

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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SECRETARY OF THE SENATE
PUBLIC RECORDS

13 SEP - 3 PM 2/28/20

Reporting Individual's Name		<input type="checkbox"/> Amendment		Senate Office / Agency in Which Employed		Page Number												
Carper, Thomas R.				Office of Sen. Thomas R. Carper		1												
<p>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.</p>																		
Identification of Assets				Transaction Type (x)		Amount of Transaction (x)												
Example: (s) Spouse (DC) Dependent Child (J) Joint				Purchase	Sale	Exchange	Transaction Date (Mo., Day, Yr.)	\$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
(s) IBM Corp. (stock) NYSE				X			2 / 1 / 1X		X			E	X	A	M	P	L	E
(DC) Microsoft (stock)					X		2 / 27 / 1X				X	E	X	A	M	P	L	E
(J) NASDAQ/OTC																		
1	(s) Pentair				X		8/13/2013	X										
2	(s) PDL Biopharma Inc.			X			8/13/2013	X										
3	(s) Broadcom Single Observation ELK 6% 8/5/2013				X		8/5/2013		X									
4	(s) MS Contingent Autocall Broadcom 8.95% 8/15/2016			X			8/9/2013	X										
5	(s) Citi Fixed Autocall Cummins Engine 7.75% 8/14/2014			X			8/9/2013		X									
6	(s) MS Contingent Autocall Cisco 8.3% 9/5/2014			X			8/30/2013	X										
7	(s) PNC Financial Solutions			X			8/22/2013	X										
8	(s) Navios Maritime Holdings			X			8/21/2013	X										
9																		
10																		
11																		
12																		

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