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SECRETARY OF THE SENATE

16 SEP -7 PM 2:36

September 7, 2016

Kate Sawyer Keane
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Secretary of the Senate
Office of Public Records
232 Hart Senate Office Building
Washington, DC 20510

Re: Senator Richard Blumenthal

Dear Madame Secretary:

We are writing on behalf of Senator Richard Blumenthal. Enclosed please find Senator Blumenthal's Periodic Disclosure of Financial Transactions ("PTR") for transactions made during the period ending August 31, 2016. In addition, the PTR includes several transactions made earlier in 2016 that were identified during the process of preparing and reviewing Senator Blumenthal's public financial disclosure report for calendar year 2015.

Please do not hesitate to call us should you have further questions. Thank you for your attention to this matter.

Very truly yours,



Marc Erik Elias
Kate Sawyer Keane
Counsel to Senator Richard Blumenthal

Enclosure

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

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Reporting Individual's Name

☐ Amendment

Senate Office / Agency in Which Employed

Page Number

Richard Blumenthal

United States Senate

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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.

Identification of Assets

Example:
(S) Spouse
(DC) Dependent Child
(J) Joint
IBM Corp. (stock) NYSE
(DC) Microsoft (stock)
NASDAQ/OTC

<p>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.</p>						Transaction Type (x)		Transaction Date (Mo., Day, Yr.)	Amount of Transaction (x)										
						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
						Example: (S) Spouse (DC) Dependent Child (J) Joint	IBM Corp. (stock) NYSE (DC) Microsoft (stock) NASDAQ/OTC	X			2 / 1 / 1X		X					E	X
1	(S) Peter L Malkin Family 2000 LLC:																		
2	(S) Brazilian Zero Coupon Passthrough	X			3/10/2016	X													
3	(S) Georgetown Apartments Association	X			7/19/2016								X						
4	(S) Alibaba Group Holding Ltd		X		7/22/2016					X									
5	(S) Brazilian Zero Coupon Passthrough		X		8/12/2016	X													
6	(S) Brazilian SELIC (LFT) Bonds (Held by BTG)	X			8/18/2016	X													
7																			
8	(S) EOAGT LLC:																		
9	(S) Alibaba Group Holding Ltd		X		7/22/2016			X											
10																			
11	(S) AAM Partners LLC - Summa I LLC:																		
12	(S) Dermira Inc Stock ¹	X			6/29/2016	X													
																			t3

¹ Shares originally distributed by Aisling Capital III on 5/26/16

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t3

TRANSACTIONS (continued)

(use only if needed)

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[illegible]