

Secretary of the Senate  
Office of Public Records  
Hart Building, Suite 232  
Washington, DC 20510

PERIODIC DISCLOSURE

OF FINANCIAL

TRANSACTIONS

RECEIVED  
SECRETARY OF THE SENATE  
(Time)

19 JAN 28 PM 4 06  
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Reporting Individual's Name

☐ Amendment

Senate Office / Agency in Which Employed

United States Senate

Senator Susan Collins

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.

Identification of Assets

Example:  
(S) Spouse IBM Corp. (stock) NYSE  
(DC) Dependent (DC) Microsoft (stock)  
(J) Joint NASDAQ/OTC

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)		Transaction Date (Mo., Day, Yr.)											
						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
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) Lilly Eli & Co		X			1/14/13	X												
2	(S) Oracle Corp		X			1/14/13	X												
3	(S) Bristol Myers Squibb Co			X		1/14/13	X												
4	(S) Intl Business Mach			X		1/14/13	X												
5	(S) PNC Funding Corp Nts B/E			X		1/18/13	X												
6	(S) Johnson & Johnson Com		X			1/17/13	X												
7																			
8																			

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.)

I, the undersigned, certify that the statements made herein are true, complete and correct to the best of my knowledge and belief.

Signature of Reporting Individual

Date (Month, Day, Year)

1-24-13

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.