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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)

| On in the | مالم باماد مادماد ما | Name X Amendment | Senate Office / Agency in Which Employed | | | | | | | | | | | Pa | Page Number | | | | |
|--|---------------------------------------|-----------------------------------|--|------|-----------|----------------------------------|---------------------------|---------------------|----------------------|-----------------------|-----------------------|-------------------------|---------------------|---------------------------|----------------------------|-----------------------------|-------------------|--|--|
| | | | United States Senate | | | | | | | | | | | 1 | 1 | | | | |
| Richard Blumenthal | | | | | | | Amount of Transaction (x) | | | | | | | | | <u></u> | | | |
| Report any purchase, sale, or exchange by you, your spouse, or dependent child within 30 days of receiving written notification of such transaction. Report | | | Transaction Type (x) | | | | | | <u>A</u> | moun | t of | rans | actio | <u>)n (x)</u> | <u>'</u> | | | | |
| 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. | | | 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 | | |
| Identification of Assets Example: IBM Corp. (stock) NYSE | | x | | | 2/1/1X | | х | | | Ε | X | A | м | Р | L | E | | | |
| | Spouse Dependent Child Joint | (DC) Microsoft (stock) NASDAQ/OTC | | X | | 2/27/1X | | | | Х | E | Х | Α | М | Р | L | E | | |
| _ | | Malkin Family 2000 LLC: | | | | | | | | | | _ | _ | | | - | | | |
| 2 (S) Kinrose Fund LP | | X | | | 5/15/2014 | | _ | | | | | X | <u> </u> | - | - | | | | |
| 3 | (S) T | rellus Partners | | X | | 12/1/2014 | _ | | <u> </u> | | | X | <u> </u> | - | - | | | | |
| 4 | (S) EOA | GT LLC: | | | _ | | _ | | <u> </u> | <u> </u> | | - | _ | _ | - | - | | | |
| 5 | (S) K | (inrose Fund, LP | × | | | 5/15/2014 | _ | | | _ | _ | $ \times $ | _ | - | - | - | | | |
| 6 (S) 3M's Partners LLC: | | | | | | _ | - | | _ | _ | - | - | - | - | - | - | | | |
| 7 (S) Trellus Partners | | | X | _ | 12/1/2014 | _ | | _ | $ \times $ | | - | +- | <u> </u> | - | - | - | | | |
| 8 | (S) Peter | r L Malkin Family 9 LLC: | | _ | | | _ | _ | | | - | - | | +- | + | | | | |
| 9 (S) RRE Ventures VI, LP | | × | | | 5/30/2014 | 1 | × | 4_ | - | - | - | +- | + | - | - | - | | | |
| 10 (S) Trellus Partners | | | X | | 12/1/2014 | 1 | _ | \perp | 1_ | - | _ | +- | +- | + | | - | | | |
| 11 | (S) BTG Investiment | Estre Pedreira (Iron Fundo De | × | | | 11/28/2014 | 4 | _ | | | × | 1 | + | +- | + | _ | - | | |
| (S) 3M's Partners - Trellus Partner | | S | × | | 12/1/2014 | 4 | | | | \ \ | | | | | | | | | |

| Reporting Individual's Name Richard Blumenthal | | TRANSACTIONS (continued) (use only if needed) | | | | | | | | | | | | f | Page Number | |
|--|---|---|-----------------|----------|--|--------------------|---------------------|----------------------|-----------------------|-----------------------|-------------------------|---------------------|---------------------------|----------------------------|-----------------------------|-------------------|
| Amount of Transaction (x) | | | | | | | | | | | | | | | | |
| | | | nsact ype (x | | | | | | | | | | 0 | 8 | 000 | |
| | 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 |
| 1 (S) (| CMB 2009 GRAT- Peter L Malkin Family 9 | | _ | | | | | | | | | | | | | |
| 1 LLC 2 | (S) RRE Ventures VI, LP | X | | | 5/30/2014 | X | | | | | _ | | | | | |
| 3 | (S) Trellus Partners | | X | | 12/1/2014 | X | | | | | | | | | | |
| | (S) BTG Estre Pedreira (Iron Fundo Investimento) | X | | | 11/28/2014 | | | X | | | | | _ | | | |
| 5 | (S) 3M's Partners - Trellus Partners | | × | | 12/1/2014 | | | | X | | | | | | | |
| 6 (S) |) RCB Investment Partners | X | | | 12/31/2014 | | _ | | | | X | | | | | |
| 7 (DC) RC | C) Claire Blumenthal 2012 Trust B Investment Partners | X | | | 12/31/2014 | | | | | | _ | X | | | | |
| 8 | | | | _ | <u> </u> | | | - | | | | | _ | | | |
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| 11 | | _ | | - | | | _ | _ | | <u> </u> | - | _ | _ | - | <u> </u> | |
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April 4, 2016

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

Senator Richard Blumenthal Re:

Dear Madame Secretary

We are writing on behalf of Senator Richard Blumenthal. Enclosed please find the following amendments to his annual Financial Disclosure Reports and Periodic Transaction Reports:

- An amended Part IIIB to the annual Financial Disclosure Report for calendar year 2012.
- Amended Parts II, IIIB, and IV (with footnotes) to the annual Financial Disclosure report for calendar year 2013.
- Amended Parts II, IIIB, and IV (with footnotes) to the annual Financial Disclosure report for calendar year 2014.
- Amendment to the Periodic Transaction Report filed on July 3, 2014 and previously amended on August 18, 2015.

These amendments are based on K-1 forms and other information received after the original reports were filed.

Secretary of the Senate April 4, 2016 Page 2

Please do not hesitate to contact us should you have any questions. Thank you for your attention to this matter

Very truly yours,

Marc Elias

Kate Sawyer Keane

Counsel to Senator Richard Blumenthal

Amendment to July 3, 2014 Periodic Transaction Report