00000622299

UNITED STATES SENATE FINANCIAL DISCLOSURE REPORT FOR ANNUAL AND TERMINATION FILERS

☐ Amendment

Last Name	First Name and Middle Initial	Annual Report: Calendar Year Covered by Report	Senate Office / Agency in Which Employed
Carper	Thomas R.	2012	Office of Senator Thomas R. Carper
Senate Office Address (Number, Street, City, State, and ZIP Code)	**Senate Office Telephone Number** *(Include Area Code)*	**Termination Report: Termination Date (mm/dd/yy)**	**Prior Office / Agency in Which Employed**
513 Hart Senate Office Building, Washington, DC 20510	202-224-2441		

AFTER READING THE INSTRUCTIONS – ANSWER EACH OF THESE QUESTIONS AND ATTACH THE RELEVANT PART

	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.		X
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.	X	
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.	X	
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.	X	
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.		X
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.		X
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.	X	
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.		X
Do you have any reportable agreement or arrangement with an outside entity? If Yes, complete and attach PART IX.		X
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.		

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

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SECRETARY OF THE SENATE

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Reporting Individual's Name: Carper, Thomas R.

☐ Amendment

PART II. EARNED AND NON-INVESTMENT INCOME

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	$33,986.00
4				
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Reporting Individual's Name: Carper, Thomas R.

☐ Amendment

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

	S, DC, or J	Asset	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 $1,000,001***	$1,000,001 - $5,000,000	Over $5,000,000	Actual Amount Required if "Other" Specified
Example		*IBM Corp. (stock)*				X										X							*Example*		X										*Example*
Example	(S)	*Keystone Fund*					X													X			*Example*	X											*Example*
1		Citibank NA Bank Deposit			X													X						X											
2		Duke Energy			X											X										X									
3		Lincoln National					X									X											X								
4		Spectra Energy		X												X									X										
5		SPDR S&P 500 ETF Trust			X											X									X										
6		SPDR S&P Midcap 400 ETF Trust			X											X									X										
7		Invesco Pacific Growth Fund		X												X			X					X											
8		DE St Health Fac Auth Bond			X													X							X										
9		Invesco Pacific Growth Fund (IRA)		X												X			X					X											
10		Morgan Stanley Global Infrastructure Fund (IRA)			X											X			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.

Reporting Individual's Name: Carper, Thomas R.

☐ Amendment

PART IIIA. 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.

BLOCK C — Type and Amount of Income

	Block A: Identity of Publicly Traded Assets And Unearned Income Sources	Block B: 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 of Income: None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	Amount of Income: 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
Example: S, DC, or J	*IBM Corp. (stock)*				X										X							*Example*		X										*Example*
	(S) Keystone Fund					X													X			*Example*	X											*Example*
1	S — Citibank NA South Dakota Bank Deposit					X											X						X											
2	S — Dupont				X										X											X								
3	S — Lincoln National			X											X									X										
4	S — Nuveen Int. Dur. Municipal Term		X														X							X										
5	S — PNC Fin. Services		X												X								X											
6	S — TJX Company		X												X								X											
7	S — Citibank NA Bank Deposit (S, IRA)	X															X						X											
8	S — Fidelity Advisor Leverage Co. Stock Fund (S,IRA)			X											X			X					X											
9	S — Fidelity Advisor Diversified International Fund (S,IRA)			X											X			X						X										
10	S — Fidelity Advisor New Insights (S, IRA)			X											X			X					X											

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

Reporting Individual's Name: Carper, Thomas R.

☐ Amendment

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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.

BLOCK C — Type and Amount of Income

	S, DC, or J	Asset	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
Example		*IBM Corp. (stock)*				X										X							*Example*		X										*Example*
Example		*(S) Keystone Fund*					X													X			*Example*	X											*Example*
1	S	Virtus Premium Alpha Sector (S, IRA)			X											X			X					X											
2	S	Citibank NA Bank Deposit (S, IRA)			X													X						X											
3	S	Apple Inc. (S, IRA)				X										X										X									
4	S	Chevron (S, IRA)		X												X									X										
5	S	Frontier Communication (S, IRA)	X													X								X											
6	S	JP Morgan Chase (S, IRA)		X												X								X											
7	S	Legacy Reserves (S, IRA)		X												X										X									
8	S	Blackrock Global Opportunities (S, IRA)		X												X										X									
9	S	Blackrock Real Asset Fund (S, IRA)		X												X									X										
10	S	Duff and Phelps Global Utilities (S, IRA)		X												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. ☐

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

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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Example		IBM Corp. (stock)				X										X							Example		X										Example
Example		(S) Keystone Fund					X													X			Example	X											Example
1	S	Aberdeen Asia - Pacific Fund (S, IRA)		X												X									X										
2	S	Bank of America 4% Pfd (S, IRA)		X												X									X										
3	S	Morgan Stanley SER Preferred A (S, IRA)			X											X									X										
4	S	Citigroup Funding 3% based on Gold (S, IRA)			X											X									X										
5	S	Morgan Stanley Contingent Income Auto Call Bank of America (S, IRA)			X													X						X											
6	S	First Trust Energy Infrastructure (S, IRA)		X												X									X										
7	S	Nuveen Tradewinds Global All Cap Fund (S, IRA)		X												X			X					X											
8	S	US Steel (S, IRA)		X												X								X											
9	S	MS Range Accrual Notes 5/18/25 (S, IRA)			X													X								X									
10	S	Baker Hughes (S, IRA)		X												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. ☐

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

Reporting Individual's Name: Carper, Thomas R.

☐ Amendment

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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Example		IBM Corp. (stock)				X										X							Example		X										Example
Example		(S) Keystone Fund					X													X			Example	X											Example
1	S	Fidelity 529 Plan DE Portfolio 2018 (S)		X											X									X											
2	S	Halliburton (S, IRA)			X											X								X											
3	S	Nationwide Health Properties (S, IRA)			X													X								X									
4	S	Metropolitan Edison Bond (S, IRA)			X													X								X									
5	S	Block Financial Bond (S, IRA)			X													X								X									
6	S	Schlumberger (S, IRA)			X											X									X										
7	S	Lexmark International Bond (S, IRA)			X													X								X									
8	S	Healthcare Reality Trust Bond (S, IRA)			X													X								X									
9	S	Citigroup Fixed to Floater Bond due 08/27/20 (S, IRA)			X													X							X										
10	S	Anadarko Petroleum Corp. ELKS by UBS 8/52% due 6/4/13 (S, IRA)			X													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. ☐

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Reporting Individual's Name: Carper, Thomas R.

☐ Amendment

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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

	S, DC, or J	Asset	Valuation: 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: None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	Amount of Income: 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
Example		IBM Corp. (stock)				X										X							Example		X										Example
Example		(S) Keystone Fund					X													X			Example	X											Example
1	S	Prospect Capital Corp. 5.5 % due 8/15/16 (S, IRA)			X													X							X										
2	S	Barclays Contingent 13.55% Autocall based on NEM due 11/5/13 (S, IRA)			X													X								X									
3	S	CFI Trigger Jump based on the price of Gold due 9/29/14 (S,IRA)			X													X						X											
4	S	Cobalt International Energy Single Observation ELKS by CFI 18.5% due 2/27/13 (S, IRA)			X													X								X									
5	S	Vodafone GP PLC ADS New (S, IRA)		X												X									X										
6	S	Broadcom Single Observation ELKS by CFI 10.5% due 1/24/13 (S, IRA)			X													X								X									
7	S	ILEASE 575% due 5/15/16 (S, IRA)			X													X							X										
8	S	MS FLT Rate CMS 425% due 2/15/19 (S, IRA)			X													X								X									
9	S	Avenex Energy Corp. Com (S, IRA)		X												X									X										
10	S	MS Liquid Assets Fund (S, IRA)					X											X						X											

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Reporting Individual's Name: Carper, Thomas R.

☐ Amendment

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Example		IBM Corp. (stock)				X										X							Example		X										Example
Example	(S)	Keystone Fund					X													X			Example	X											Example
1	S	Banco Latinamerica (S, IRA)	X													X								X											
2	S	AGL Resources (S, IRA)		X												X								X											
3	S	Algonquin Power (S, IRA)		X												X								X											
4	S	Allstate Corp. (S, IRA)		X												X								X											
5	S	Altria Group (S, IRA)		X												X									X										
6	S	Aqua America (S, IRA)		X												X								X											
7	S	Atlantic Power Corp. CDA (S, IRA)	X													X								X											
8	S	Bank of America (S, IRA)		X												X								X											
9	S	ABB LTD (S, IRA)		X												X								X											
10	S	Blackrock Kelso (S, IRA)		X												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.

Reporting Individual's Name: Carper, Thomas R.

☐ Amendment

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

	S, DC, or J	Asset	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
Example:		IBM Corp. (stock)				X										X							Example		X										Example
		(S) Keystone Fund					X													X			Example	X											Example
1	S	Abbott Labs (S, IRA)		X												X								X											
2	S	Cardinal Health (S, IRA)		X												X								X											
3	S	Carefusion (S, IRA)		X												X								X											
4	S	Chimera Investment Group (S, IRA)		X												X								X											
5	S	Compass Diversified Holdings (S, IRA)		X												X								X											
6	S	Comtech Telecommunications (S, IRA)		X												X								X											
7	S	Cameco (S, IRA)		X												X								X											
8	S	Conagra Foods (S, IRA)		X												X								X											
9	S	Phillips 66 (S, IRA) (Shared distribution spin-off)	X													X								X											
10	S	El Dupont (S, IRA)		X												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.

Reporting Individual's Name: Carper, Thomas R.

☐ Amendment

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

		Asset	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
Example: S, DC, or J		IBM Corp. (stock)				X										X							Example		X										Example
		(S) Keystone Fund					X													X			Example	X											Example
1	S	Duke Energy Holdings (S, IRA)		X												X									X										
2	S	Ecopetrol (S, IRA)		X												X									X										
3	S	ExxonMobil Corp. (S, IRA)		X												X									X										
4	S	General Electric (S, IRA)		X												X									X										
5	S	Gladstone Capital (S, IRA)		X												X								X											
6	S	Google (S, IRA)			X											X								X											
7	S	HealthCare REIT (S, IRA)		X												X								X											
8	S	Home Depot (S, IRA)		X												X								X											
9	S	Honeywell (S, IRA)		X												X									X										
10	S	Illinois Tool Works (S, IRA)		X												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.

Reporting Individual's Name: Carper, Thomas R.

☐ Amendment

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

	S, DC, or J	Asset	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
Example:		IBM Corp. (stock)				X										X							Example		X										Example
	(S)	Keystone Fund					X													X			Example	X											Example
1	S	Innergex Renewable Energy (S, IRA)		X												X									X										
2	S	Intel Corp. (S, IRA)		X												X									X										
3	S	Johnson & Johnson (S, IRA)		X												X									X										
4	S	Medtronic (S, IRA)		X												X								X											
5	S	Microsoft (S, IRA)		X												X								X											
6	S	Northland Power Income (S, IRA)		X												X								X											
7	S	Royal Dutch Petroleum Class B (S, IRA)		X												X									X										
8	S	Peyto Energy Trust (S, IRA)		X												X								X											
9	S	Pfizer (S, IRA)		X												X								X											
10	S	Philip Morris (S, IRA)		X												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.

Reporting Individual's Name: Carper, Thomas R.

☐ Amendment

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

	S, DC, or J	Asset	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
Example		IBM Corp. (stock)				X										X							Example		X										Example
Example		(S) Keystone Fund					X													X			Example	X											Example
1	S	Portugal Telecom (S, IRA)	X													X								X											
2	S	Proctor & Gamble (S, IRA)		X												X								X											
3	S	Southern Company (S, IRA)		X												X								X											
4	S	3M Company (S, IRA)		X												X								X											
5	S	Universal Health Realty (S, IRA)		X												X								X											
6	S	Veolia Environmental (S, IRA)		X												X									X										
7	S	Verizon Communications (S, IRA)		X												X									X										
8	S	Wells Fargo & Co. (S, IRA)		X												X								X											
9	S	Vodaphone (S, IRA)		X												X									X										
10	S	Blackrock Real Asset (S, IRA)		X												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.

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0000062312

Reporting Individual's Name: Carper, Thomas R.

☐ Amendment

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

	S, DC, or J	Asset	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
Example		IBM Corp. (stock)				X										X							Example		X										Example
Example		(S) Keystone Fund					X													X			Example	X											Example
1	S	Blackrock Ecosolutions (S, IRA)		X												X								X											
2	S	Ishares MSCI Emerging Mkts (S, IRA)		X												X								X											
3	S	Ishares S&P 500 ETF (S, IRA)		X												X								X											
4	S	Ishares MSCI EAFE (S, IRA)		X												X								X											
5	S	Ishares Russell 1000 Value (S, IRA)		X												X								X											
6	S	Ishares S&P Midcap 400 (S, IRA)		X												X								X											
7	S	Ishares Russell 2000 Value (S, IRA)		X												X								X											
8	S	NGP Capital Resources (S, IRA)		X												X								X											
9	S	Ares Capital (S, IRA)		X												X								X											
10	S	NFJ Dividend Interest (S, IRA)		X												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.

Reporting Individual's Name: Carper, Thomas R.

☐ Amendment

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

	S, DC, or J	Asset	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
Example		*IBM Corp. (stock)*				X										X							*Example*		X										*Example*
Example	(S)	*Keystone Fund*					X													X			*Example*	X											*Example*
1	S	Prospect Capital Group (S, IRA)		X												X									X										
2	S	SPDR S&P 500 ETF (S, IRA)			X											X									X										
3	S	Nexpoint Credit Strategies (S, IRA) (Name Change)		X												X								X											
4	S	Western Asset Claymore Inflation Protected (S, IRA)		X												X								X											
5	S	Bank of America 4% Adj Pfd J (S, IRA)		X												X								X											
6	S	Enervest Diversified Income Trust Unite (S, IRA)		X												X								X											
7	S	Senior Housing Bond (S, IRA)			X													X							X										
8	S	Harmony Gold MNG LTD ADR New (S, IRA)		X												X								X											
9	S	Pentair LTD (S, IRA)		X												X								X											
10	S	Goldman Sachs GRP Inc. FLTG RT (S, IRA)		X												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.

Reporting Individual's Name: Carper, Thomas R.

☐ Amendment

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

	S, DC, or J	Asset	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
Example:		IBM Corp. (stock)				X										X							Example		X										Example
		(S) Keystone Fund					X													X			Example	X											Example
1	S	Enersis S.A. Amer DEP Shares (S, IRA)		X												X								X											
2	S	Omega Healthcare INV Inc. (S, IRA)		X												X									X										
3	S	Leggett & Platt Inc. (S, IRA)		X												X								X											
4	S	Southern Copper Corp. (S, IRA)		X												X								X											
5	S	TYCO International LTD New (S, IRA)		X												X								X											
6	S	CISCO SYS Inc. (S, IRA)		X												X								X											
7	S	VF Corporation (S, IRA)		X												X								X											
8	S	ADT Corporation (S, IRA) (Spin-off from TYCO)		X												X								X											
9	S	Avenex Energy Corp. (S, IRA)		X												X									X										
10	S	TIAA CREF Annuity (S)				X										X		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.

0000062315

Reporting Individual's Name: Carper, Thomas R.

☐ Amendment

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

	S, DC, or J	Asset	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
Example:		IBM Corp. (stock)				X										X							Example		X										Example
	(S)	Keystone Fund					X													X			Example	X											Example
1	J	Citizens Bank Checking Account			X													X						X											
2	J	M & T Bank Checking Account			X													X						X											
3		M & T Bank Regular Time Deposits Account		X														X						X											
4																																			
5		All Dependent Children (DC) previously reported are no longer dependent and are not included in this report.																																	
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.

Reporting Individual's Name: Carper, Thomas R.

☐ Amendment

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.

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

	Block A	Block B: 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 of Income: None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	Amount of Income: 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
Example: S, DC, or J	*JP Computer, Software Design, Wash DC*				X										X							*Example*		X										*Example*
	Undeveloped land, Dubuque, Iowa					X								X								*Example*	X											*Example*
1	Rental Property at 106 6th Street SE, Washington, DC						X									X												X						
2	Undeveloped farm land with farm house and barn in Zionville, NC							X						X									X											
3	Unimproved lot in Bethany West, Bethany Beach, DE at 615 Juniper Court						X							X									X											
4																																		
5																																		
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. ☐

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0000062231 7

Reporting Individual's Name: Carper, Thomas R.

☐ Amendment

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): Purchase	Sale	Exchange	Transaction Date (Mo., Day, Yr.)	Amount of Transaction (x): $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	*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	DE Econ Dev Auth 5.2% due 2/1/19 (S, Trust)		X		8/6/2012		X									
2	S	Lincoln National Corp. (S, Trust) ⊞		X		10/8/2012		X									
3	S	E.I. Dupont de Nemours (S, Trust)	X			11/15/2012	X										
4	S	PNC Financial Services (S, Trust)	X			11/15/2012	X										
5	S	TJX Corp. (S, Trust) ⊞	X			11/15/2012	X										
6	S	Nuveen Intermediate Duration Municipal Term Fd (S, Trust)	X			12/20/2012	X										
7	S	Provident Energy (S, IRA) ⊞		X		2/1/2012	X										
8	S	Avenex Energy Corp. (S, IRA)	X			2/1/2012	X										
9	S	MS Floating Rate CMS 4.25% due 2/15/19 (S, IRA) ⊞	X			2/10/2012		X									
10	S	Morgan Stanley ELKS 14.5% 2/23/12/ BHI (S, IRA)		X		2/23/2012		X									
11	S	Morgan Stanley ELKS 8.0% 12/30/12 BHI (S, IRA)	X			2/28/2012		X									
12	S	Blackrock Global Opportunities Equity Tr (S, IRA) ⊞	X			3/20/2012	X										

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

0000622318

Reporting Individual's Name: Carper, Thomas R.

☐ Amendment

PART IV. TRANSACTIONS

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		Identification of Assets	Transaction Type (x): Purchase	Sale	Exchange	Transaction Date (Mo., Day, Yr.)	Amount of Transaction (x): $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		*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	Blackrock Ecosolutions Invt Tr (S, IRA)		X		3/20/2012	X										
2	S	ILFC 5.625% due 9/20/13 (S, IRA) ⊞		X		4/3/2012		X									
3	S	ILFC 5.75% due 5/15/13 (S, IRA)	X			4/3/2012		X									
4	S	Citigroup Funding Inc. ELKS 9% 11/21/12 FCX (S, IRA)	X			4/27/2012		X									
5	S	Ryder Systems 5% due 6/15/12 (S, IRA) ⊞		X		6/15/2012		X									
6	S	Morgan Stanley ELKS 11% due 6/25/12 CMI (S, IRA)		X		6/25/2012		X									
7	S	Citigroup Funding Inc. ELKS 10.5% due 1/24/13 BRCM (S, IRA) ⊞	X			6/28/2012		X									
8	S	Verizon (S, IRA)		X		7/25/2012	X										
9	S	Vodaphone Gp PLC (S, IRA) ⊞	X			7/25/2012	X										
10	S	Morgan Stanley ELKS 8.0% 8/20/12 BHI (S, IRA)		X		8/30/2012		X									
11	S	Citigroup Funding Inc. ELKS 18.5% due 2/27/13 CIE (S, IRA)	X			8/30/2012		X									
12	S	MetLife Pfd A (S, IRA) ⊞		X		9/10/2012		X									

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

0000062231 9

Reporting Individual's Name: Carper, Thomas R.

☐ Amendment

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.

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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	S	Morgan Stanley Pfd A (S, IRA)	X			9/10/2012		X									
2	S	CFI Trigger Jump Based on Gold (S, IRA) ⊞	X			9/28/2012		X									
3	S	Barclays Contingent Autocall 13.55% due 11/1/13 NEM (S, IRA)	X			10/31/2012		X									
4	S	Citigroup ELKS 9% due 11/21/12 FCX (S, IRA)		X		11/21/2012		X									
5	S	Prospect Capital Corp. 5.5% due 8/15/16 (S, IRA) ⊞	X			11/28/2012		X									
6	S	UBS ELKS 8.52% due 6/4/13 APC (S, IRA)	X			11/29/2012		X									
7	S	Marathon Oil (S, IRA) ⊞		X		1/18/2012	X										
8	S	Marathon Petroleum (S, IRA)	X			1/18/2012	X										
9	S	Provident Energy (S, IRA) ⊞		X		1/20/2012	X										
10	S	Avenex Energy (S, IRA)	X			1/20/2012	X										
11	S	Apple Inc. (S, IRA)	X			1/31/2012	X										
12	S	VF Corp. (S, IRA) ⊞	X			2/7/2012	X										

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

0000622320

Reporting Individual's Name: Carper, Thomas R.

☐ Amendment

PART IV. TRANSACTIONS

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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	S	Apple Inc. (S, IRA)	X			3/7/2012	X										
2	S	VF Corp. (S, IRA)	X			3/7/2012	X										
3	S	Cisco Systems (S, IRA)	X			3/20/2012	X										
4	S	Tyco International (S, IRA)	X			3/28/2012	X										
5	S	Petroleus Brasil (S, IRA)		X		5/4/2012	X										
6	S	Ecopetrol (S, IRA)	X			5/4/2012	X										
7	S	Telefonica SA ADR (S, IRA)		X		10/24/2012	X										
8	S	SPDR Trust Series 1 (S, IRA)		X		12/20/2012	X										
9	S	Conoco Phillips (S, IRA)		X		7/19/2012	X										
10	S	Southern Copper (S, IRA)	X			7/19/2012	X										
11	S	Raytheon (S, IRA)		X		8/14/2012	X										
12	S	Leggett & Platt (S, IRA)	X			8/14/2012	X										

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

0000622321

Reporting Individual's Name: Carper, Thomas R.

☐ Amendment

PART IV. TRANSACTIONS

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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	S	Omega Healthcare Inv. Inc. (S, IRA)	X			8/21/2012	X										
2	S	Frontier Communications (S, IRA) ⊞		X		8/21/2012	X										
3	S	Otter Tail Power (S, IRA)		X		8/21/2012	X										
4	S	Enersis S.A. ADS (S, IRA)	X			9/5/2012	X										
5	S	CIA Saneamento Basico (S, IRA) ⊞		X		9/5/2012	X										
6																	
7	S	MetLife Floating Rate Pfd A (S, IRA) ⊞		X		10/2/2012	X										
8	S	Goldman Sachs Floating Rate Pfd A (S, IRA)	X			10/2/2012	X										
9	S	Pentair (S, IRA) ⊞	X			10/8/2012	X										
10	S	Marathon Petroleum (S, IRA)		X		10/8/2012	X										
11	S	Harmony Gold (S, IRA)	X			10/10/2012	X										
12	S	Silvercorp Metals (S, IRA) ⊞		X		10/10/2012	X										

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

0000622322

Reporting Individual's Name: Carper, Thomas R.

☐ Amendment

PART IV. TRANSACTIONS

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		Identification of Assets	Transaction Type (x): Purchase	Sale	Exchange	Transaction Date (Mo., Day, Yr.)	Amount of Transaction (x): $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	*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	DuPont (Stock)	X			9/14/2012				X							
2	S	DuPont (Stock)		X		9/14/2012				X							
3																	
4																	
5																	
6																	
7																	
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10																	
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Click...to create an additional page for this part.

Reporting Individual's Name: Carper, Thomas R.

☐ Amendment

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	Date Incurred	Interest Rate	Discount Points Paid for Mortgage *(Senators Only)*	Term if Applicable	Category of Amount of Value (x)										
									$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
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	Citizens Bank	Wilmington, DE	Mortgage on home	2009	4.5%		15 yr.					X						
2																			
3																			
4																			
5																			
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