

## Annual Report for Calendar 2013 (Amendment 1)

**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	Self	Salary	University of Richmond Richmond, VA	\$16,170.00
2	Spouse	Salary	Commonwealth of Virginia Richmond, VA	> \$1,000

### Part 3. Assets \* Amended

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</u>	
					<u>Type</u>	<u>Income</u>
1	<b>Life Insurance Policy</b> <i>Provider: National Life Group</i>	Life Insurance Variable	Self			
1.1	<b>Sentinel VPT Common Stock</b>	Mutual Funds	Self	\$1,001 -	Excepted	None

		Mutual Fund		\$15,000	Investment Fund,	(or less than \$201)
1.2	<b>Sentinel VPT Small Company</b>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.3	<b>Sentinel VPT Bond</b>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.4	<b><u>AAGOX</u> - Alger Large Cap Growth I-2 (NASDAQ)</b>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.5	<b>Alliance Bernstein VPS Small/Mid Cap Value</b>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.6	<b>AllianceBernstein VPS International Value</b>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.7	<b><u>AVPLX</u> - American Century VP Internation (NASDAQ)</b>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.8	<b>Neuberger Berman AMT Short Duration Bond Fund</b>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.9	<b><u>PAFDX</u> - T. Rowe Price Equity Income Adv (NASDAQ)</b>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)

						\$201)
1.10	<b>Van Eck VIP Emerging Markets</b>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.11	<b><u>EMBUX</u> - Van Eck Unconstrained Emerg Mkts Bond I (NASDAQ)</b>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.12	<b>Van Eck VIP Global Hard Assets</b>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2	<b>IRA Managed by Morgan Stanley</b>	Retirement Plans IRA	Spouse			
2.1	<b><u>SGENX</u> - First Eagle Global A (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
3	<b>Morgan Stanley Consultant Advisor Account</b>	Brokerage/Managed Account	Joint			
3.1	<b><u>LSBDX</u> - Loomis Sayles Bond Instl (NASDAQ)</b>	Mutual Funds Mutual Fund	Joint	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
3.2	<b><u>TGBAX</u> - Templeton Global Bond Adv (NASDAQ)</b>	Mutual Funds Mutual Fund	Joint	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
3.3	<b><u>OAKBX</u> - Oakmark Equity &amp; Income I (NASDAQ)</b>	Mutual Funds Mutual Fund	Joint	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)

4	<b>GE - General Electric Company (NYSE)</b>	Corporate Securities Stock	Spouse	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
5	<b>SunTrust</b> (Richmond, VA) Type: Savings,	Bank Deposit	Joint	\$1,001 - \$15,000	Interest,	\$201 - \$1,000
6	<b>Wells Fargo</b> (Richmond, VA) Type: Checking,	Bank Deposit	Joint	\$1,001 - \$15,000	Interest,	None (or less than \$201)
7	<b>IRA managed by Morgan Stanley</b>	Retirement Plans IRA	Self			
7.1	<b>DPDFX - Delaware Diversified Income A (NASDAQ)</b>	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	\$1,001 - \$2,500
7.2	<b>SGIIX - First Eagle Global I (NASDAQ)</b>	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	Excepted Investment Fund,	\$1,001 - \$2,500
7.3	<b>Franklin Mutual Global Discovery 2</b>	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	Excepted Investment Fund,	\$1,001 - \$2,500
7.4	<b>LSBDX - Loomis Sayles Bond Instl (NASDAQ)</b>	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	Excepted Investment Fund,	\$1,001 - \$2,500
7.5	<b>DIFIX - MFS Diversified Income I (NASDAQ)</b>	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	\$201 - \$1,000
7.6	<b>MEDIX - MFS Emerging Markets Debt I (NASDAQ)</b>	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	\$201 - \$1,000
7.7	<b>ODMAX - Oppenheimer Developing Markets A (NASDAQ)</b>	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than

						\$201)
7.8	<b><u>RYSEX</u> - Royce Special Equity Invmt (NASDAQ)</b>	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
7.9	<b><u>TGBAX</u> - Templeton Global Bond Adv (NASDAQ)</b>	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	Excepted Investment Fund,	\$2,501 - \$5,000
7.10	<b>Permanent Portfolio Inc.</b>	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	\$201 - \$1,000
7.11	<b><u>BPRIX</u> - BlackRock Inflation Protected Bond Instl (NASDAQ)</b>	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	\$201 - \$1,000
8	<b>Fidelity UTMA Account</b>	UGMA/UTMA Account	Child			
8.1	<b><u>FGRIX</u> - Fidelity Growth &amp; Income Portfolio (NASDAQ)</b>	Mutual Funds Mutual Fund	Child	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
8.2	<b><u>FBGRX</u> - Fidelity Blue Chip Growth (NASDAQ)</b>	Mutual Funds Mutual Fund	Child	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
9	<b>Virginia R. Holton Grandchildren's Trust</b>  <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			
9.1	<b>American Movil</b>	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500
9.2	<b><u>I</u> - AT&amp;T, Inc. (NYSE)</b>	Corporate Securities	Child	\$15,001 -	Dividends,	\$1,001 -

		Stock		\$50,000		\$2,500
9.3	<b><u>BMJ</u> - Bristol-Myers Squibb Company (NYSE)</b>	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500
9.4	<b><u>CVX</u> - Chevron Corporation (NYSE)</b>	Corporate Securities Stock	Child	\$50,001 - \$100,000	Dividends,	\$2,501 - \$5,000
9.5	<b><u>KO</u> - The Coca-Cola Company (NYSE)</b>	Corporate Securities Stock	Child	\$50,001 - \$100,000	Dividends,	\$2,501 - \$5,000
9.6	<b><u>DUK</u> - Duke Energy Corporation (NYSE)</b>	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500
9.7	<b><u>XOM</u> - Exxon Mobil Corporation (NYSE)</b>	Corporate Securities Stock	Child	\$50,001 - \$100,000	Dividends,	\$1,001 - \$2,500
9.8	<b><u>GE</u> - General Electric Company (NYSE)</b>	Corporate Securities Stock	Child	\$50,001 - \$100,000	Dividends,	\$1,001 - \$2,500
9.9	<b><u>IBM</u> - International Business Machines Corporation (NYSE)</b>	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
9.10	<b><u>KMB</u> - Kimberly-Clark Corporation (NYSE)</b>	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500
9.11	<b><u>KMP</u> - Kinder Morgan Energy Partners, L.P. (NYSE)</b>	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500
9.12	<b><u>SLRC</u> - Solar Capital Ltd. (NASDAQ)</b>	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500
9.13	<b><u>SPLS</u> - Staples, Inc. (NASDAQ)</b>	Corporate Securities Stock	Child	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
9.14	<b><u>TXT</u> - Textron Inc. (NYSE)</b>	Corporate Securities Stock	Child	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
9.15	<b><u>TICC</u> - TICC Capital Corp.</b>	Corporate Securities	Child	\$1,001 -	Dividends,	\$201 -

	(NASDAQ)	Stock		\$15,000		\$1,000
9.16	<b>Citibank</b> (New York, NY) Type: Savings,	Bank Deposit	Child	\$15,001 - \$50,000	Interest,	None (or less than \$201)
9.17	<b>CRIRX - Columbia Acorn International Select R5 (NASDAQ)</b>	Mutual Funds Mutual Fund	Child	\$1,001 - \$15,000	Excepted Investment Fund,	\$201 - \$1,000
9.18	<b>FRVAX - Franklin VA Tax-Free Income A (NASDAQ)</b>	Mutual Funds Mutual Fund	Child	\$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	Self	<u>DIFIX</u>	MFS Diversified Income I (NASDAQ)	Purchase	01/16/2013	\$15,001 - \$50,000	Purchase of shares in mutual fund held as part of Morgan Stanley IRA

#### Part 5. Gifts

Did you, your spouse, or dependent child receive any reportable gift during the reporting period? **Yes**

#	Date	Recipient	Gift	Value	From
1	07/13/2013	Self	An inscribed and signed two volume copy of President Harry S. Truman's memoirs.	\$450.00	Robert Pietrzak New York New

York

2	07/13/2013	Self	A reproduction of a cast from 1886 of Abraham Lincoln's hand, made by sculptor Leonard W. Volk	\$195.00	Robert Pietrzak New York, New York
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## 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	11/02/2013	Self	Campaign	Dulles to Charlottesville to Norfolk and to Richmond	Helicopter transportation	Terry McAuliffe for Governor Arlington, 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	Organization	Organization 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	



3	Jan 2011 to Dec 2013	Other (Board Member)	Housing Opportunities Made Equal Richmond, Virginia	Nonprofit Organization
4	Jan 2010 to present	Other (Teacher)	University of Richmond Richmond, Virginia	Educational Organization

### Part 9. Agreements

Did you have any reportable agreement or arrangement with an outside entity? **No**

### 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? **No**

### Attachments & Comments

*No attachments added.*

*No comments added.*