

Financial Disclosures

Annual Report for Calendar 2016

The Honorable Timothy M Kaine (Kaine, Tim)

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The following statements were checked before filing:

- I certify that the statements I have made on this form are true, complete and correct to the best of my knowledge and belief.
- I understand that reports cannot be edited once filed. To make corrections, I will submit an *electronic* amendment to this report.
- I omitted assets because they meet the three-part test for exemption.

Part 1. Honoraria Payments or Payments to Charity in Lieu of Honoraria

Did any individual or organization pay you or your spouse more than \$200 or donate any amount to a charity on your behalf, for an article, speech, or appearance? **No**

Part 2. Earned and Non-Investment Income

Did you or your spouse have reportable earned income or non-investment income? **Yes**

#	Who Was Paid	Type	Who Paid	Amount Paid
1	Spouse	Salary	Commonwealth of Virginia Richmond, VA	> \$1,000

Part 3. Assets

Did you, your spouse, or dependent child own any asset worth more than \$1000, have a deposit account with a balance over \$5,000, or receive income of more than \$200 from an asset? **Yes**

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
1	IRA Managed by Morgan Stanley	Retirement Plans IRA	Spouse			
1.1	<u>SGENX</u> - First Eagle Global A (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
2	Morgan Stanley Consultant Advisor Account	Brokerage/Managed Account	Joint			
2.1	<u>LSBDX</u> - Loomis Sayles Bond Instl (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2.2	<u>TGBAX</u> - Templeton Global Bond Adv (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2.3	<u>OAKBX</u> - Oakmark Equity & Income I (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
3	<u>GE</u> - General Electric Company (NYSE)	Corporate Securities Stock	Spouse	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500
4	Wells Fargo (Richmond, VA) Type: Checking,	Bank Deposit	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
5	IRA managed by Morgan Stanley	Retirement Plans IRA	Self			
5.1	<u>SGIIX</u> - First Eagle Global I (NASDAQ)	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
5.2	<u>MDISX</u> - Franklin Mutual Global Discovery Z (NASDAQ)	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
5.3	<u>LSBDX</u> - Loomis Sayles Bond Instl (NASDAQ)	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
5.4	<u>VWINX</u> - Vanguard Wellesley Income Inv (NASDAQ)	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
5.5	<u>VO</u> - Vanguard Mid-Cap ETF	Mutual Funds Exchange Traded Funds/Notes	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
5.6	<u>VB</u> - Vanguard Small-Cap ETF	Mutual Funds Exchange Traded Funds/Notes	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
5.7	Morgan Stanley Bank N.A. (New York, NY) Type: IRA Cash Accounts,	Bank Deposit	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
5.8	<u>QQQ</u> - PowerShares QQQ ETF	Mutual Funds Exchange Traded Funds/Notes	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
5.9	<u>SDY</u> - SPDR S&P Dividend ETF	Mutual Funds Exchange Traded Funds/Notes	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
5.10	<u>VDE</u> - Vanguard Energy ETF	Mutual Funds Exchange Traded Funds/Notes	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
5.11	<u>PFBPX</u> - PIMCO Foreign Bond (USD-Hedged) P	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
6	Fidelity UTMA Account	UGMA/UTMA Account	Child			
6.1	<u>FGRIX</u> - Fidelity Growth & Income Portfolio (NASDAQ)	Mutual Funds Mutual Fund	Child	None (or less than \$1,001)	Excepted Investment Fund,	\$201 - \$1,000
7	Virginia R. Holton Grandchildren's Trust <i>Filer comment: The assets in this trust are held for our three children and their 7 cousins. The values represent total trust holdings.</i>	Trust General (Trust)	Child			
7.1	<u>AMX</u> - America Movil S.A.B. de C.V.	Corporate Securities Stock	Child	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
7.2	<u>I</u> - AT&T, Inc. (NYSE)	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500
7.3	<u>BMJ</u> - Bristol-Myers Squibb Company (NYSE)	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500
7.4	<u>CVX</u> - Chevron Corporation (NYSE)	Corporate Securities Stock	Child	\$50,001 - \$100,000	Dividends,	\$2,501 - \$5,000
7.5	<u>KO</u> - The Coca-Cola Company (NYSE)	Corporate Securities Stock	Child	\$100,001 - \$250,000	Dividends,	\$2,501 - \$5,000
7.6	<u>DUK</u> - Duke Energy Corporation (NYSE)	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500
7.7	<u>XOM</u> - Exxon Mobil Corporation (NYSE)	Corporate Securities Stock	Child	\$50,001 - \$100,000	Dividends,	\$1,001 - \$2,500

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
7.8	<u>GE</u> - General Electric Company (NYSE)	Corporate Securities Stock	Child	\$50,001 - \$100,000	Dividends,	\$1,001 - \$2,500
7.9	<u>IBM</u> - International Business Machines Corporation (NYSE)	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
7.10	<u>KMB</u> - Kimberly-Clark Corporation (NYSE)	Corporate Securities Stock	Child	\$50,001 - \$100,000	Dividends,	\$1,001 - \$2,500
7.11	<u>KMI</u> - Kinder Morgan, Inc.	Corporate Securities Stock	Child	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
7.12	<u>SPLS</u> - Staples, Inc. (NASDAQ)	Corporate Securities Stock	Child	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
7.13	<u>TXT</u> - Textron Inc. (NYSE)	Corporate Securities Stock	Child	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
7.14	<u>TICC</u> - TICC Capital Corp. (NASDAQ)	Corporate Securities Stock	Child	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
7.15	Morgan Stanley Bank, N.A. (New York, NY) <i>Type: Savings,</i>	Bank Deposit	Child	\$15,001 - \$50,000	Interest,	None (or less than \$201)
7.16	<u>ACINX</u> - Columbia Acorn International Z	Mutual Funds Mutual Fund	Child	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
7.17	<u>FRVAX</u> - Franklin VA Tax-Free Income A (NASDAQ)	Mutual Funds Mutual Fund	Child	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
7.18	HYH - Halyard Health, Inc. (NYSE)	Corporate Securities Stock	Child	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
7.19	SLRC - Solar Capital Ltd.	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500
7.20	TLSSF - Telesites S.A.B. DE C.V.	Corporate Securities Stock	Child	None (or less than \$1,001)	Dividends,	\$201 - \$1,000
8	Virginia Retirement System	Retirement Plans Defined Benefit Pension Plan	Self	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
9	Virginia Retirement System	Retirement Plans Defined Benefit Pension Plan	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
10	Commonwealth of Virginia 457 Deferred Compensation Plan	Deferred Compensation Deferred Compensation - Other	Spouse			
10.1	Target Date 2030 Portfolio	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)

Part 4a. Periodic Transaction Report Summary

In this section, electronically filed periodic transaction report (PTR) transactions are displayed for you. Have you filed any paper-based PTRs in this period? **No**

Part 4b. Transactions

Did you, your spouse, or dependent child buy, sell, or exchange an asset that exceeded \$1,000? **Yes**

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Amount	Comment
1	Child	<u>FGRIX</u>	Fidelity Growth & Income	Sale (Full)	12/27/2016	\$1,001 - \$15,000	--
2	Self	<u>VWINX</u>	Vanguard Wellesley Income Inv	Purchase	12/23/2016	\$1,001 - \$15,000	--
3	Self	<u>MDISX</u>	Franklin Mutual Global Discovery Z	Purchase	12/22/2016	\$1,001 - \$15,000	--
4	Self	<u>SGIIX</u>	First Eagle Global I	Purchase	12/14/2016	\$1,001 - \$15,000	--
5	Self	<u>VWINX</u>	Vanguard Wellesley Income Inv	Purchase	06/28/2016	\$1,001 - \$15,000	--
6	Self	<u>ODVYX</u>	Oppenheimer Developing Markets Y	Sale (Full)	06/28/2016	\$15,001 - \$50,000	--
7	Self	<u>TGBAX</u>	Templeton Global Bond Adv	Sale (Full)	06/28/2016	\$15,001 - \$50,000	--
8	Self	<u>MDISX</u>	Franklin Mutual Global Discovery Z	Sale (Partial)	06/28/2016	\$15,001 - \$50,000	--
9	Self	<u>PFBPX</u>	PIMCO Foreign Bond (USD- Hedged) P	Purchase	06/28/2016	\$15,001 - \$50,000	--
10	Self	<u>MEDIX</u>	MFS Emerging Markets Debt I	Sale (Full)	06/28/2016	\$15,001 - \$50,000	--
11	Self	<u>SDY</u>	SPDR S&P Dividend ETF	Purchase	06/28/2016	\$15,001 - \$50,000	--
12	Self	<u>QQQ</u>	PowerShares QQQ ETF	Purchase	06/28/2016	\$15,001 - \$50,000	--
13	Self	<u>SGIIX</u>	First Eagle Global I	Sale (Partial)	03/23/2016	\$1,001 - \$15,000	--
14	Self	<u>MDISX</u>	Franklin Mutual Global Discovery Z	Sale (Partial)	03/23/2016	\$1,001 - \$15,000	--
15	Self	<u>VDE</u>	Vanguard Energy ETF	Purchase	03/23/2016	\$15,001 - \$50,000	--

Part 5. Gifts

Did you, your spouse, or dependent child receive any reportable gift during the reporting period? **No**

Part 6. Travel

Did you, your spouse, or dependent child receive any reportable travel or reimbursements for travel? **Yes**

#	Date(s)	Traveler(s)	Travel		Reimbursed		Comment
			Type	Itinerary	For	Who Paid	
1	06/17/2016 to 06/19/2016	Self	Outside activity	DC (Dulles) to Santiago de Compostela, Spain and return	Flights, lodging, and meals	United States- Spain Council Falls Church, Virginia	

Part 7. Liabilities

Did you, your spouse, or dependent child have a liability worth more than \$10,000 at any time? **Yes**

#	Incurred	Debtor	Type	Points	Rate		Creditor	Comments
					(Term)	Amount		
1	2011	Joint	Mortgage	0	4% (15 years)	\$50,001 - \$100,000	Wells Fargo San Francisco, CA	Mortgage on personal residence

Part 8. Positions

Did you hold any outside positions during the reporting period? **Yes**

#	Position Dates	Position Held	Entity	Entity Type	Comments
1	Jan 2010 to present	Other (Board Member)	Myotonic Dystrophy Foundation San Francisco, CA	Nonprofit Organization	Volunteer
2	Nov 2013 to present	Other (Honorary Chairman)	United States Spain Council Falls Church, Virginia	Nonprofit Organization	

Part 9. Agreements

Did you have any reportable agreement or arrangement with an outside entity? **Yes**

#	Date	Parties Involved	Type	Status and Terms
1	Jan 2010	Virginia Retirement System Richmond, VA	Continuing participation in an employee benefit plan	Defined benefit retirement plan

Part 10. Compensation

If this is your first report, or you are a candidate did you receive compensation of more than \$5,000 from a single source in the **two** prior years? **This is not my first report.**

Attachments & Comments

No attachments added.

No comments added.