

# UNITED STATES SENATE FINANCIAL DISCLOSURE REPORT FOR NEW EMPLOYEE AND CANDIDATE REPORTS

<input type="checkbox"/> Amendment				
Last Name		First Name and Middle Initial		New Employee Report
Kaine		Timothy M.		Date of Employment (mm/dd/yy): Senate Office / Agency in Which Employed Candidate
Senate/Candidate Office Address (Number, Street, City, State, and ZIP)		Senate/Candidate Office Telephone No.		Candidate Report
PO Box 12307, Richmond, VA 23241		(804) 359-7100		Commencement of Candidacy (mm/dd/yy): 04/05/2011 State in which you are a candidate Virginia Candidate Reporting Period 2011-2012


## AFTER READING THE INSTRUCTIONS - ANSWER EACH OF THESE QUESTIONS

	YES	NO		YES	NO
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 checked="" type="checkbox"/>	<input type="checkbox"/>	Did you hold any reportable positions during the reporting period? If Yes, Complete and Attach PART VIII.	<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 and Attach PART IIIA and/or IIIB.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Did you have any reportable agreement or arrangement with an outside entity on the filing date? If Yes, Complete and Attach PART IX.	<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 type="checkbox"/>	<input checked="" type="checkbox"/>	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 checked="" type="checkbox"/>	<input type="checkbox"/>

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

**File this report and any amendments with the Secretary of the Senate, Office of Public Records, Room 232, Hart Senate Office Building, U.S. Senate, Washington, DC 20510. \$200 Penalty for filing more than 30 days after due date.**

This Financial Disclosure 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.		7/30/12
<b>For Official Use Only - Do Not Write Below This Line</b>		
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.	Signature of Reviewing Official	Date (Month, Day, Year)

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Report the source (name and address), type, and amount of earned income to you from any source aggregating \$200 or more during the reporting period. For your spouse, report the source (name and address) and type of earned income which aggregate \$1,000 or more during the reporting period. No amount needs to be specified for your spouse. (See p.3, CONTENTS OF REPORTS Part B of Instructions.) Do not report income from employment by the U.S. Government for you or your spouse.

**Individuals not covered by the Honoraria Ban:**  
For you and /or your spouse, report honoraria income received which aggregates \$200 or more by exact amount, give the date of, and describe the activity (speech, appearance or article) generating such honoraria payment. Do not include payments in lieu of honoraria reported on Part I.

Name of Income Source		Address (City, State)	Type of Income	Amount
Example:	JP Computers	Wash., DC	Salary	\$15,000
	MCI (Spouse)	Arlington, VA	Salary	Over \$1,000
1	Democratic National Committee	Washington, D.C.	Salary	\$58,000
2	University of Richmond	Richmond, VA	Salary	\$150,000
3	Annie E. Casey Foundation (spouse)	Baltimore, MD	Contract Income	over \$1,000
4	Youth-Nex (spouse)	Charlottesville, VA	Board Compensation	over \$1,000
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## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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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/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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**\*The National Life Insurance equity fund is comprised of the following holdings:**

Sentinel VPT Common Stock	Value: \$1,001-\$15,000
Sentinel VPT Small Company	Value: \$1,001-\$15,000
Sentinel VPT Bond	Value: \$1,001-\$15,000
Alger Large Cap Growth	Value: \$1,001-\$15,000
Alliance Bernstein VPS Small/Mid Cap Value	Value: \$1,001-\$15,000
Alliance Bernstein VPS International Value	Value: \$1,001-\$15,000
American Century VP International	Value: \$1,001-\$15,000
Neuberger Berman AMT Short Duration Bond	Value: \$1,001-\$15,000
T. Rowe Price Equity Income	Value: \$1,001-\$15,000
Van Eck VIP Emerging Markets	Value: \$1,001-\$15,000
Van Eck VIP Global Bond	Value: \$1,001-\$15,000
Van Eck VIP Global Hard Assets	Value: \$1,001-\$15,000

**\*\*The Fidelity Investments UTMA account is comprised of the following holdings:**

Fidelity Asset Manager 50%	Value: \$1,001-\$15,000	Type of Income: Excepted Investment Fund	Amount of Income: \$201-\$1,000
Fidelity Blue Chip Growth	Value: \$1,001-\$15,000	Type of Income: Excepted Investment Fund	Amount of Income: \$1,001-\$2,500
Fidelity Growth & Income	Value: \$1,001-\$15,000	Type of Income: Excepted Investment Fund	Amount of Income: \$201-\$1,000

\*\*\*My three children are each 1/10 beneficiaries of a college trust established by their grandparents. The trust is administered by Morgan Stanley Smith Barney and the total value of the trust is as shown. All income from trust assets stays in the trust. The trust is comprised of the following holdings:

American Movil S.A.B. de CV (stock)	Value: \$15,001-\$50,000	Type of Income: Dividends	Amount of Income: None
AT&T (stock)	Value: \$15,001-\$50,000	Type of Income: Dividends	Amount of Income: \$2,501-\$5,000
Bristol Myers Squibb (stock)	Value: \$15,001-\$50,000	Type of Income: Dividends	Amount of Income: \$5,001-\$15,000
Chevron (stock)	Value: \$50,001-\$100,000	Type of Income: Dividends	Amount of Income: None
Coca-Cola (stock)	Value: \$50,001-\$100,000	Type of Income: Dividends	Amount of Income: None
Duke Energy (stock)	Value: \$1,001-\$15,000	Type of Income: Dividends	Amount of Income: \$1,001-\$2,500
Exxon Mobil (stock)	Value: \$50,001-\$100,000	Type of Income: Dividends	Amount of Income: \$5,001-\$15,000
General Electric (stock)	Value: \$15,001-\$50,000	Type of Income: Dividends	Amount of Income: \$5,001-\$15,000
IBM (stock)	Value: \$15,001-\$50,000	Type of Income: Dividends	Amount of Income: \$2,501-\$5,000
Kimberly Clark (stock)	Value: \$15,001-\$50,000	Type of Income: Dividends	Amount of Income: \$5,001-\$15,000
Kinder Morgan Energy (stock)	Value: \$15,001-\$50,000	Type of Income: Dividends	Amount of Income: \$201-\$1,000
Staples (stock)	Value: \$1,001-\$15,000	Type of Income: Dividends	Amount of Income: None
TICC Capital (stock)	Value: \$1,001-\$15,000	Type of Income: Dividends	Amount of Income: \$201-\$1,000
Cash Deposits	Value: \$15,001-\$50,000	Type of Income: Interest	Amount of Income: None
Plum Creek Timber Co (stock)	Value: None (sold in period)	Type of Income: Dividends	Amount of Income: \$201-\$1,000

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**\*\*\*\*The Morgan Stanley IRA account is comprised of the following holdings:**

Blackrock Inflation Protected Bond	Value: \$15,001-\$50,000	Type of Income: Excepted Investment Fund	Amount of Income: \$201-\$1,000
Delaware Diversified Income Fund	Value: \$15,001-\$50,000	Type of Income: Excepted Investment Fund	Amount of Income: \$201-\$1,000
First Eagle Global Fund Class I	Value: \$50,001-\$100,000	Type of Income: Excepted Investment Fund	Amount of Income: None
Loomis Bond Fund Institutional Class	Value: \$50,001-\$100,000	Type of Income: Excepted Investment Fund	Amount of Income: \$201-\$1,000
MFS Emerging Markets Debt Fund Class I	Value: \$15,001-\$50,000	Type of Income: Excepted Investment Fund	Amount of Income: None
Franklin Mutual Global Discovery Fund Class Z	Value: \$15,001-\$50,000	Type of Income: Excepted Investment Fund	Amount of Income: None
Oppenheimer Developing Markets Fund Class Y	Value: \$15,001-\$50,000	Type of Income: Excepted Investment Fund	Amount of Income: None
Permanent Portfolio Fund	Value: \$50,001-\$100,000	Type of Income: Excepted Investment Fund	Amount of Income: None
Royce Special Equity Fund	Value: \$15,001-\$50,000	Type of Income: Excepted Investment Fund	Amount of Income: None
Templeton Global Bond Fund Advisor Class	Value: \$50,001-\$100,000	Type of Income: Excepted Investment Fund	Amount of Income: None

**\*\*\*\*\*The Morgan Stanley IRA account (spouse) is comprised of the following holdings:**

First Eagle Global	Value: \$1,001-\$15,000	Type of Income: Excepted Investment Fund	Amount of Income: None
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## PART VIII. POSITIONS HELD OUTSIDE U.S. GOVERNMENT

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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	Commonwealth of Virginia	Richmond, VA	Government	Governor	1/05	1/10
2	Democratic National Committee	Washington, D.C.	National Party Committee	Chairman	1/09	4/11
3	University of Richmond	Richmond, VA	Private Education	Faculty	1/10	present
4	Housing Opportunities Made Equal	Richmond, VA	Non-profit Housing	Director	1/11	present
5	Myotonic Dystrophy Foundation	Menlo Park, CA	Non-profit Health	Director	1/11	present
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**Compensation in excess of \$200 from any position must be reported in Part II.**



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HART SENATE OFFICE BUILDING, ROOM 220  
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WASHINGTON, DC 20510-6425

May 16, 2012

Mr Timothy M. Kaine

Richmond, VA 23227

Dear Mr Kaine:

This is in response to your request for an extension of time for filing your candidate public financial disclosure report. Your form was originally due on May 15, 2012. Pursuant to section 101(g) of the Ethics in Government Act of 1978, as amended, the Committee grants you a 90-day extension, and your form will therefore be due no later than August 13, 2012. Section 101(g) also provides that the total of all extensions granted to an individual may not exceed ninety days.

Please note that section 104(d)(1) of the Act provides that any individual who files a report more than 30 days after the last day of the filing extension period shall pay a filing fee of \$200.

Sincerely,



John C. Sassaman  
Chief Counsel and Staff Director

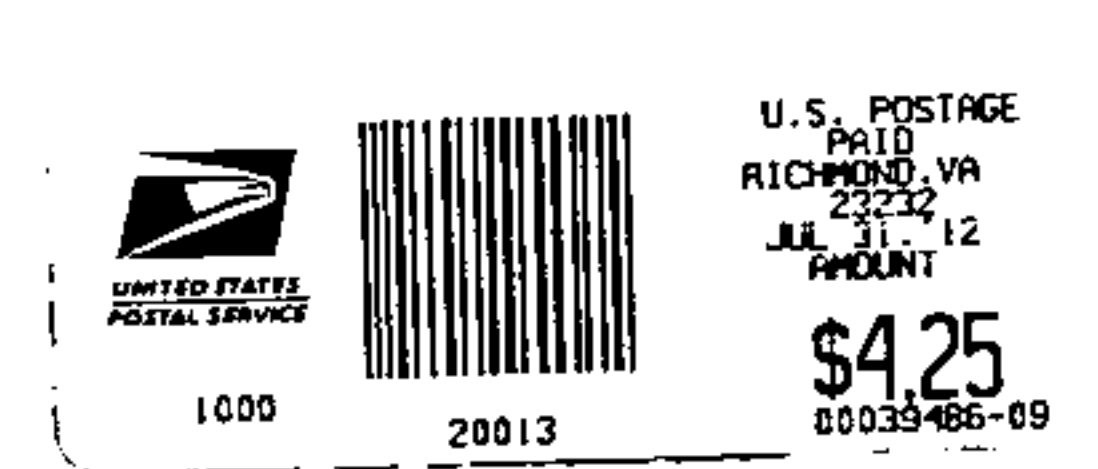
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cc: Secretary of the Senate

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Kaine for Virginia  
PO Box 12307  
Richmond, VA 23241



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