

**This Report Should Be Filed With:**

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

# PERIODIC DISCLOSURE OF FINANCIAL TRANSACTIONS

(Time/Date)

Reporting Individual's Name

☐ Amendment

Senate Office / Agency in Which Employed

Page Number

Report any purchase, sale, or exchange by you, your spouse, or dependent child **within 30 days** of receiving written notification of such transaction. Report any 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 an excepted investment fund, any real property, or a transaction between you, your spouse, or dependent child. Please clarify which two assets are involved in any reportable exchange. In no event may this disclosure be filed more than 45 days after such transaction.

**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

**Identification of Assets****Example:**

(S) Spouse  
(DC) Dependent  
Child  
(J) Joint

IBM Corp. (stock) NYSE

(DC) Microsoft (stock)  
NASDAQ/OTC

X

2 / 1 / 1X

X

E

X

A

M

P

L

E

X

2 / 27 / 1X

X

E

X

A

M

P

L

E

1

2

3

4

5

6

7

8

This Periodic Disclosure Of Financial Transactions statement is required by the Ethics in Government Act of 1978, as amended. The statement will be made available by the Office of the Secretary of the Senate to any requesting person upon written application and will be reviewed by the Select Committee on Ethics. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil and criminal sanctions. (See 5 U.S.C. app. 4, § 104, and 18 U.S.C. § 1001.)

**Certification**

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.

**Signature of Reporting Individual****Date (Month, Day, Year)****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)**

[illegible]

[illegible]

# 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).**

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>