

PERIODIC DISCLOSURE OF FINANCIAL TRANSACTIONS

Please provide the following information.
Your signature **WILL NOT** be made available to the public.

Last Name	First Name and Middle Initial	Email Address
Senate Office / Agency in Which Employed	Senate Office Address (Number, Street, City, State, and ZIP Code)	Senate Office Telephone Number (Include Area Code)

CERTIFICATION – THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

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.

This Periodic Disclosure of Financial Transactions Report is required by the Ethics in Government Act of 1978, as amended. This report will be made available by the Office of the Secretary of the Senate 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>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.</i>		

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)

\$200 Penalty for filing more than 30 days after due date.

Periodic Disclosure of Financial Transactions Instructions

WHO must file this form?

Senators, officers, and employees who earn a rate of pay of at least 120% of GS-15 (\$119,554 for 2012) for 60 or more days in a calendar year. Political fund designees (PFDs) who earn less than 120% of GS-15, fellows, and detailees are not required to file this periodic disclosure.

WHEN must the form be filed?

Not later than 30 days after receiving written *notification* of a transaction, report the identity of the asset, the date, and the category of amount of any purchase, sale, or exchange of any stocks, bonds, commodity futures, and other securities held by you, your spouse, or your dependent child when the amount of the transaction exceeds \$1,000. In no event may this disclosure be filed later than 45 days after any such transaction.

WHAT is “notification”?

“*Notification*” is when a filer receives written communication that a transaction has occurred, such as when a filer receives an email or other written confirmation from his or her broker or financial advisor that a transaction has occurred, or when a filer receives a monthly account statement reflecting any transaction that exceeds \$1,000.

WHAT must be reported? (General Instructions)

- See the instructions appended to the *United States Senate Public Financial Disclosure Report* for definitions of specific terms and treatment of reporting specific assets (e.g., stock options).
- Under identification of assets, name or otherwise identify the asset involved in the purchase, sale, or exchange, and give the date of the transaction.
- The amount to be reported is the gross purchase price, sale price, or fair market value of an exchange. The gain or loss on sales is not included in this value determination.
- For an investment club, partnership, LLC, or other holding arrangement that does not meet the definition of an excepted investment fund, report each of the underlying assets of the club or other holding arrangement that was bought or sold within 30 days of the transaction when you, your spouse, or your dependent child's interest in the asset exceeds \$1,000.

WHAT is excluded from this report?

For this periodic disclosure only, do not report a transaction involving:

- 1) An excepted investment fund (e.g., publicly-traded mutual or exchange-traded funds, regulated investment companies, pooled investment funds, pensions, or deferred compensation plans);
- 2) assets that are solely incidental to the primary trade or business of an entity;
- 3) any real property;
- 4) cash accounts (e.g., money market, savings, or checking accounts);
- 5) a holding of a “qualified blind trust” or an “excepted trust;”
- 6) U.S. treasury bills, notes, and bonds;
- 7) transactions solely by and between you, your spouse, or your dependent child; and
- 8) an asset of your spouse or dependent child if the asset meets the three-part Exemption Test (see the instructions appended to the *Financial Disclosure Report*).

WHERE should this form be filed?

Your completed form (and any subsequent amendment) must be filed with the:

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

OR

Secretary of the Senate
Office of Public Records
P.O. Box 77578
Washington, DC 20013-7578

WHAT if I miss the filing deadline?

Under the law, a \$200 penalty will be assessed when a report is filed more than 30 days after the due date. The law does provide for a waiver of the fine in extraordinary circumstances. Such a waiver must be requested in writing, setting forth the reasons for such a waiver.

TRANSACTIONS REPORTED ON THIS PERIODIC DISCLOSURE OF TRANSACTIONS FORM MUST ALSO BE DISCLOSED ON YOUR NEXT FINANCIAL DISCLOSURE REPORT (ANNUAL OR TERMINATION).

You must sign and date the signature page after completing your *Periodic Disclosure of Transactions* form. By your signature, you are certifying that the report is true, complete, and correct to the best of your knowledge and belief. **Please note that this signature page will NOT be made available to the public.**

Questions regarding this form and your reporting obligations should be directed to the Select Committee on Ethics, 220 Hart Senate Office Building, United States Senate, Washington, DC 20510
(202) 224-2981; <http://ethics.senate.gov>