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

(Mo./Date/Yr.)

RECEIVED
SECRETARY OF THE SENATE
PUBLIC RECORDS
13 DEC -5 AM 10:57

Reporting Individual's Name: Carper, Thomas R.

☐ Amendment

Senate Office / Agency in Which Employed: Office of Senator Thomas R. Carper

Page Number: 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 this disclosure be filed more than 45 s after such transaction.

		Identification of Assets	Transaction Type (x): Purchase	Sale	Exchange	Transaction Date (Mo., Day, Yr.)	Amount of Transaction (x): $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
	ample: Spouse Dependent Child	*IBM Corp. (stock) NYSE*	*X*			*2 / 1 / 1X*		X			E	X	A	M	P	L	E
(J)	Joint	*(DC) Microsoft (stock) NASDAQ/OTC*		*X*		*2 / 27 / 1X*				X	E	X	A	M	P	L	E
1		(s) I-Shares Med-Cap ETF	x			11/15/13	x										
2		(s) SPDR Trust Series 1	x			11/15/13	x										
3		(s) I-Shares Russell 1000 Value	x			11/15/13	x										
4		(s) SPDR S&P Bric 40	x			11/15/13	x										
5		(s) I-Share MSCI Emerging Mkt.		x		11/25/13	x										
6		(s) Barclays 13.65% Autocall NEM		x		11/8/13		x									
7		(s) Haliburton		x		11/11/13		x									
8		(s) MS 8.95% Autocall BRCM		x		11/14/13	x										
9		(s) Citi 7.75% Autocall CMI		x		11/18/13		x									
10		(s) Valero Energy 9.75% ELK		x		11/21/13		x									
		(s) Barclays 10% Autocall BRCM	x			11/22/13	x										
2		(s) Barclays 12.75% Autocall Tex	x			11/22/13		x									