

00000692751

**UNITED STATES SENATE FINANCIAL DISCLOSURE REPORT
FOR ANNUAL AND TERMINATION REPORTS**

<input type="checkbox"/> Amendment			
Last Name	First Name and Middle Initial	Annual Report	
Carper	Thomas R	Calendar Year Covered by Report: 2011	Senate Office / Agency in Which Employed Senator Tom Carper
Senate Office Address (Number, Street, City, State, and ZIP Code)	Senate Office Telephone Number (Include Area Code)	Termination Report	
513 Hart Senate Office Building	202-224-2441	Termination Date (mm/dd/yy):	Prior Office / Agency in Which Employed Governor, State of Delaware

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 checked="" type="checkbox"/>	<input 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 checked="" type="checkbox"/>	<input 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 type="checkbox"/>	<input checked="" 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 type="checkbox"/>	<input checked="" 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 type="checkbox"/>	<input checked="" type="checkbox"/>	If this is your FIRST Report: Did you receive compensation of more than \$5,000 from a single source in the two 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.

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.)

**FOR OFFICIAL USE ONLY
Do Not Write Below this Line**

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.		5-15-12

For Official Use Only - Do Not Write Below This Line		
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)

12 MAY 15 PM 1:20
SECRETARY OF THE SENATE

932

Reporting Individual's Name

 Amendment

Carper, Thomas R.

PART I. PAYMENTS TO PAY CHARITABLE ORGANIZATIONS IN LIEU OF HONORARIA

Page Number

1

Report the source (name and address), date, and amount of any payment from each source to a charitable organization made in lieu of honoraria to you during the reporting period. Identify the activity (speech, article, or appearance), which generated the payment. For further information, see Instructions.

Note: Travel expenses in excess of \$350 related to activities giving rise to these payments must be reported in Part VI, Reimbursements.

Date of Payment	Name of Source	Address (City, State)	Speech, Article, or Appearance	Amount
Example:	3/26/1X Association of American Associations	Wash., DC EXAMPLE	Speech	\$1,000
	7/23/1X XYZ Magazine	NY, NY EXAMPLE	Article	\$500
1 2/2/11	The Connell Company	Berkeley Heights, New Jersey	Appearance	\$2,000
2				
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A separate, confidential report which names the charitable organization receiving such payments must be filed directly with the Select Committee on Ethics.

Carper, Thomas R.

PART II. EARNED AND NON-INVESTMENT INCOME

2

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	EXAMPLE	Salary \$15,000
	MCI (Spouse)	Arlington, VA	EXAMPLE	Salary Over \$1,000
1	E.I Dupont Nemours and Co. (Spouse)	Wilmington, DE	Pension	over \$1,000
2	University of Delaware (Spouse)	Newark, DE	Salary	over \$1,000
3	State of Delaware	Dover, DE	Pension	\$33,100
4				
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9				
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13				

Carper, Thomas R.

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

3

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.

	S, Example: DC, or J	IBM Corp. (stock) (S) Keystone Fund	BLOCK B Valuation of Assets							BLOCK C Type and Amount of Income							
			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	Type of Income	Amount of Income	Actual Amount
1		Citbank NA Bank Deposit		x													Example
2		Duke Energy		x													Example
3		Lincoln National			x												
4		Spectra Energy		x													
5		SPDR S&P 55 ETF Trust		x													
6		SPDR S&P Midcap 400 ETF Tr		x													
7		Invesco Pacific Growth Fund		x													
8		DE St Health Fac Auth Bond		x													
9		Invesco Pacific Growth Fund (IRA)		x													
10		Morgan Stanley Global Infrastructure Fund (IRA)		x													

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.

Carper, Thomas R.

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

4

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And Unearned Income Sources

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S, Example: DC, or J	IBM Corp. (stock)		X																
	(S) Keystone Fund		X																
1	Citibank NA South Dakota Bank Deposit		X																
2	S Dupont (S)		X																
3	S Lincoln National (S)		X																
4	S DE St EDA Bond (S)		X																
5	S Citibank NA Bank Deposit (S, IRA)	X																	
6	S Fidelity Advisor Leverage Co. Stock Fund (S, IRA)		X																
7	S Fidelity Advisor Diversified International Fund (S, IRA)		X																
8	S Fidelity Advisor New Insights (S, IRA)		X																
9	S Virtus Premium Alpha Sector (S, IRA)		X																
10	S Citibank NA Bank Deposit (S, IRA)		X																

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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

Type of Income								Amount of Income															
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 (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***	Over \$5,000,000	Actual Amount Required if "Other" Specified	
X								X				X	X										
									X					X									
										X													
										X													
										X													
										X													
										X													
										X													
										X													
										X													
										X													
										X													

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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
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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: DC, or J	S, IBM Corp. (stock) (S) Keystone Fund
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1 S Apple Inc (S, IRA)

2 S Chevron (S. IRA)

2 S Frontier Communication (S) IBA

— C — (P.M.) — Class (C) (PA)

Provider Energy (S, W)

73 Verizon Communications (VZ)

8 S BlackRock Global Opportunities

9 S Blackrock Real Assets Fund

10 S Blackrock Ecosolutions Fund

EXEMPTION TEST (see instructions before marking)

BLOCK B

Valuation of Assets

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	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000
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BLOCK C
Type and Amount of Income

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.

Click...to create an additional page for this part

Carper, Thomas R.

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

6

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
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	S, Example: DC, or J	IBM Corp. (stock)			X																			
		(S) Keystone Fund			X																			
1	S	Duff and Phelps Global Utilities (S, IRA)			X																			
2	S	Aberdeen Asia - Pacific Fun (S, IRA)			X																			
3	S	Bank of American 4% Pfd (S, IRA)			X																			
4	S	Met Life Pfd (S, IRA)			X																			
5	S	Citigroup Funding 3% based on Gold (S, IRA)			X																			
6	S	Morgan Stanley Contingent Income Auto Call Bank of America (S, IRA)			X																			
7	S	Morgan Stanley ELKS 11% due 6/25/2012 CMI (S, IRA)			X																			
8	S	First Trust Energy Infrastructure (S, IRA)			X																			
9	S	Nuveen Tradewinds Global All Cap Fund (S, IRA)			X																			
10	S	US Steel (S, IRA)			X																			

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.

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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.

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
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BLOCK C
Type and Amount of Income

Type of Income	Amount of Income
None (or less than \$201)	Actual Amount
\$201 - \$1,000	Required if "Other" Specified
\$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***	
Over \$5,000,000	

None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	Example	X													
	X								Example	X													
		X							Example	X													
			X							X													
				X							X												
					X							X											
						X							X										
							X							X									
								X							X								
									X							X							
										X							X						
											X							X					
												X							X				
													X							X			
														X							X		
															X							X	

Click...to create an additional page for this part.

Carper, Thomas R.

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

7

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:

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	S, Example: DC, or J	IBM Corp. (stock) (S) Keystone Fund	BLOCK B Valuation of Assets								BLOCK C Type and Amount of Income							
			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	Type of Income	Amount of Income	Actual Amount	
1	S	MS Range Accrual Notes 5/18/25 (S, IRA)		X														
2	S	Morgan Stanley ELKS 14.5% 2/23/2012 (S, IRA)		X														
3	S	Baker Hughes (S, IRA)	X															
4	S	International Lease Finance Bond (S, IRA)		X														
5	S	Ryder Systems Bond (S, IRA)		X														
6	S	Halliburton (S, IRA)		X														
7	S	Nationwide Health Properties (S, IRA)		X														
8	S	Metropolitan Edison Board (S, IRA)		X														
9	S	Block Financial Bond (S, IRA)		X														
10	S	Schlumberger (S, IRA)	X															

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.

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Click...to create an additional page for this part.

Carper, Thomas R.

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

8

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:

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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.

	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

BLOCK C
Type and Amount of Income

	Type of Income							Amount of Income												
	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***	Over \$5,000,000	Actual Amount Required if "Other" Specified
	X								Example	X									Example	
		X							Example	X									Example	
1	S	Lexmark International Bond (S, IRA)	X																	
2	S	Healthcare Reality Trust Bond (S, IRA)	X																	
3	S	Citigroup Fixed to Floater Bond (S, IRA)		X																
4	S	Dreyfus Liquid Assets Fund (S, IRA)			X															
5	S	Banco Latinamerica (S, IRA)	X																	
6	S	AGL Resources (S, IRA)	X																	
7	S	Algonquin Power (S, IRA)	X																	
8	S	Allstate Corp (S, IRA)	X																	
9	S	Altria Group (S, IRA)	X																	
10	S	Aqua America (S, IRA)	X																	

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Click...to create an additional page for this part.

Carper, Thomas R.

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

9

BLOCK A

Identity of Publicly Traded Assets
And Unearned Income Sources

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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.

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
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BLOCK C
Type and Amount of Income

Type of Income							Amount of Income														
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	
<input checked="" type="checkbox"/>	Required if "Other" Specified																				
<input checked="" type="checkbox"/>	Required if "Other" Specified																				
<input checked="" type="checkbox"/>	Required if "Other" Specified																				
<input checked="" type="checkbox"/>	Required if "Other" Specified																				
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Carper, Thomas R.

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

10

BLOCK A

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And Unearned Income Sources

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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.

	S, Example: DC, or J	IBM Corp. (stock) (S) Keystone Fund	BLOCK B Valuation of Assets							BLOCK C Type and Amount of Income																									
			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
1	S	Cameco (S, IRA)	x												x									x											Example
2	S	CIA Saneamiento Basico (S, IRA)	x												x									x											Example
3	S	Conagra Foods (S, IRA)	x												x									x											Example
4	S	Conoco Phillips (S, IRA)	x												x									x											Example
5	S	El Dupont (S, IRA)	x												x									x											Example
6	S	Duke Energy Holdings (S, IRA)	x												x									x											Example
7	S	Ecopetrol (S, IRA)	x												x									x											Example
8	S	ExxonMobil Corp (S, IRA)	x												x									x											Example
9	S	Frontier Communications (S, IRA)	x												x									x											Example
10	S	General Electric (S, IRA)	x												x									x											Example

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.

Click...to create an additional page for this part.

Carper, Thomas R.

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

11

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.

	S, Example: DC, or J	IBM Corp. (stock) (S) Keystone Fund	BLOCK B Valuation of Assets							BLOCK C Type and Amount of Income						
			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	Type of Income	Amount of Income
1	S	Gladstone Capital (S, IRA)	x													Required if "Other" Specified
2	S	Google (S, IRA)		x												Required if "Other" Specified
3	S	HealthCare REIT (S, IRA)	x													Required if "Other" Specified
4	S	Home Depot (S, IRA)	x													Required if "Other" Specified
5	S	Honeywell (S, IRA)	x													Required if "Other" Specified
6	S	Illinois Tool Works (S, IRA)	x													Required if "Other" Specified
7	S	Innergex Renewable Energy (S, IRA)	x													Required if "Other" Specified
8	S	Intel Corp (S, IRA)	x													Required if "Other" Specified
9	S	Johnson & Johnson (S, IRA)	x													Required if "Other" Specified
10	S	Capstone (S, IRA)	x													Required if "Other" Specified

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.

Click...to create an additional page for this part.

Carper, Thomas R.

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

12

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.

	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
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BLOCK C
Type and Amount of Income

	Type of Income							Amount of Income													
	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
S, Example: DC, or J	X								Example	X										Example	
(S) Keystone Fund		X							Example	X										Example	
1 S Marathon Oil (S, IRA)	X									X											
2 S Medtronic (S, IRA)	X									X											
3 S Microsoft (S, IRA)	X									X											
4 S Northland Power Income (S, IRA)	X									X											
5 S Otter Tail Power (S, IRA)	X									X											
6 S Royal Dutch Petroleum Class B (S, IRA)	X									X											
7 S Marathon Petroleum (S, IRA)	X									X											
8 S Perpetual Energy (S, IRA)	X									X											
9 S Petrobras (S, IRA)	X									X											
10 S Peyto Energy Trust (S, IRA)	X									X											

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.

Click...to create an additional page for this part.

Carper, Thomas R.

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

13

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

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
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BLOCK C

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.**

Click...to create an additional page for this part.

Carper, Thomas R.

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

14

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.

	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
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BLOCK C
Type and Amount of Income

	Type of Income										Amount of Income										
	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***	Over \$5,000,000	Actual Amount Required if "Other" Specified	
S, Example: DC, or J	IBM Corp. (stock)	X							Example	X										Example	
(S)	Keystone Fund	X							Example	X										Example	
1 S	Universal Health Realty Trust (S, IRA)	X								X											
2 S	Veolia Environmental (S, IRA)	X								X											
3 S	Verizon Communications (S, IRA)	X								X											
4 S	Wells Fargo & Co. (S, IRA)	X								X											
5 S	Vodafone (S, IRA)	X								X											
6 S	Blackrock Real Asset (S, IRA)	X								X											
7 S	Blackrock Ecosolutions (S, IRA)	X								X											
8 S	Ishares MSCI Emerging Mkts (S, IRA)	X								X											
9 S	Ishares S & P 500 ETF (S, IRA)	X								X											
10 S	Ishares MSCI EAFE (S, IRA)	X								X											

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.

Click...to create an additional page for this part.

Carper, Thomas R.

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

15

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.

Example: DC, or J	S, <i>IBM Corp. (stock)</i> (S) <i>Keystone Fund</i>
-----------------------------	--

1 S Ishares Russell 1000 Value (S, IRA)

2 S Ishares S&P Midcap 400 (S, IRA)

3 S Ishares Russell 2000 Value (S-IBA)

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ANSWER

Ares Capital

6 S NFJ Dividend Interest (S, IRA)

7 S Prospect Ca

8 | S | SPDR S & P 500 ETF (S, IRA)

9 S Highland Credit Strategies

10 S Western Asset Claymore Inflation Protected (S, I)

2014年中行市预测报告 | 第二章 | 中国宏观经济形势分析

BLOCK B
Valuation of Assets

At the close of reporting period.
If None, or less than \$1,001,
Check the first column.

BLOCK C

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.**

Click...to create an additional page for this part.

Carper, Thomas R.

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

16

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

At the close of reporting period
If None, or less than \$1,001,
Check the first column.

BLOCK C
Type and Amount of Income

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.**

Click...to create an additional page for this part.

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.

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

(S) Keystone Fund

1 DC News Corp. CL A (DC)

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

2 DC DIRECTTV (DC)

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

3 DC Powershares Global ETF Trust (DC)

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

4 DC Medco Health Solutions (DC)

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

5 DC T Rowe Price Small-Cap Stock (DC)

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

6 DC Activision Blizzard Inc. Com (DC)

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

7 DC Vanguard Star (DC)

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

8 DC Vanguard Mid-Cap Index (DC)

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

9 DC Wisdomtree Trust Brazilian RL ET (DC)

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

10 DC Delaware 529 College Investment Plan (Fidelity) (DC)

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

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.

Click...to create an additional page for this part.

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.

	S, Example: DC, or J	(S) Keystone Fund	Type of Income										Amount of Income										Actual Amount Required if "Other" Specified														
			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***	Over \$5,000,000				
1	S	TIAA CREF Annuity (S)		x											x			x			x		x									Example					
2	S	Citigroup Funding Inc ELKS 12.00% due 8/25/2011 Baker Hughes (S,IRA)	x																x		x												Example				
3	S	Citigroup Funding Inc ELKS 12% due 9/21/2011 US Steel (S,IRA)	x																	x		x												Example			
4	S	Citigroup Funding Inc ELKS 9% due 10/25/2011 Halliburton (S,IRA)	x																		x		x												Example		
5	S	Citigroup Funding Inc ELKS 7.50% 11/23/2011 SLB (Schlumberger) (S,IRA)	x																			x		x												Example	
6																																					
7																																					
8																																					
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.

Click...to create an additional page for this part.

Carper, Thomas R.

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PART IIIB. NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

BLOCK A

Identity of Non-Publicly Traded Assets and Unearned Income Sources

Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p.3, CONTENTS OF REPORTS Part B of Instructions) for the production of income or investment in a non-public trade or business 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 the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA.

S, *JP Computer, Software Design,*
Example: DC, *Wash DC*or J *Undeveloped land, Dubuque, Iowa*

1	Rental Property at 106 6th Street SE, Washington, DC			X																
2	Undeveloped farm land with farm house and barn, Zionville, NC				X															
3	Unimproved lot in Bethany West, Bethany Beach, DE at 615 Juniper Court					X														
4																				
5																				
6																				
7																				
8																				
9																				
10																				

BLOCK B
Valuation of Assets

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
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BLOCK C
Type and Amount of Income

Type of Income							Amount of Income													
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***	Over \$5,000,000	Actual Amount Required if "Other" Specified	
X	X								X	X									Example	

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PART IV. TRANSACTIONS

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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

	S, Example: DC, or J	IBM Corp. (stock) NYSE (DC) Microsoft (stock) NASDAQ/OTC	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		Puerto Rico Housing Finance Corp 4.65% 12/1/2011		X		2/1/1X		X		E	X	A	M	P	L	E	
2	S	DE River and Bay Auth 3.25% due 1/1/2011 (S, IRA)	+■		X	1/27/1X				X	E	X	A	M	P	L	E
3	S	Lincoln National (S, IRA)			X	12/19/2011		X									
4	S	Lincoln National (S, IRA)				12/21/2011		X									
5	S	Virtus Premium Alphasector Class A (S, IRA)	+■	X		2/3/2011		X									
6	S	Morgan Stanley Contingen Income Autocall Bank of America (S, IRA)		X		1/25/2011		X									
7	S	Citigroup Funding Inc ELKS 9.5% due 1/25/2011 Boeing (S, IRA)	+■		X	1/25/2011		X									
8	S	Citigroup Funding Inc ELKS 12.00% due 8/25/2011 (Baker Hughes) (S, IRA)		X		2/22/2011		X									
9	S	Verizon Virginia 4.625% due 3/15/2013 (S, IRA)	+■		X	3/8/2011		X									
10	S	Block Financial 5.125% due 10/30/2014 (S, IRA)		X		3/8/2011		X									
11	S	Citigroup Funding Inc 8.00% 9/22/2010 American Express (S, IRA)			X	3/23/2011		X									
12	S	Citigroup Funding Inc ELKS 12% due 9/21/2011 US Steel (S, IRA)	+■	X		3/25/2011		X									

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PART IV. TRANSACTIONS

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Identification of Assets

	S, Example: DC, or J	IBM Corp. (stock) NYSE (DC) Microsoft (stock) NASDAQ/OTC	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
1	S	Citigroup Funding Inc ELKS 10.00% 4/20/2011 MetLife (S, IRA)		X		2/1/1X		X		E	X	A	M	P	L	E
2	S	Citigroup Funding Inc ELKS 9% due 10/25/2011 Halliburton (S, IRA)	+■	X		1/27/1X			X	E	X	A	M	P	L	E
3	S	Citigroup Funding Inc ELKS 7.50% 11/23/2011 SLB (Schlumberger) (S, IRA)		X		5/24/2011		X								
4	S	Citigroup Funding Inc ELKS 8% 5/25/2011 SLB (Schlumberger) (S, IRA)		X		5/25/2011		X								
5	S	Intl Lease Finance Gp 5.35% due 3/1/2012 (S, IRA)	+■	X		6/17/2011		X								
6	S	Citigroup Funding Inc ELKS 8% due 6/22/2011 DOW (S, IRA)		X		6/22/2011		X								
7	S	Citigroup Funding Inc ELKS 12.00% due 12/23/2011 CMI (S, IRA)	+■	X		6/24/2011		X								
8	S	Pembina Pipeline (S, IRA)		X		7/7/2011		X								
9	S	Daylight Energy (S, IRA)	+■	X		7/7/2011		X								
10	S	Daylight Energy (S, IRA)		X		7/8/2011		X								
11	S	Clearbridge Energy (S, IRA)		X		7/15/2011		X								
12	S	Duff and Phelps Global Utility (S, IRA)	+■	X		7/26/2011		X								

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PART IV. TRANSACTIONS

						Amount of Transaction (x)											
			Transaction Type (x)														
	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
Example: S, DC, or J																	
1	S	Nuveen Tradewinds Global All Cap Fund (S, IRA)	X				2/1/1X	X	E	X	A	M	P	L	E		
2	S	Transcontinental Gas 7% due 8/15/2011 (S, IRA)	+ X				1/27/1X		X	E	X	A	M	P	L	E	
3	S	Weatherford Intl 5.95% due 6/15/2012 (S, IRA)		X													
4	S	Morgan Stanley ELKS 14.5% 2/23/2012 (S, IRA)	X														
5	S	Baker Hughes (S, IRA) *Citigroup Funding ELKS is a 6-month note tied to the performance of Baker Hughes. Given market conditions, this Citigroup Funding ELKS was exchanged for Baker Hughes.			X		8/29/2011		X								
6	S	ILFC 5.625% due 9/20/2013 (S, IRA)	X														
7	S	US Steel (S, IRA) *Citigroup Funding ELKS is a 6-month note tied to the performance of US Steel. Given market conditions, this Citigroup Funding ELKS was exchanged for US Steel.			X		9/9/2011		X								
8	S	First Trust Energy Infrastructure Fund (S, IRA)	X														
9	S	Halliburton (S, IRA) *Citigroup Funding ELKS is a 6-month note tied to the performance of Halliburton. Given market conditions, this Citigroup Funding ELKS was exchanged for Halliburton.			X		9/27/2011	X									
10	S	Schlumberger (S, IRA) *Citigroup Funding ELKS is a 6-month note tied to the performance of Schlumberger. Given market conditions, this Citigroup Funding ELKS was exchanged for Schlumberger.			X		10/26/2011		X								
11	S	Daylight Energy (S, IRA)		X													
12	S	Provident Energy (S, IRA)	+ X														

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PART IV. TRANSACTIONS

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Identification of Assets

	S, Example: DC, or J	IBM Corp. (stock) NYSE (DC) Microsoft (stock) NASDAQ/OTC	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
1	S	Morgan Stanley ELKS 11% due 6/25/2012 CMI (S, IRA)	X			2/1/1X		X		E	X	A	M	P	L	E
2	S	Morgan Stanley ELKS 12% due 12/23/2011 CMI (S, IRA)		X		1/27/1X			X	E	X	A	M	P	L	E
3	S	Westshore Terminal Income Fund (S, IRA)		X		2/15/2011		X								
4	S	Verizon Communications (S, IRA)		X		2/15/2011		X								
5	S	Silvercorps Metals (S, IRA)		X		2/15/2011		X								
6	S	SPDR S&P 500 ETF (S, IRA)		X		2/15/2011		X								
7	S	Petrobras (S, IRA)		X		2/15/2011		X								
8	S	Pembina Pipeline (S, IRA)		X		2/15/2011		X								
9	S	Marathon Oil (S, IRA)		X		2/15/2011		X								
10	S	Macquerie Power & Infrastructure Fund (S, IRA)		X		2/15/2011		X								
11	S	Ishares S&P Midcap 400 (S, IRA)		X		2/15/2011		X								
12	S	Ishares MSCI EAFE (S, IRA)		X		2/15/2011		X								

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PART IV. TRANSACTIONS

							Amount of Transaction (x)																		
Transaction Type (x)							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					
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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				
Example: DC, or J	S, 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 S	Ishares S&P 500 Growth Index (S, IRA)				X					2/15/2011	X														
2 S	Ishares MSCI Emerging Markets (S, IRA)				X					2/15/2011	X														
3 S	Illinois Tool Works (S, IRA)				X					2/15/2011	X														
4 S	Honeywell (S, IRA)				X					2/15/2011	X														
5 S	Frontier Communications (S, IRA)				X					2/15/2011	X														
6 S	ExxonMobil Corp (S, IRA)				X					2/15/2011	X														
7 S	Ecopetrol (S, IRA)				X					2/15/2011	X														
8 S	Conoco Phillips (S, IRA)				X					2/15/2011	X														
9 S	Cardinal Health (S, IRA)				X					2/15/2011	X														
10 S	Atlantic Power Corp CDA (S, IRA)				X					2/15/2011	X														
11 S	Allstate Corp (S, IRA)				X					2/15/2011	X														
12 S	Banco Latinamerica (S, IRA)				X					2/15/2011	X														

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Reporting Individual's Name

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Carper, Thomas R.

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PART IV. TRANSACTIONS

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Identification of Assets

	S, Example: DC, or J	Asset Description	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
1	S	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	S	Vodafone Group (S, IRA)	X			2/15/2011	X									
2	S	Veolia Environmental (S, IRA)	+ X			2/15/2011	X									
3	S	Telefonica SA (S, IRA)	X			2/15/2011	X									
4	S	Royal Dutch Shell PLC ADR (S, IRA)	X			2/15/2011	X									
5	S	CIA Saneamento Basico (S, IRA)	+ X			2/15/2011	X									
6	S	ABB LTD (S, IRA)	X			2/15/2011	X									
7	S	Home Depot 5.2% due 3/1/2011	+ X	X		3/1/2011	X									
8	S	Senior Housing Properties 4.3% due 1/15/2016 (S, IRA)	X			3/1/2011		X								
9	S	Cameco (S, IRA)	+ X			3/14/2011	X									
10	S	Blackstone Group LP (S, IRA)		X		4/1/2011	X									
11	S	Ares Capital (S, IRA)	X			4/1/2011	X									
12	S	Marathon Petroleum (S, IRA) *Marathon Oil spun off Marathon Petroleum as a separate entity in a tax-free exchange.			X	7/7/2011	X									

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Identification of Assets

	S, Example: DC, or J	IBM Corp. (stock) NYSE (DC) Microsoft (stock) NASDAQ/OTC	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	Veolia Environmental (S, IRA)	X			2/1/1X	X							E	X	A	M	P	L	E	
2	S	Google (S, IRA)		X		1/27/1X								X	E	X	A	M	P	L	E
3	S	Royal Dutch Shell PLC ADR (S, IRA)		X		8/2/2011	X														
4	S	MetLife Floating Rate Pfd (S, IRA)		X		8/5/2011	X														
5	S	Johnson & Johnson (S, IRA)		X		8/5/2011	X														
6	S	Intel Corp (S, IRA)		X		8/5/2011	X														
7	S	Illinois Tool Works (S, IRA)		X		8/5/2011	X														
8	S	Honeywell (S, IRA)		X		8/5/2011	X														
9	S	General Electric (S, IRA)		X		8/5/2011	X														
10	S	ExxonMobil Corp (S, IRA)		X		8/5/2011	X														
11	S	Abbott Labs (S, IRA)	-	X		8/5/2011	X														
12	S	Brookfield Renewable Energy (S, IRA)		X	X	9/16/2011	X														

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PART IV. TRANSACTIONS

			Amount of Transaction (x)													
			Transaction Type (x)			Transaction Date (Mo., Day, Yr.)										
	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	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000			
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Identification of Assets																
Example: 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	S	Innergex Renewable Energy (S, IRA)			X	9/16/2011	X									
2																
3		Federal Employees Thrift Plan G, F, and C consolidated to Federal Employees Thrift Plan L				1/1/2011										
4	DC	AM CNT One Choice Aggressive (DC)			X	7/29/2011	X									
5	DC	AM CNT One Choice Aggressive (DC)			+ X	8/16/2011	X									
6	DC	AM CNT Growth Fund (DC)				X	2/14/2011	X								
7	DC	AM CNT Growth Fund (DC)			+ X	6/21/2011	X									
8	DC	AM CNT Growth Fund (DC)			X	7/7/2011	X									
9	DC	AM CNT Growth Fund (DC)			+ X	7/13/2011	X									
10	DC	AM CNT Growth Fund (DC)			X	7/27/2011	X									
11	DC	AM CNT Growth Fund (DC)			X	7/29/2011	X									
12	DC	Powershares Global ETF Trust (DC)			+ X	7/1/2011	X									

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Reporting Individual's Name

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Identification of Assets

	S, Example: DC, or J	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
1	DC	T Rowe Price Small-Cap Stock (DC)	X			2/1/1X	X	E	X	A	M	P	L	E		
2	DC	Vanguard Star (DC)		X		1/27/1X		X	E	X	A	M	P	L	E	
3	DC	Vanguard Star (DC)		X		7/27/2011	X									
4	DC	Vanguard Mid-Cap Index (DC)		X		7/20/2011	X									
5	DC	Vanguard Mid-Cap Index (DC)		X		8/16/2011	X									
6	DC	Wisdomtree Trust Brazilian RL ET (DC)		X		7/1/2011	X									
7	DC	Activision Blizzard Inc. Com (DC)		X		7/1/2011	X									
8	DC	Activision Blizzard Inc. Com (DC)		X		7/1/2011	X									
9	DC	PROSHARES TR ULTRASHT 2X SP500 (DC)		X		8/3/2011	X									
10	DC	PROSHARES TR ULTRASHT 2X SP500 (DC)		X		8/10/2011	X									
11	DC	PROSHARES TR ULT SHR 3X SP500 (DC)		X		8/4/2011	X									
12	DC	PROSHARES TR ULT SHR 3X SP500 (DC)		X		8/15/2011	X									

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** 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.

Click...to create an additional page for this part.

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

	S, Example: DC, or J	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***		
		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	PROSHARES TR ULT SHR 3X SP500 (DC)	X			8/4/2011	X								
2	DC	PROSHARES TR ULT SHR 3X SP500 (DC)	+ X			8/10/2011	X								
3	DC	PROSHARES TR ULTRPRO SP500 (DC)	X			7/20/2011	X								
4	DC	PROSHARES TR ULTRPRO SP500 (DC)	X			7/27/2011	X								
5	DC	PROSHARES TR ULTRPRO SP500 (DC)	+ X			8/1/2011	X								
6	DC	PROSHARES TR ULTRPRO SP500 (DC)		X		8/10/2011	X								
7	DC	SWITZ IND (MSCI -Ishares) (DC)	+ X			7/1/2011	X								
8	DC	SWITZ IND (MSCI -Ishares) (DC)		X		7/25/2011	X								
9	DC	IsharesTR US PFD TK IDX (DC)	+ X			7/1/2011	X								
10	DC	IsharesTR US PFD TK IDX (DC)		X		7/22/2011	X								
11	DC	PIMCO High Yield Fund (DC)		X		1/24/2011	X								
12	DC	AM CNT Vista Fund (DC)	+ X			3/24/2011	X								

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.

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			Amount of Transaction (x)															
			Transaction Type (x)			Transaction Date (Mo., Day, Yr.)												
	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	Dupont (S)		X		2/1/1X	X			E	X	A	M	P	L	E		
2	S	Dupont (S)			X	1/27/1X			X	E	X	A	M	P	L	E		
3	S	Dupont (S)			X	9/13/2011	X											
4	S	Dupont (S)			X	12/15/2011	X											
5																		
6																		
7																		
8																		
9																		
10																		
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.

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Carper, Thomas R.

PART VII. LIABILITIES

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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; (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.

			Category of Amount of Value (x)														
Name of Creditor		Address	Type of Liability	Date Incurred	Interest Rate	Term if Applicable	\$10,001 - \$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
S, Example: DC, or J	First District Bank (J) John Jones	Wash., DC Wash., DC	Mortgage on undeveloped land Promissory Note	1992 2000	13% 10%	25yrs On dmd		X			E	X	A	M	P	L	E
1	Citizens Bank	Wilmington, DE	Mortgage on home	2009	4.5%	15yr					X						
2																	
3																	
4																	
5																	
6																	
7																	
8																	
9																	
10																	
11																	
12																	

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