

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

SECRETARY OF THE SENATE

16 APR -4 AM 10: 32

(Time/Date)

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.

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

Identification of Assets

Example:

(S) Spouse  
(DC) Dependent  
Child  
(J) Joint

IBM Corp. (stock) NYSE

(DC) Microsoft (stock)  
NASDAQ/OTC

X

2/1/1X

X

E

X

A

M

P

L

E

X

2/27/1X

X

E

X

A

M

P

L

E

1 (S) Peter L Malkin Family 2000 LLC:

2 (S) Kinrose Fund LP

X

5/15/2014

X

3 (S) Trellus Partners

X

12/1/2014

X

4 (S) EOAGT LLC:

5 (S) Kinrose Fund, LP

X

5/15/2014

X

6 (S) 3M's Partners LLC:

7 (S) Trellus Partners

X

12/1/2014

X

8 (S) Peter L Malkin Family 9 LLC:

9 (S) RRE Ventures VI, LP

X

5/30/2014

X

10 (S) Trellus Partners

X

12/1/2014

X

11 (S) BTG Estre Pedreira (Iron Fundo De Investimento)

X

11/28/2014

X

12 (S) 3M's Partners - Trellus Partners

X

12/1/2014

X

Reporting Individual's Name

Richard Blumenthal

**TRANSACTIONS** (continued)

(use only if needed)

Page Number

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					Amount of Transaction (x)														
					Transaction Type (x)			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
					Purchase	Sale	Exchange												
Identification of Assets																			
1	(S) CMB 2009 GRAT- Peter L Malkin Family 9 LLC:																		
2	(S) RRE Ventures VI, LP				X			5/30/2014	X										
3	(S) Trellus Partners					X		12/1/2014	X										
4	(S) BTG Estre Pedreira (Iron Fundo De Investimento)				X			11/28/2014			X								
5	(S) 3M's Partners - Trellus Partners					X		12/1/2014				X							
6	(S) RCB Investment Partners				X			12/31/2014					X						
7	(DC) Claire Blumenthal 2012 Trust -- RCB Investment Partners				X			12/31/2014						X					
8																			
9																			
10																			
11																			
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15																			
16																			
17																			

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Secretary of the Senate  
April 4, 2016  
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Please do not hesitate to contact us should you have any questions. Thank you for your attention to this matter

Very truly yours,

A handwritten signature in black ink, appearing to read 'Marc Elias', with a long horizontal flourish extending to the right.

Marc Elias  
Kate Sawyer Keane  
Counsel to Senator Richard Blumenthal

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Amendment to July 3, 2014  
Periodic Transaction Report

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