

This Report Should Be Filed With:

Secretary of the Senate
Office of Public Records
Hart Building, Suite 232
Washington, DC 20510

PERIODIC DISCLOSURE

OF FINANCIAL TRANSACTIONS

RECEIVED
SECRETARY OF THE SENATE
PUBLIC RECORDS (Time/Date)

13 NOV -4 PM 4:54

Reporting Individual's Name

☐ Amendment

Senate Office / Agency in Which Employed

Page Number

Carper, Thomas R.

Office of Sen. Thomas Carper

1

Report any purchase, sale, or exchange by you, your spouse, or dependent child within 30 days of receiving written notification of such transaction. Report any stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving an excepted investment fund, any real property, or a transaction between you, your spouse, or dependent child. Please clarify which two assets are involved in any reportable exchange. In no event may this disclosure be filed more than 45 days after such transaction.

by you, your spouse, or dependent child within 30 days of receiving written notification of such transaction. Report any stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving an excepted investment fund, any real property, or a transaction between you, your spouse, or dependent child. Please clarify which two assets are involved in any reportable exchange. In no event may this disclosure be filed more than 45 days after such transaction.				Transaction Type (x)		Transaction Date (Mo., Day, Yr.)													
				Purchase	Sale		Exchange	\$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	Over \$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	
Identification of Assets																			
Example: 1) Spouse 2) Dependent Child 3) Joint				IBM Corp. (stock) NYSE	X			2 / 1 / 1X		X			E	X	A	M	P	L	E
				(DC) Microsoft (stock) NASDAQ/OTC		X		2 / 27 / 1X				X	E	X	A	M	P	L	E
1	(s) Freeport McMoran EL 7.3% 10/3/13			X			10/3/13			X									
2	(s) JPM Autocall Freeport McMoran 9.5% 10/17/14	X					10/11/13			X									
3	(s) MS Autocall Ford Motor 8.8% 7/18/16		X				10/17/13			X									
4	(s) Health Care REIT	X					10/11/13			X									
5	(s) Algonquin Power	X					10/11/13	X											
6	(s) SPDR S&P Bric 40	X					10/11/13	X											
7	(s) Wells Fargo	X					10/11/13	X											
8	(s) 3M Company	X					10/11/13	X											
9	(s) Omega Health Care	X					10/11/13	X											
10	(s) Acadian Timber	X					10/11/13	X											
11	(s) Johnson & Johnson	X					10/11/13	X											
12	(s) Target Corp.	X					10/22/13	X											

Carper, Thomas R.

TRANSACTIONS (continued)

(use only if needed)

2

[illegible]