

# UNITED STATES SENATE FINANCIAL DISCLOSURE REPORT FOR ANNUAL AND TERMINATION FILERS

☐ Amendment

Last Name	First Name and Middle Initial	Annual Report	
Casey, Jr.	Robert P.	Calendar Year Covered by Report 2012	Senate Office / Agency in Which Employed Office of Senator Robert P. Casey, Jr.
Senate Office Address (Number, Street, City, State, and ZIP Code)	Senate Office Telephone Number (Include Area Code)	Termination Report	
393 Russell Senate Office Building, WDC 20510	202-224-6324	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	NO
Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If Yes, complete and attach PART I.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Did you, your spouse, or dependent child receive any reportable travel or reimbursements for travel in the reporting period (i.e., worth more than \$350 from one source)? If Yes, complete and attach PART VI.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Did you or your spouse have earned income (e.g., salaries or fees) or non-investment income of more than \$200 from any reportable source in the reporting period? If Yes, complete and attach PART II.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Did you, your spouse, or dependent child have any reportable liability (more than \$10,000) during the reporting period? If Yes, complete and attach PART VII.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Did you, your spouse, or dependent child hold any reportable asset worth more than \$1,000 at the end of the period, or receive unearned or investment income of more than \$200 in the reporting period? If Yes, complete & attach PART IIIA and/or IIIB.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Did you hold any reportable positions on or before the date of filing in the current calendar year? If Yes, complete and attach PART VIII.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than \$1,000 in the reporting period? If Yes, complete and attach PART IV.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Do you have any reportable agreement or arrangement with an outside entity? If Yes, complete and attach PART IX.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Did you, your spouse, or dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$350 and not otherwise exempt)? If Yes, complete and attach PART V.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	If this is your FIRST Report: Did you receive compensation of more than \$5,000 from a single source in the <u>two</u> prior years? If Yes, complete and attach PART X.	<input type="checkbox"/>	<input type="checkbox"/>

**Each question must be answered and the appropriate PART attached for each "YES" response.**

FOR OFFICIAL USE ONLY  
Do Not Write Below this Line

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SECRETARY OF THE SENATE

## BLOCK A

### Identity of Publicly Traded Assets And Unearned Income Sources

Report the complete name of each publicly 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 this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

**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

[illegible]

**EXEMPTION TEST** (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.  
 \*\*\* This category applies only if the asset is not held independently of the trust.

\*\*\* 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.

# PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

### Identity of Publicly Traded Assets And Unearned Income Sources

Report the complete name of each publicly 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 this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

## 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

Example: S, DC, or J	BLOCK B										BLOCK C																								
	Valuation of Assets										Type of Income						Amount of Income																		
			At the close of reporting period. If None, or less than \$1,001, Check the first column.																																
			None (or less than \$1,001)	\$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	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	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	Actual Amount Required if "Other" Specified
S, IBM Corp. (stock)						X									X								Example	X										Example	
(S) Keystone Fund							X												X				Example	X										Example	
1	DC	First Energy Corp.		X											X									X											
2	DC	First Energy Corp.		X											X									X											
3	DC	Now U (guaranteed savings plan)		X											X									X											
4	DC	Now U (guaranteed savings plan)		X											X									X											
5	DC	Now U (guaranteed savings plan)		X											X									X											
6	S	PNC Bank, Scranton, PA (interest-bearing checking account)	X															X						X											
7		PA State Employees Credit Union, Harrisburg, PA	X													X								X											
8		United States Senate Federal Credit Union, Washington, DC		X												X								X											
9																																			
10																																			

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* 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.

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**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**

Report the complete name of each publicly 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 this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

Example: S, DC, or J	IBM Corp. (stock)
	(S) Keystone Fund

	J	DC	Example	Example
1	Janus Flexible Bond (class A)	x	x	x
2	Ameriprise Insured Money Market	x	x	x
3	First National Community Bank (passbook savings account)	x	x	x
4				
5				
6				
7				
8				
9				
10				

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NOTE: To receive an additional award for this award

## PART IV. TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, 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 property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.

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	
Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, 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 property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.																		
Example: S, DC, or J																		
IBM Corp. (stock) NYSE			X			2 / 1 / 1X		X				E	X	A	M	P	L	E
(DC) Microsoft (stock) NASDAQ/OTC				X		1 / 27 / 1X				X	E	X	A	M	P	L	E	
1	DC	Fidelity College Investing Savings Plan 529 (MA Moderate Growth)	X			12/24/2012		X										
2	J	Janus Flexible Bond (Class A) +		X		8/9/2012	X											
3	J	Janus Flexible Bond (Class A)		X		8/12/2012	X											
4	J	Janus Flexible Bond (Class A)		X		8/16/2012	X											
5	J	Janus Flexible Bond (Class A) +		X		8/31/2012	X											
6	J	Janus Flexible Bond (Class A)		X		9/5/2012	X											
7	J	Janus Flexible Bond (Class A) +		X		9/18/2012	X											
8	DC	Fidelity Investments College Investing Plan 529 (U Fund) 70% Equity Portfolio* automatically exchanged for Fidelity Investments College Investing Plan 529 (U Fund) MA Moderate Growth*			X	3/2012				X								
9	DC	Fidelity Investments College Investing Plan 529 (U Fund) *100% Equity Portfolio* automatically exchanged for Fidelity Investments College Investing Plan 529 (U Fund) MA Aggressive Growth*			X	3/2012		X										
10																		
11		*Items 8 and 9 were automatically transferred by Fidelity. Transfers first appeared on the March 31, 2012 statement. No exact date of transfer was provided by Fidelity.																
12																		

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* 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.

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Reporting Individual's Name

☐ Amendment

Casey, Robert P., Jr.

**PART V. GIFTS**

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Report the source, brief description and value of all gifts aggregating more than \$350 in value received by you, your spouse, or your dependent child, (See p.3 CONTENTS OF REPORTS Part B of Instructions), from each source. Gifts with a value of \$140 or less need not be aggregated towards the disclosure threshold. "Gift" is defined in the Instructions.

**Exclude:** (1) Bequests and other forms of inheritance; (2) Political campaign contributions; (3) Communications to your offices including subscriptions to newspapers and periodicals; (4) Consumable products provided by home state businesses to your offices, if those products are intended for consumption by persons other than yourself; (5) Gifts received prior to your Federal employment; (6) Gifts to your spouse or dependent child totally independent of his or her relationship to you; (7) Gifts from relatives; (8) Personal hospitality of any individual (see instructions); (9) meals and beverages unless consumed in connection with a gift of overnight lodging; and (10) Food, lodging, transportation, and entertainment provided by a foreign government within a foreign country, or by federal, state, D.C., or local governments.

Name of Income Source		Address of Source	Dates and Brief Description	Gift Value
Example:	Mr. John Q. Smith	Anytown, VA	EXAMPLE	August 12, 201X, Silver platter - Ethics Committee wedding waiver granted
1	America Ireland Fund	Washington, DC	March 19, 2012, awarded table for 10 as honoree at AIF Gala in Washington, DC (Written approval from Senate Ethics Committee)	\$400
2				\$10,000
3				
4				
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11				

**Note:** The Senate Gift Rule prohibits most gifts from lobbyists and foreign agents and most gifts from other sources in excess of \$49.99.

## PART VII. LIABILITIES

Report liabilities over \$10,000 owed by you, your spouse, or dependent child (See p.3, CONTENTS OF REPORTS, Part B of Instructions), to any one creditor at any time during the reporting period. Check the highest amount owed during the reporting period. Exclude: (1) mortgages on your personal residences unless rented (**except for Senators**); (2) loans secured by automobiles, household furniture or appliances; and (3) liabilities owed to certain relatives listed in Instructions. See Instructions for reporting revolving charge accounts.

Name of Creditor			Address	Type of Liability			Disc Mortg	T	\$10,001	\$15,001	\$50,001	\$100,001	\$250,001	\$500,001	Over \$1	\$1,000,1	\$5,000,1	\$25,000	Over \$5
Example:	S, DC, or J	First District Bank	Wash., DC	Mortgage on undeveloped land	1992	13%	1 pt	25 yrs			X		E	X	A	M	P	L	E
		(J) John Jones	Wash., DC	Promissory Note	2000	10%	n/a	On dmd				X	E	X	A	M	P	L	E
1	J	First National Community Bank	Dunmore, PA	mortgage	2008	5.875	n/a	30 years			X								
2	J	First National Community Bank	Dunmore, PA	home equity line of credit	2008	5	n/a	20 years		X									
3	J	Luzerne Bank	Scranton, PA	mortgage	2012	5.5	n/a	20 years		X									
4	J	LA Bank	Lake Ariel, PA	home equity line of credit	2009	4.25	n/a	20 years		X									
5																			
6																			
7																			
8																			
9																			
10		*item #4 was closed out in 2012, in favor of item #3																	
11																			
12																			

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* 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.

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Reporting Individual's Name

☐ Amendment

Casey, Robert P., Jr.

**PART VIII. POSITIONS HELD OUTSIDE U.S. GOVERNMENT**

Page Number

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Report any positions held by you during the applicable reporting period whether compensated or not. Positions include, but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. Both the year and month must be reported for the period of time that the position was held.

**Exclude:** Positions with federal government, religious, social, fraternal, or political entities, and those solely of an honorary nature.

Name of Organization		Address (City, State)	Type of Organization	Position Held	From (Mo/Yr)	To (Mo/Yr)
Example:	National Assn. of Rock Collectors	NY, NY <b>EXAMPLE</b>	Non-profit education	President	6 / 91	Present
	Jones & Smith	Hometown, USA <b>EXAMPLE</b>	Law Firm	Partner	7 / 96	11 / 1X
1	Lackawanna County Bar Association	Scranton, PA	professional association	member	11/88	present
2						
3						
4						
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13						

Compensation in excess of \$200 from any position must be reported in Part II.



# PART IX. AGREEMENTS OR ARRANGEMENTS

Report your agreements or arrangements for future employment (including agreements with a publisher for writing a book or sale of other intellectual property), leaves of absence, continuation of payment by a former employer (including severance payments), or continuing participation in an employee benefit plan. See Instructions regarding the reporting of negotiations for any of these arrangements or benefits.

## Status and Terms of any Agreement or Arrangement

## Parties

## Date

Example:

Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on services performed through 11/0X and retained pension benefits (diversified, independently managed, fully funded, defined contribution plan)

Employment agreement with XYZ Co. to become Vice President of Government Relations. Terms of agreement include salary between \$50,001-\$100,000, signing bonus between \$2,501-\$5,000 and stock options

Jones &amp; Smith, Hometown, USA

EXAMPLE

1 / 94

XYZ Co., Bethesda, MD

EXAMPLE

1 / 1X

1 vested member of the state employee defined benefit pension plan

PA State Retirement System, Harrisburg, PA

1/2002

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