<u>aaaaaaa ae ea</u> UNITED STATES SENATE FINANCIAL DISCLOSURE REPORT FOR ANNUAL AND TERMINATION FILERS Amendment Last Name First Name and Middle Initial **Annual Report Whitehouse** Calendar Year Covered by Report Sheldon Senate Office / Agency in Which Employed 2012 **US Senate** Senate Office Address (Number, Street, City, State, and ZIP Code) Senate Office Telephone Number (Include Area Code) **Termination Report** 70 Westminster St, Prov, RI 02903 401-453-5294 Termination Date (mm/dd/yy) Prior Office / Agency in Which Employed AFTER READING THE INSTRUCTIONS – ANSWER EACH OF THESE QUESTIONS AND ATTACH THE RELEVANT PART YES NO YES Did you, your spouse, or dependent child receive any reportable travel or Did any individual or organization make a donation to charity in lieu of reimbursements for travel in the reporting period (i.e., worth more than paying you for a speech, appearance, or article in the reporting period? \$350 from one source)? f Yes, complete and attach PART I. If Yes, complete and attach PART VI. Did you or your spouse have earned income (e.g., salaries or fees) or non-Did you, your spouse, or dependent child have any reportable liability nvestment income of more than \$200 from any reportable source in the (more than \$10,000) during the reporting period? eporting period? If Yes, complete and attach PART VII. f Yes, complete and attach PART II. Did you, your spouse, or dependent child hold any reportable asset worth Did you hold any reportable positions on or before the date of filing in the nore than \$1,000 at the end of the period, or receive unearned or current calendar year? nvestment income of more than \$200 in the reporting period? if Yes, complete and attach PART VIII. f Yes, complete & attach PART IIIA and/or IIIB. Did you, your spouse, or dependent child purchase, sell, or exchange any Do you have any reportable agreement or arrangement with an outside eportable asset worth more than \$1,000 in the reporting period? entity? f Yes, complete and attach PART IV. If Yes, complete and attach PART IX. Did you, your spouse, or dependent child receive any reportable gift in the If this is your FIRST Report: Did you receive compensation of more than eporting period (i.e., aggregating more than \$350 and not otherwise \$5,000 from a single source in the two prior years? xempt)? If Yes, complete and attach PART X. Yes, complete and attach PART V. Each question must be answered and the appropriate PART attached for each "YES" response. FOR OFFICIAL USE ONLY

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SECRETARY OF THE SINATE OF CORD PUBLIC RECORD

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ţı	raded asset	omplete name of each public held by you, your spouse, or ent child, (See p.3,				If No	ne, o neck				-	,				·		Тур	e c	of In	cor	ne		<u> </u>			•••	Am	oui	nt o	of in	сог	ne		
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ic ft e	(2) general income (come of the come of the control	ted over \$200 in "unearned" during the reporting period, ART IIIA a complete of each public bond, mutual traded partnership interest, estment fund, bank account, diqualified blind trust, and ed asset of a retirement plan.	one (or le	1-\$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 - \$25,000,00	\$25,000,001 - \$50,000,0	Over \$50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fur	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Amount Required if "Other" Specified
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2		n Stanley-IRA- see attached			X			·· ·							<u> </u>	Х		Х	Х	-		<u> </u>			Х										
3	Morgan St	anley-IRA- see attached (C)			 		х									Х		X	Х							Х									 -
4	Morgan St Family Tru	anley-Sheldon Whitehouse st- see attached (D)							:		Х		. <u>-</u>		 	Х		Х	Х		-								Х						
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9	MS [2] & N into (J) MS	/IS [3] from 2011 were merge [2] in 2012	d																								\neg						\dashv		
0	Sales transincome- se	sactions reporting capital gainge attached (I)	n													•															\dashv	1			
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Whitehouse Sheldon	

PART IV. TRANSACTIONS

Page Number

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								Am	oun	t of	Trar	ısac	tior	1 (x)		
Report any pui child (See p.3,	rchase, sale, or exchange by you, your spouse, or depender CONTENTS OF REPORTS, Part B of Instructions) during t	FL _	nsac ype (
reporting perion other securities include transactions involving properties between you, y	d of any real property, stocks, bonds, commodity futures, and when the amount of the transaction exceeded \$1,000. In the ctions that resulted in a loss. Do not report a transaction extracted solely as your personal residence, or a transaction your spouse, or dependent child. Please clarify which two involved in any reportable exchange.	id	4	change	Transaction Date (Mo., Day, Yr.)	001 - \$15,000	,001 - \$50,000	50,001 - \$100,000	0,001 - \$250,000	0,001 - \$500,000	0,001 - \$1,000,000	1.\$1,000,000	000,000 - \$5,000,000	000,000, \$25,000,000	000,000, - \$50,000,000	r\$50,000,000
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S, Example: DC,	IBM Corp. (stock) NYSE	X			2/1/1X		Х		:	Е	Х	Α	M	P	L.	E
or J	(DC) Microsoft (stock) NASDAQ/OTC		X		1/27/1X				Х	Ε	Х	<u> </u>	M	P	L	E
ı vvpx ∈nergy ı	nc (Williams Co, Inc. in 2011)		X		1/17/12	X		_						-		
2 Vmware Inc	·	: :. <u>:</u>	Х		1/17/12		X									
Nvidia Corp		. · · · · · · · · · · · · · · · · · · ·	x		1/17/12	Χ										12 (21 (A) (B) (A) (A) (A) (A) (A) (A) (A) (A) (A) (A
Myriad Genet	ic Inc		Х		1/17/12	Х	:			·						
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Gilead Service	es Inc		Х		1/17/12	X		·								
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0 Eaton Vance	Comm Strat	Х			1/24/12	Х									\dashv	
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2 Ivy Mid Cap G	Srowth	Х			1/24/12	Х									\dashv	\dashv
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Reporting Individuals Name > 1	Amendment
Whitehouse, Sheldon	

PART IV. TRANSACTIONS

Page Number

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cł	nild (See p.3,	rchase, sale, or exchange by you, your spouse, or dependent CONTENTS OF REPORTS, Part B of Instructions) during the		nsact ype (0	
ot In in be	her securities clude transa- volving prope etween you, y	d of any real property, stocks, bonds, commodity futures, and s when the amount of the transaction exceeded \$1,000. ctions that resulted in a loss. Do not report a transaction erty used solely as your personal residence, or a transaction your spouse, or dependent child. Please clarify which two involved in any reportable exchange. Identification of Assets	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
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1	Visa Inc CI A		·X			12/17/12		х									
2	Westport Inno	vations Inc	Х		·	3/22/12	Х										
3	Westport Inno	ovations Inc	Х			7/06/12	X										
4	(DC) Morgan	Stanley [1]	· · · · · · · · · · · · · · · · · · ·	:		, , , , , , , , , , , , , , , , , , ,	· · · · · · · · · · · · · · · · · · ·									····-	
5	Petroleo Bras	Sa Ads (Petrobras)		х		7/06/12	Х								-		
6	Celgene Corp		×			7/06/12	Х										
7	Watts Wtr Ted	ch Inc A		Х		9/26/12	Х										
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2	Intel Corp			Х		12/17/12	Х										\dashv
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BLOCK A Identity of Publicly Traded Assets And Unearned Income Sources Report the complete name of each publicly			At	the d	B uati dose e, or eck t	on of re-	eport	Ass ting n S1	perio 001,	od.										7	Type an			K C unt		ncc	me						
traded asset held by you, your spouse, or your dependent child, (See p.3, CONTENTS OF REPORTS, Part B of Instructions) for production of income or investment which: (1) had a value exceeding \$1,000 at the close of the reporting period; and/or (2) generated over \$200 in "unearned" income during the reporting period. Include on PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment fund, bank account, excepted and qualified blind trust, and publicly traded asset of a retirement plan.	None (or less than \$1,001)	00	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	001 - \$5(\$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		Dividends		Interest	Capital Gains	Investment Fund	d Trust	Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000.***	\$1,000,0001 - \$5,000,000	000	Actual Amount Required if "Other" Specified
S, IBM Corp. (stock) Example: DC,				X										X							Example		X										Example
or J (S) Keystone Fund					X													Х			Example	X											Example

Include on PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment fund, bank account, excepted and qualified blind trust, and publicly traded asset of a retirement plan.	None (or less tha	\$1,001 - \$15,000	\$15,001 - \$50,00	\$50,001 - \$100,0	\$100,001 - \$250	\$250,001 - \$500	\$500,001 – \$1,0	Over \$1,000,000	\$1,000,001 - \$5,	\$5,000,001 - \$25	\$25,000,001 - \$5	Over \$50,000,00	None	Dividends	Rent	Interest	Capital Gains	Excepted Investr	Trust	Qualified Blind T	(Specify Туре)	r less t	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,00	\$50,001 - \$100,0	\$100,001 - \$1,00	(A	\$1,000,001 - \$5,0	Ō	if "Other" Specified
S, IBM Corp. (stock)				X					:					Х							Example		Х					·					Example
or J (S) Keystone Fund	<u> </u>	ļ	Щ		×													X			Example	X					·				\Box		Example
1 (DC) Morgan Stanley [1]																																	
2 Cash savings		х														Х						Х											
3 Apple Inc				Х										Х				1						Х									
4 Bank of America			х											Х								Х											
5 Berkshire Hathaway Inc			Х											Х								Х											
6 Celgene Corp		n -41401	X	pason i mengi		gerbu .	:			iae is essa.	, ·	grades and whether	22°.	X		1		1- 1.7		Samuel (Sam		Х		izi kare		el nyaket							· · · · ·
7 Centurylink Inc		X												Х									X										
8 Covidien PLC		X												Х									X								\exists		
9 Cvs Caremark Corp			х											Х									×										······································
10 Devon Energy Corp		X												х								Х						ĺ			T		··· -
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This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

Reporting Indeptuals Name	6	4	X	A mendment
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Whitehouse, Sheldon

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number

Attach H

BLOCK A Identity of Publicly Traded Assets And Unearned Income Sources Report the complete name of each publicly			At	the o	uat close ne, o	e of r	of a epor s tha	B Assets Type and Amount of Income rting period. an \$1,001, column. Type of Income Amount of Income																									
raded asset held by you, your spouse, or our dependent child, (See p.3,			· · · · · · · · · · · · · · · · · · ·	CII	ECK	rise si	1151 0	AUTUIT	и.						1	Гур	e o	fino	on	10						Am	our	ıt o	f In	con	ne		
contents of REPORTS, Part B of Instructions) for production of income or investment which: (1) had a value exceeding \$1,000 at the close of the reporting period; and/or (2) generated over \$200 in "unearned" income during the reporting period. Include on PART IIIA a complete dentification of each public bond, mutual und, publicly traded partnership interest, excepted investment fund, bank account, excepted and qualified blind trust, and publicly traded asset of a retirement plan.	None (or less than \$1,001)	1 - \$15,000	\$15,001 - \$50,000	\$100,	\$100,001 - \$250,000	- \$500,0(\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$ -	Over \$50,000,000		Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	1	Other (Specify Type)	None (or less than \$201)	•			63	\$15,001 - \$50,000	1	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified
S, IBM Corp. (stock)				Х										х							Example		X										Example
or J (S) Keystone Fund	╀		-		Х							<u> </u>		-		<u> </u>		Х			Example	X											Example
(J) Morgan Stanley [2]																																	
Cash Savings						X										Х							Χ										
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Apple Inc					Х					:				Х										х									
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Whitehouse, Sheldon

PARTIIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number

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BLOCK A Identity of Publicly Traded Assets And Unearned Income Sources Report the complete name of each publicly			At t	he c	uati ose	of se	of /	Ass ting	BLOCK C Type and Amount of Income period. 1,001, nn. Type of Income Amount of Income																								
traded asset held by you, your spouse, or				che	eck t	he fi	rst c	olum	nn.						7	Гур	e of	Inc	om	е						Am	our	nt o	f In	con	ne		
your dependent child, (See p.3, CONTENTS OF REPORTS, Part B of Instructions) for production of income or investment which: (1) had a value exceeding \$1,000 at the close of the reporting period; and/or (2) generated over \$200 in "unearned" income during the reporting period. Include on PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment fund, bank account, excepted and qualified blind trust, and publicly traded asset of a retirement plan.	None (or less than \$1,001)	000	\$50,00		\$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	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Blind	Other (Specify Type)	0	₩	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	000	Actual Amount Required if "Other" Specified
S, IBM Corp. (stock) Example: DC,				X										X							Example		Х										Example
or J (S) Keystone Fund	_				Х						_	1						Х			Example	Х									 		Example
1	<u></u>																						X										**************************************
2 Enterprise Prod Partners LP			Х											Х										х									
3 General Electric Co			Х											Х		ļ								Х									·
4 Honeywell Intl Inc	<u> </u>		Х											Х									Х										
5 Intel Corp			х											Х				:						Х									
6 JP Morgan Chase & Co		7/a/i	X			*	:				·			Χ·		ar tek	. ,	1.65 . F .					Х	* 1 i					o con	-			
7 Mcdonalds Corp			х											Х										X									
8 Microchip Tech Inc			х											х										Х				·					
9 Nestle SA Spon Adr				Х										Х										Х									
10 Qualcomm Inc			х											Х									Х										
EXEMPTION TEST (see instructions before marking box): *** This category applies only if the asset is/was held indep																												es at	p brot	oriat∈	!		

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Whitehouse, Sheldon

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number

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income during the reporting period.				BLOCK B Valuation of Assets At the close of reporting period. If None, or less than \$1,001, check the first column.									BLOCK C Type and Amount of Income																						
													Type of Income									Amount of Income													
			None (or less than \$1,001)	6	- \$50,0	1 -	\$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		Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Blind	Other (Specify Type)	None (or less than \$201)	\$1,000	,	ן י		\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	000'000'1	8	000	Actual Amount Required if *Other" Specified
S, IBM Corp. (stock)						Х										X							Example		Х										Example
	or J	(S) Keystone Fund	丰	ļ	_		Х													X		:	Example	Х						, <u></u>					Example
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<u>}</u>	V F Corp					×										Х										X									
Verizon Comm				х											Х										X										
Allianz Se 8.375%			X												Х										Х										
}			Γ																																
Goldman Sachs Group Inc Global Sr Notes			 	X							·				Х										Х									1-1-1	
AT&T Inc Dtd 2/03/09				X													х								Х										
)	Raymond	James Financial			Х											Х										х				:					
0 JPMorgan Chase-Cap XXIV 6.875%			х												Х									х											
		ST (see instructions before marking box): applies only if the asset is/was held indep	•			-							-										•								pproj	oriate	}.		