerging Mkts</i>																																						
	<i>Wells Fargo</i>																																						
	<i>Hilliard Lyons</i>																																						
	<i>A. Trust</i>																																						

Use additional sheets if more space is required.

SCHEDULE B - TRANSACTIONS

Name:

Wp for

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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/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	Example Mega Corp. Stock			X		X	3/5/14		X												
	<i>Cumberland, IN B/a</i>				<i>Redeemed <</i>		<i>3/15/14</i>		X												
	<i>Cumberland, TN B/a</i>				<i>> Redeemed <</i>		<i>1/15/14</i>		X												

SCHEDULE D - LIABILITIES

Name:

Upton

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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			
	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 mbr fees					X									
JT	Stephen E. Upton 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
Owner w/spouse	Upton Asset Mgt Corp (sole gen. partner of SEU Inv. Partnership)
owner w/spouse	SEU limited Partnership (Family investment company)
Trustee	SEU limited Partnership
Trustee	SEU, LLC (Family investment company)
Tenants w/spouse	Upton Downs DV, LLC & Upton Trust
Advisory R/Member	SEU
Board member	Economic Club of SEU NJ
Board member	S. W. NJ First

Use additional sheets if more space is required.
Don't forget to report on the

SCHEDULE H - TRAVEL PAYMENTS and REIMBURSEMENTS

Name: Upton Page 13 of 19

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
American Enterprise Inst. (Grant 10 of 11 persons)	March 6-11	DC	San Isl. AA → DC	Y	Y	Y
Rupia Society & Franklin Ctr	Nov 6-11	DC	→ Rome → DC	Y	Y	Y