

This Report Should Be Filed With:

Secretary of the Senate
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PERIODIC DISCLOSURE OF FINANCIAL TRANSACTIONS

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Reporting Individual's Name

☐ Amendment

Senate Office / Agency in Which Employed

Page Number

Carper, Thomas R.

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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.

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				Purchase	Sale		Exchange											
Identification of Assets							\$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	
Example: (S) Spouse (DC) Dependent Child (J) Joint				IBM Corp. (stock) NYSE	X		2 / 1 / 1X		X			E	X	A	M	P	L	E
				(DC) Microsoft (stock) NASDAQ/OTC		X	2 / 27 / 1X				X	E	X	A	M	P	L	E
1	(s) Gladstone Capital (NYSE)				X		1/15/2013	X										
2	(s) Veolia Environmental (NYSE)				X		1/15/2013	X										
3	(s) Exxon Mobil (NYSE)				X		1/15/2013	X										
4	(s) Nexpoint Credit Strategies (NYSE)				X		1/15/2013	X										
5	(s) Portugal Telecom (NYSE)				X		1/15/2013	X										
6	(s) Cardinal Health (NYSE)				X		1/15/2013	X										
7	(s) MS Autocall on Coach Inc. due 2/5/14			X			1/31/2013		X									
8	(s) Broadcom Elk 6% due 8/15/13			X			1/31/2013		X									

This Periodic Disclosure Of Financial Transactions statement is required by the Ethics in Government Act of 1978, as amended. The statement will be made available by the Office of the Secretary of the Senate to any requesting person upon written application and will be reviewed by the Select Committee on Ethics. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil and criminal sanctions. (See 5 U.S.C. app. 4, § 104, and 18 U.S.C. § 1001.)

Certification

Signature of Reporting Individual

Date (Month, Day, Year)

I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.



2-7-13

For Official Use Only - Do Not Write Below This Line

Signature of Reviewing Official

Date (Month, Day, Year)

It is the opinion of the reviewer that the statements made in this form are in compliance with Title I of the Ethics in Government Act.

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Carper, Thomas R.

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TRANSACTIONS (continued)

(use only if needed)

Identification of Assets				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	Over \$50,000,000
1	(s) Broadcom Elk 10.5% due 1/24/13		X		1/24/2013		X											
2	(s) MS Autocall on Bank of America due 1/25/13		X		1/25/2013		X											
3	(s) Bank of America Non-Cumulative PFD.		X		1/14/2013	X												
4	(s) Pfizer Common Stock (NYSE)		X		1/15/2013	X												
5	(s) Home Depot Common Stock (NYSE)		X		1/15/2013	X												
6	(s) Carefusion Common Stock (NYSE)		X		1/15/2013	X												
7	(s) Bank of America Non-Cumulative Preferred Stock (NYSE)		X		1/15/2013	X												
8	(s) Innergex Renewable Energy (NASDAQ)		X		1/15/2013	X												
9	(s) Chimera Investment (NYSE)		X		1/15/2013	X												
10	(s) Compass Diversified Trust (NASDAQ)		X		1/15/2013	X												
11	(s) Duke Energy (NYSE)		X		1/15/2013	X												
12	(s) Northland Power Inc. (NASDAQ)		X		1/15/2013	X												
13	(s) Peyto Exploration Development (NASDAQ)		X		1/15/2013	X												
14	(s) NFJ Dividend & Interest (NYSE)		X		1/15/2013	X												
15																		
16																		
17																		

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