

UNITED STATES SENATE FINANCIAL DISCLOSURE REPORT FOR ANNUAL AND TERMINATION REPORTS

<input type="checkbox"/> Amendment			
Last Name	First Name and Middle Initial	Annual Report	
Harkin	Thomas R.	Calendar Year Covered by Report: 2011	Senate Office / Agency in Which Employed United States Senate
Senate Office Address (Number, Street, City, State, and ZIP Code)		Termination Report	
Senate Office Telephone Number (Include Area Code)		Termination Date (mm/dd/yy):	Prior Office / Agency in Which Employed
Senate Hart #731, Washington, DC 20510		202-224-3254	

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

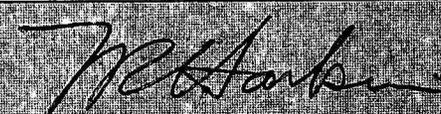
	YES	NO		YES	NO
Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If Yes, Complete and Attach PART I.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Did you, your spouse, or dependent child receive 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.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	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.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	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.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Do you have any reportable agreement or arrangement with an outside entity? If Yes, Complete and Attach PART IX.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	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.	<input type="checkbox"/>	<input type="checkbox"/>

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

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

This Financial Disclosure 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.)

**FOR OFFICIAL USE ONLY
Do Not Write Below this Line**

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.</i>	Signature of Reporting Individual 	Date (Month, Day, Year) 5/15/2012
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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)
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SECRETARY OF THE SENATE
 MAY 15 PM 2:33

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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	ConocoPhillips (Spouse)	Houston, TX	Salary (includes	Over \$1,000	
2			contractual right to		
3			receive stock in		
4			the future)		
5	United Technologies Corp. (Spouse)	Washington, DC	Salary and pension	Over \$1,000	
6			(salary includes		
7			contractual right to		
8			purchase stock in		
9			the future)		
0	AbitibiBowater, Inc. (Spouse)	Montreal, Canada	Salary (includes	Over \$1,000	
1			contractual right to		
2			receive stock in		
3			the future)		

PART II. EARNED AND NON-INVESTMENT INCOME

Thomas R. Harkin

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	National Toll Road (Spouse)	Dublin, Ireland	Salary (includes	Over \$1,000
2			contractual right to	
3			receive stock in	
4			the future)	
5				
6				
7				
8				
9				
0				
1				
2				
3				

**BLOCK A
Identity of Publicly Traded Assets
And Unearned Income Sources**

**BLOCK B
Valuation of Assets**

**BLOCK C
Type and Amount of Income**

At the close of reporting period.
If None, or less than \$1,001,
Check the first column.

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								BLOCK C Type and Amount of Income																					
	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***	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				X					X							Example		X												Example
(S) IBM Corp. (stock)				X												Example		X												Example
(S) Keystone Fund				X										X				X												
J Procter & Gamble	X								X									X												
J Walt Disney	X								X									X												
J Citibank NA Bank Deposit Program			X									X						X												
J Western Asset Money Market Fund Class A	X								X									X												
Citibank NA Bank Deposit Program (IRA)	X										X							X												
Fidelity Advisor Midcap Fund	X												X					X												
Fidelity Advisor Overseas Fund	X												X					X												
Principal Financial Group	X								X									X												
S ConocoPhillips Corp.							X		X													X								
S 1st Century Bancshares, Inc.			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.

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Thomas R. Harkin

BLOCK A Identity of Publicly Traded Assets And Unearned Income Sources		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																						
										Type of Income							Amount of Income				Actual Amount Required if "Other" Specified											
		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***
Example: S, DC, or J	IBM Corp. (stock)			X									X								Example	X										Example
	(S) Keystone Fund				X											X					Example	X										Example
1	S Harbor Small Cap Value Fund			X								X										X										
2	S Harbor Cap Appreciation Fund				X							X											X									
3	S Harris Assoc Invt Oakmark Fund				X											X							X									
4	S Ishares Dow Jones Select		X													X							X									
5	S Ishares S&P N. American Nat. Res. Index			X												X							X									
6	S Ishares S&P Sm. Cap 600 Value Index			X												X							X									
7	S Ishares S&P Sm. Cap 600 Growth Index			X												X							X									
8	S Ishares Tr. Russell Midcap Growth Index		X													X							X									
9	S Ishares Tr. Russell 1000 Value Index			X												X							X									
0	S Ishares Tr. Russell 1000 Growth Index				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.

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

	BLOCK A Identity of Publicly Traded Assets And Unearned Income Sources	BLOCK B Valuation of Assets									BLOCK C Type and Amount of Income											Actual Amount Required if "Other" Specified
		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					Amount of Income			
		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	
Example:	S, DC, or J IBM Corp. (stock)		X							Example	X											Example
	(S) Keystone Fund			X						Example	X											Example
1	S SPDR Ser Tr S&P 600 Small Cap Growth			X								X										
2	S SPDR Ser Tr S&P 600 Small Cap Value				X							X										
3	S SPDR Ser Tr S&P 500 Growth					X									X							
4	S SPDR Ser Tr S&P 400 Mid Cap Growth				X							X										
5	S Vanguard Emerging Markets					X									X							
3	S Vanguard Dividend Appreciation					X									X							
7	S Vanguard Fixed Income Intermed. Term Treas.			X								X										
3	S Vanguard Precious Metals and Mining				X										X							
3	S Vanguard Mid Cap Value				X								X									
0	S Vanguard Selected Value Fund				X								X									

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*** 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.

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

BLOCK A

Identity of Publicly Traded Assets And Unearned Income Sources

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Example: S, IBM Corp. (stock)
DC, (S) Keystone Fund
or J

BLOCK B
Valuation of Assets

At the close of reporting period.
If None, or less than \$1,001,
Check the first column.

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
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BLOCK C
Type and Amount of Income

Type of Income

Amount of Income

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
	X							Example		X										Example
					X			Example	X											Example
1												X								
2													X							
3														X						
4														X						
5														X						
6														X						
7	X													X						
8		X									X									
9														X						
10														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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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

S, Example: DC, or J
 IBM Corp. (stock) NYSE
 (DC) Microsoft (stock) NASDAQ/OTC

Transaction Type (x)	Transaction Date (Mo., Day, Yr.)	Amount of Transaction (x)													
		Purchase	Sale	Exchange	\$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
X	2/1/1X				X				E	X	A	M	P	L	E
	1/27/1X		X				X		E	X	A	M	P	L	E
<input type="checkbox"/> S	Vanguard Selected Value Fund	X						X							
<input type="checkbox"/> S	Vanguard Emerging Markets <input type="checkbox"/>	X						X							
<input type="checkbox"/> S	Vanguard Dividend Appreciation	X						X							
<input type="checkbox"/> S	Virtus Opportunities Tr		X					X							
<input type="checkbox"/> S	Wisdomtree Trust Emerging Markets Equity <input type="checkbox"/>	X						X							
<input type="checkbox"/> S	Wisdomtree Trust Intl Dividend Ex-Financials	X							X						
<input type="checkbox"/> S	Wisdomtree Trust Total Dividend Fund <input type="checkbox"/>	X							X						
<input type="checkbox"/> S	Buffalo Small Cap Fd	X							X						
<input type="checkbox"/> S	Buffalo Fds Mid Cap <input type="checkbox"/>	X						X							
<input type="checkbox"/> S	American High Inc Tr Cl F		X					X							
<input type="checkbox"/> S	Harris Assoc Invt Oakmark Fund	X							X						
<input type="checkbox"/> S	Ishares S&P Sm Cap 600 Growth Index <input type="checkbox"/>		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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Identification of Assets

Example: S, DC, or J IBM Corp. (stock) NYSE
 (DC) Microsoft (stock) NASDAQ/OTC

	Transaction Type (x)	Transaction Date (Mo., Day, Yr.)	Amount of Transaction (x)													
			Purchase	Sale	Exchange	\$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
	X	2/1/1X				X				E	X	A	M	P	L	E
		1/27/1X		X				X		E	X	A	M	P	L	E
1	S	Metro West Fds Low Duration		X												
2	S	PIMCO Total Return Fund <input type="checkbox"/>		X				X								
3	S	Rydex Ser Fuds	X						X							
4	S	SPDR SeriesTr S&P 400 Mid Cap Growth		X							X					
5	S	Alliance Bernstein Intl Value Value Fund (IRA) <input type="checkbox"/>		X				X								
6	S	Ishares Tr Cohen and Steers Realty (IRA)		X				X								
7	S	Vanguard Emerging Markets (IRA) <input type="checkbox"/>	X						X							
8	S	Wisdomtree Tr Intl Divid Ex-Financials (IRA)	X					X								
9	S	American Beacon Large Cap Value Fund (IRA) <input type="checkbox"/>		X				X								
10	S	Central Fund of Canada Ltd. CI A CEF (IRA)	X					X								
11	S	Harbor Capital Appreciation Fund (IRA)		X				X								
12	S	SPDR Series Growth (IRA) <input type="checkbox"/>		X				X								

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Identification of Assets

S, Example: DC, or J
 IBM Corp. (stock) NYSE
 (DC) Microsoft (stock) NASDAQ/OTC

Transaction Type (x)	Transaction Date (Mo., Day, Yr.)	Amount of Transaction (x)												
		Purchase	Sale	Exchange	\$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
X	2/1/1X				X			E	X	A	M	P	L	E
	1/27/1X		X				X	E	X	A	M	P	L	E
	5/2/11		X			X								
	10/3/2011		X			X								

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