



Filing ID #10040135

FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

Name: Hon. Alan S. Lowenthal
Status: Member
State/District: CA47

FILING INFORMATION

Filing Type: Amendment Report
Filing Year: 2018
Filing Date: 06/21/2021

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Allianz 403(b) ⇒ AZL Russell 1000 Growth Idx C2 [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Allianz 403(b) ⇒ AZL Russell 1000 Value Index C2 [MF]		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Allianz 403(b) ⇒ AZL S&P 500 Index Fund [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Allianz 403(b) ⇒ AZL Small Cap Stock Index [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Allianz 403(b) ⇒ Franklin Rising Dividends Sec [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Allianz 403(b) ⇒ PIMCO EqS Pathfinder [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
American General 403(b) ⇒ Fixed Annuity [FN]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
CA Resources Long Beach, Inc., 50% Interest [OT]	JT	Undetermined	Oil Well Payments	\$2,501 -	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: Name Changed: Formerly Oxy Long Beach, CA This is the mineral rights on the Congressman's primary residence in Long Beach, CA. This is a 50% share with the Congressman's former spouse.					\$5,000
California Public Retirement System [DB]		Undetermined	Tax-Deferred		<input type="checkbox"/>
JP Morgan Chase - Individual ⇒ International Business Machines Corporation (IBM) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
JP Morgan Chase - Individual ⇒ Trans Century Limited (TCL:KN [PS]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: This is a stock traded on the Kenyan Stock Exchange.					
JP Morgan Chase - Individual ⇒ Walt Disney Company (DIS) [ST]	SP	\$100,001 - \$250,000	None		<input type="checkbox"/>
Long Beach Schools Federal Credit Union [BA]		\$100,001 - \$250,000	None		<input type="checkbox"/>
Neuberger Berman - Bonds ⇒ American Express Co Note [CS]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 08/03/23; Percentage Yield: 3.7%					
Neuberger Berman - Bonds ⇒ Ares Cap Corp Note Call Make Whole [CS]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 01/15/20; Percentage Yield: 3.875%					
Neuberger Berman - Bonds ⇒ AT&T Inc Note Call Make Whole [CS]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 02/17/21; Percentage Yield: 2.8%					
Neuberger Berman - Bonds ⇒ Ball Corp Note Call Make Whole [CS]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 12/15/20; Percentage Yield: 4.375%					
Neuberger Berman - Bonds ⇒ Bank Amer Corp Bond [CS]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 06/17/19; Percentage Yield: 5.125%					
Neuberger Berman - Bonds ⇒ Citigroup Inc Note [CS]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 06/7/19; Percentage Yield: 2.05%					
Neuberger Berman - Bonds ⇒ CRS Outdoor Amers Cap LLC [CS]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: Maturation Date: 02/15/22; Percentage Yield: 5.25%					
Neuberger Berman - Bonds ⇒ DREYFUS TREASURY SEC CASH MGMT ADMIN [BA]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Bonds ⇒ FIDELITY NATL INFORMATION SVCS [CS]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: Maturation Date: 6/5/24; Percentage Yield: 3.875%					
Neuberger Berman - Bonds ⇒ Interpublic Group Cos Inc Note [CS]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 10/01/20; Percentage Yield: 3.5%					
Neuberger Berman - Bonds ⇒ Nielsen Fin LLC/Nielsen Fin [CS]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 10/01/20; Percentage Yield: 4.5%					
Neuberger Berman - Bonds ⇒ Priceline Grp Inc Note Call Make Whole [CS]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 03/15/23; Percentage Yield: 2.75%					
Neuberger Berman - Bonds ⇒ VERIZON COMMUNICATIONS INC [CS]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: Maturation Date: 3/16/22; Percentage Yield: 3.125%					
Neuberger Berman - Bonds ⇒ WELLS FARGO CO MTN BE [CS]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: Maturation Date: 1/30/20; Percentage Yield: 2.15%					
Neuberger Berman - Beneficiary IRA ⇒ Activision Blizzard, Inc (ATVI) [ST]	SP	\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Alphabet Inc. - Class C Capital Stock (GOOG) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ American Tower Corporation (AMT) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Beneficiary IRA ⇒ Apple Inc. (AAPL) [ST] DESCRIPTION: This asset was inherited in 2017.	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Ares Capital Corporation - Closed End Fund (ARCC) [ST] DESCRIPTION: This asset was inherited in 2017.	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Autodesk, Inc. (ADSK) [ST] DESCRIPTION: This asset was inherited in 2017.	SP	\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Berkshire Hathaway Inc. (BRK.A) [ST] DESCRIPTION: This asset was inherited in 2017.	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ BioMarin Pharmaceutical Inc. (BMRN) [ST] DESCRIPTION: Was under \$1K	SP	\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ BlackRock, Inc. (BLK) [ST] DESCRIPTION: This asset was inherited in 2017.	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Boston Scientific Corporation (BSX) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Charter Communications, Inc. - Class A (CHTR) [ST] DESCRIPTION: This asset was inherited in 2017.	SP	\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Cisco Systems, Inc. (CSCO) [ST] DESCRIPTION: This asset was inherited in 2017.	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Crown Castle International Corp. (CCI) [ST] DESCRIPTION: This asset was inherited in 2017.	SP	\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ CVS Health Corp Note Call Make Whole [CS] DESCRIPTION: Maturation Date: 03/09/20; Percentage Yield: 3.125%	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Dover Corporation (DOV) [ST]	SP	\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: Was under \$1k					
Neuberger Berman - Beneficiary IRA ⇒ DREYUS TREASURY SEC MGMT ADMIN [BA]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Goldman Sachs Group, Inc. (GS) [ST]	SP	\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ HCA Inc Note Call Make Whole [CS]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 02/15/20; Percentage Yield: 6.5%					
Neuberger Berman - Beneficiary IRA ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST]	SP	\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Was under \$1k					
Neuberger Berman - Beneficiary IRA ⇒ Intercontinental Exchange Inc. (ICE) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ iShares Inc Core MSCI Emerging Mkts ETF [EF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Johnson & Johnson (JNJ) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ JP Morgan Chase & Co. (JPM) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Level 3 Fing inc Note Call Make Whole [CS]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 01/15/21; Percentage Yield: 6.125%					
Neuberger Berman - Beneficiary IRA ⇒ Mastercard Incorporated (MA) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Microsoft Corporation (MSFT) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Beneficiary IRA ⇒ Novartis AG (NVS) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Qiagen N.V. Common Shares (QGEN) [ST]	SP	\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Red Hat, Inc. (RHT) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sempra Energy (SRE) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Service Corporation International (SCI) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Was under \$1k					
Neuberger Berman - Beneficiary IRA ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Was under \$1k					
Neuberger Berman - Beneficiary IRA ⇒ Zimmer Biomet Hldgs Inc Note [CS]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 07/20/20; Percentage Yield: 2.8%					
Neuberger Berman - Individual ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ Alphabet Inc. - Class C Capital Stock (GOOG) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ BlackRock, Inc. (BLK) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Individual ⇒ Blackstone Mortgage Trust, Inc. (BXMT) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ Brookfield Infrastructure Partners LP Limited Partnership Units (BIP) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ Cigna Corporation (CI) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ Crown Castle International Corp. (CCI) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ DREYFUS TREASURY SEC CASH MGMT ADMIN [BA]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ Easterly Government Properties, Inc. (DEA) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ IHS Inc. IHS Inc. Class A (IHS) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ iShares Inc Core MSCI Emerging Mkts ETF [EF]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ Johnson & Johnson (JNJ) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ JP Morgan Chase & Co. (JPM) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ NextEra Energy, Inc. (NEE) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ Novartis AG (NVS) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Individual ⇒ Sempra Energy (SRE) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ SPDR S&P 500 EFT TRUST UNIT SER 1 S&P [EF]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Individual ⇒ STARWOOD PROPERTY TRUST, INC. Starwood Property Trust Inc. (STWD) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ Zoetis Inc. Class A (ZTS) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Roth IRA ⇒ American Tower Corporation (AMT) [ST]	SP	\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Roth IRA ⇒ Dreyfus Treas. Prime Cash Management INV & SHS [BA]	SP	\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Roth IRA ⇒ SPDR S&P 500 ETF TRUST UNIT SER 1 S&P [EF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Activision Blizzard, Inc (ATVI) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Alphabet Inc. - Class C Capital Stock (GOOG) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ American Express Co Note [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 03/27/23; Percentage Yield: 3.7%					
Neuberger Berman - Traditional IRA ⇒ American Tower Corporation (AMT) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Apple Inc. (AAPL) [ST]					
Neuberger Berman - Traditional IRA ⇒ Ares Cap Corp Note Call Make Whole [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 01/15/20; Percentage Yield: 3.875%					
Neuberger Berman - Traditional IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Ball Corp Note Call Make Whole [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 12/15/20; Percentage Yield: 4.375%					
Neuberger Berman - Traditional IRA ⇒ Bank of America Corp [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Maturation Date: 6/17/2019 ; Percentage Yield: 5.125%					
Neuberger Berman - Traditional IRA ⇒ Berkshire Hathaway Inc. (BRK.A) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ BioMarin Pharmaceutical Inc. (BMRN) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ BlackRock, Inc. (BLK) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Boston Scientific Corporation (BSX) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Brookfield Infrastructure Partners LP Limited Partnership Units (BIP) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Celgene Corp Note Call Make Whole [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 02/19/21; Percentage Yield: 2.875%					
Neuberger Berman - Traditional IRA ⇒ Charter Communications, Inc. - Class A (CHTR) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Cisco Systems, Inc. (CSCO) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ CIT Group Inc Note Call Make Whole [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: Maturation Date: 08/01/23; Percentage Yield: 5%					
Neuberger Berman - Traditional IRA ⇒ CIT GROUP NOTE CALL MAKE WHOLE [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 7/29/19; Percentage Yield: 2.5%					
Neuberger Berman - Traditional IRA ⇒ Constellation Brands Inc Note [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 11/17/19; Percentage Yield: 2%					
Neuberger Berman - Traditional IRA ⇒ Crown Castle International [CS]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Maturation Date: 4/15/22; Percentage Yield: 4.875%					
Neuberger Berman - Traditional IRA ⇒ CVS Health Corp Note Call Make Whole [CS]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 07/20/20; Percentage Yield: 2.8%					
Neuberger Berman - Traditional IRA ⇒ Dover Corporation (DOV) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Dreyfus Treas. Prime Cash Management INV & SHS [BA]	SP	\$100,001 - \$250,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Facebook, Inc. - Class A (FB) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Fidelity Natl Information Svcs [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 08/15/21; Percentage Yield: 2.25%					
Neuberger Berman - Traditional IRA ⇒ Goldman Sachs Group, Inc. (GS) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ HCA, Inc. [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Maturation: 2/15/20 Yield: 6.5%					
Neuberger Berman - Traditional IRA ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Intercontinental Exchange Inc. (ICE) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
IRON MTN INC NOTE CALL MAKE WHOLE [CS]					
DESCRIPTION: Maturation Date: 8/15/23; Percentage Yield: 6%					
Neuberger Berman - Traditional IRA ⇒ iShares Inc Core MSCI Emerging Mkts ETF [EF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Johnson & Johnson (JNJ) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ JP Morgan Chase & Co. (JPM) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Lennar Corp Note Call Make Whole [BA]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 04/01/21; Percentage Yield: 4.75%					
Neuberger Berman - Traditional IRA ⇒ Level 3 Fing Inc. [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Maturation Date: 1/15/2021 ; Percentage Yield: 6.125%					
Neuberger Berman - Traditional IRA ⇒ Limited Brands, Inc. [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Maturation: 4/1/21; Yield: 6.625%					
Neuberger Berman - Traditional IRA ⇒ Mastercard Incorporated (MA) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Microsoft Corporation (MSFT) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Nielsen Fin LLC [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Maturation Date: 10/1/2020 ; Percentage Yield: 4.5%					
Neuberger Berman - Traditional IRA ⇒ Novartis AG (NVS) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Qiagen N.V. Common Shares (QGEN) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Red Hat, Inc. (RHT) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Regal Entmt Group [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: Maturation: 3/15/22 Yield: 5.75% Call of bond on 3/30/18					
Neuberger Berman - Traditional IRA ⇒ Sempra Energy (SRE) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Service Corporation International (SCI) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ UnitedHealth Group Inc Note [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 07/15/20; Percentage Yield: 2.7%					
Neuberger Berman - Traditional IRA ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Verisk Analytics Inc. - Corporate Bond [CS]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Maturation Date: 1/15/2019; Percentage Yield 4.875%					
Neuberger Berman - Traditional IRA ⇒ Verizon Communications Inc. [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 11/01/21; Percentage Yield: 3%					
Neuberger Berman - Traditional IRA ⇒ Wells Fargo CO [CS]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Maturation: 2/13/23; Yield: 3.45%					
Neuberger Berman - Traditional IRA ⇒ Zimmer Biomet Hldgs Inc. Note [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 03/19/21; Percentage Yield: 3.55363%					
Savings Plus California State Employee 401(K) ⇒ Bond Fund [MF]		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Savings Plus California State Employee 401(K) ⇒ Large Cap Fund [MF]		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Savings Plus California State Employee 457 ⇒		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Bond Fund [MF]					
Savings Plus California State Employee 457 ⇒ Large Cap Fund [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>

* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Bonds ⇒ AT&T Inc [CS]	SP	08/19/2018	P	\$15,001 - \$50,000	
DESCRIPTION: Maturity date is 2/17/2021, interest rate is 2.8%. When a PTR was done for this bond purchase, it was inaccurately place in the Neuberger Berman - Individual asset class. this corrects that error, correctly placing in in the Neuberger Berman - Municipal Bond Account.					
Neuberger Berman - Bonds ⇒ Citigroup Inc [CS]	SP	04/24/2018	P	\$1,001 - \$15,000	
DESCRIPTION: Maturity date is 6/7/19, interest rate is 2.050%					
Neuberger Berman - Bonds ⇒ Interpublic Group [CS]	SP	09/18/2018	P	\$1,001 - \$15,000	
DESCRIPTION: Interest rate is 3.5%, maturity date is 10/01/2020.					
Neuberger Berman - Beneficiary IRA ⇒ Activision Blizzard, Inc (ATVI) [ST]	SP	10/24/2018	P	\$207.94	
Neuberger Berman - Beneficiary IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	07/19/2018	S (partial)	\$464.74	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	07/20/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	12/3/2018	P	\$826.80	
Neuberger Berman - Beneficiary IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	12/4/2018	P	\$658.03	
Neuberger Berman - Beneficiary IRA ⇒ Analog Devices, Inc. (ADI) [ST]	SP	06/5/2018	P	\$601.50	
Neuberger Berman - Beneficiary IRA ⇒	SP	08/10/2018	S	\$94.67	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Analog Devices, Inc. (ADI) [ST]			(partial)		
Neuberger Berman - Beneficiary IRA ⇒ Analog Devices, Inc. (ADI) [ST]	SP	08/13/2018	S (partial)	\$285.74	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Analog Devices, Inc. (ADI) [ST]	SP	08/14/2018	S	\$190.35	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Apergy Corporation (APY) [ST]	SP	05/14/2018	S	\$155.99	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Apergy Corporation (APY) [ST]	SP	05/8/2018	P	\$154.00	
Neuberger Berman - Beneficiary IRA ⇒ Apple Inc. (AAPL) [ST]	SP	01/2/2018	S (partial)	\$512.23	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Aptiv PLC Ordinary Shares (APTIV) [ST]	SP	01/5/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Beneficiary IRA ⇒ Aptiv PLC Ordinary Shares (APTIV) [ST]	SP	10/29/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	01/8/2018	S (partial)	\$111.52	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	08/27/2018	S (partial)	\$309.77	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	08/27/2018	S (partial)	\$309.77	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ BioMarin Pharmaceutical Inc. (BMRN) [ST]	SP	05/29/2018	P	\$903.36	
Neuberger Berman - Beneficiary IRA ⇒ BlackRock, Inc. (BLK) [ST]	SP	01/2/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Boston Scientific Corporation (BSX) [ST]	SP	01/22/2018	P	\$962.57	
Neuberger Berman - Beneficiary IRA ⇒ Celgene Corporation (CELG) [ST]	SP	01/8/2018	S	\$838.78	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Beneficiary IRA ⇒ Charter Communications, Inc. - Class A (CHTR) [ST]	SP	04/25/2018	S (partial)	\$299.14	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Cheniere Energy, Inc. (LNG) [ST]	SP	01/5/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Cisco Systems, Inc. (CSCO) [ST]	SP	03/29/2018	S (partial)	\$41.89	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Cisco Systems, Inc. (CSCO) [ST]	SP	03/29/2018	S (partial)	\$360.40	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Crown Castle International Corp. (CCI) [ST]	SP	04/30/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ CVS Health Corp [CS] DESCRIPTION: Maturity date is 3/9/2020, interest rate is 3.12%	SP	03/6/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Beneficiary IRA ⇒ Dover Corporation (DOV) [ST]	SP	05/8/2018	P	\$745.79	
Neuberger Berman - Beneficiary IRA ⇒ Dover Corporation (DOV) [ST]	SP	08/29/2018	P	\$346.92	
Neuberger Berman - Beneficiary IRA ⇒ Dover Corporation (DOV) [ST]	SP	12/26/2018	S (partial)	\$67.61	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Dover Corporation (DOV) [ST]	SP	12/26/2018	S (partial)	\$202.85	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ DowDuPont Inc. (DWDP) [ST]	SP	10/23/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Dr Pepper Snapple Group, Inc Dr Pepper Snapple Group, Inc (DPS) [ST] DESCRIPTION: On 7/11/18, a merger between Keurig Green Mountain and Dr Pepper Snapple Group was completed. This was a full sell of the new, merged stock KDP. It was purchased on 1/29/18 as Dr. Pepper Snapple Group. th	SP	01/29/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Beneficiary IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	03/15/2018	P	\$985.93	
Neuberger Berman - Beneficiary IRA ⇒	SP	04/26/2018	P	\$231.65	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Equifax, Inc. (EFX) [ST]					
Neuberger Berman - Beneficiary IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	07/30/2018	P	\$251.04	
Neuberger Berman - Beneficiary IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	07/31/2018	P	\$126.40	
Neuberger Berman - Beneficiary IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	10/11/2018	S (partial)	\$120.44	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	10/11/2018	S (partial)	\$120.43	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	10/12/2018	S (partial)	\$241.50	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	10/12/2018	S (partial)	\$120.74	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	11/20/2018	S	\$805.35	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Expedia, Inc. (EXPE) [ST]	SP	01/8/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Facebook, Inc. - Class A (FB) [ST]	SP	05/29/2018	P	\$371.70	
Neuberger Berman - Beneficiary IRA ⇒ Facebook, Inc. - Class A (FB) [ST]	SP	07/26/2018	P	\$524.78	
Neuberger Berman - Beneficiary IRA ⇒ Facebook, Inc. - Class A (FB) [ST]	SP	12/20/2018	S	\$659.69	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Fitbit, Inc. Class A (FIT) [ST]	SP	01/5/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Gates Industrial Corporation plc Ordinary Shares (GTES) [ST]	SP	01/30/2018	P	\$781.64	
Neuberger Berman - Beneficiary IRA ⇒ Gates Industrial Corporation plc Ordinary Shares (GTES)	SP	05/15/2018	S	\$615.75	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
[ST]					
Neuberger Berman - Beneficiary IRA ⇒ General Dynamics Corporation (GD) [ST]	SP	05/4/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ HCA Inc [CS]	SP	08/29/2018	P	\$1,001 - \$15,000	
DESCRIPTION: Interest rate is 6.5%, Maturity date is 2/15/2020.					
Neuberger Berman - Beneficiary IRA ⇒ Home Depot, Inc. (HD) [ST]	SP	12/31/2018	P	\$686.21	
DESCRIPTION: Note: This transaction/purchase took place on 12/31/18, but the "settlement date" was not until 1/3/19. That is why it was not reported on Schedule A.					
Neuberger Berman - Beneficiary IRA ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST]	SP	06/20/2018	P	\$616.20	
Neuberger Berman - Beneficiary IRA ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [ST]	SP	12/3/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Beneficiary IRA ⇒ Kansas City Southern (KSU) [ST]	SP	01/24/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Kansas City Southern (KSU) [ST]	SP	07/23/2018	S (partial)	\$333.37	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Kansas City Southern (KSU) [ST]	SP	07/24/2018	S	\$333.01	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Kansas City Southern (KSU) [ST]	SP	07/25/2018	S (partial)	\$333.37	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Kansas City Southern (KSU) [ST]	SP	07/24/2018	S	\$333.01	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Keurig Dr Pepper Inc. (KDP) [ST]	SP	07/11/2018	S	\$240.15	<input checked="" type="checkbox"/>
DESCRIPTION: On 7/11/18, a merger between Keurig Green Mountain and Dr Pepper Snapple Group was completed. This was a full sell of the new, merged stock KDP. It was purchased on 1/29/18 as Dr. Pepper Snapple Group. th					
Neuberger Berman - Beneficiary IRA ⇒ Level 3 Fing Inc [CS]	SP	01/19/2018	P	\$1,001 - \$15,000	
DESCRIPTION: Maturity date is 1/15/2021, interest rate is 6.125%					

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Beneficiary IRA ⇒ Mastercard Incorporated (MA) [ST]	SP	01/2/2018	S (partial)	\$152.12	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Merck & Company, Inc. Common Stock (MRK) [ST]	SP	01/8/2018	S	\$567.58	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Microsoft Corporation (MSFT) [ST]	SP	03/29/2018	S (partial)	\$360.40	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Novartis AG (NVS) [ST]	SP	11/29/2018	P	\$816.61	
Neuberger Berman - Beneficiary IRA ⇒ Novartis AG (NVS) [ST]	SP	11/30/2018	P	\$363.90	
Neuberger Berman - Beneficiary IRA ⇒ Oracle Corporation (ORCL) [ST]	SP	01/30/2018	S (partial)	\$766.25	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Oracle Corporation (ORCL) [ST]	SP	03/1/2018	S	\$746.43	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Orexigen Therapeutics, Inc. (OREX) [ST]	SP	01/5/2018	S	\$11.99	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ OUTFRONT Media Inc. (OUT) [ST]	SP	03/20/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Phillips 66 (PSX) [ST]	SP	01/5/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Red Hat, Inc. (RHT) [ST]	SP	07/20/2018	P	\$592.08	
Neuberger Berman - Beneficiary IRA ⇒ Red Hat, Inc. (RHT) [ST]	SP	08/29/2018	P	\$444.60	
Neuberger Berman - Beneficiary IRA ⇒ Royal Dutch Shell PLC Royal Dutch Shell PLC American Depositary Shares (RDS.B) [ST]	SP	01/5/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sempra Energy (SRE) [ST]	SP	04/27/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Beneficiary IRA ⇒	SP	04/30/2018	P	\$112.15	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Sempra Energy (SRE) [ST]					
DESCRIPTION: I also bought some on 4/27/18.					
Neuberger Berman - Beneficiary IRA ⇒ Sempra Energy (SRE) [ST]	SP	10/25/2018	P	\$230.01	
Neuberger Berman - Beneficiary IRA ⇒ Sempra Energy (SRE) [ST]	SP	10/24/2018	P	\$348.79	
Neuberger Berman - Beneficiary IRA ⇒ Siemens AG American Depositary Shares (SIEGY) [ST]	SP	03/19/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Starbucks Corporation (SBUX) [ST]	SP	01/8/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	08/20/2018	P	\$405.84	
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	12/21/2018	P	\$149.68	
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	12/24/2018	P	\$72.80	
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	12/26/2018	P	\$21.32	
Neuberger Berman - Beneficiary IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	05/30/2018	P	\$399.36	
Neuberger Berman - Beneficiary IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	11/2/2018	P	\$201.76	
Neuberger Berman - Beneficiary IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	12/6/2018	S (partial)	\$195.09	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ WEX Inc. common stock (WEX) [ST]	SP	06/4/2018	S	\$554.93	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ WEX Inc. common stock (WEX) [ST]	SP	07/23/2018	S	\$589.10	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ WEX Inc. common stock (WEX) [ST]	SP	07/23/2018	S	\$589.10	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Beneficiary IRA ⇒ Zayo Group Holdings, Inc. (ZAYO) [ST]	SP	12/20/2018	S	\$715.45	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Zimmer Biomet Hldgs inc [CS] DESCRIPTION: Maturity date is 3/19/2021, interest rate is 2.92%	SP	03/8/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Activision Blizzard, Inc (ATVI) [ST]	SP	08/20/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Activision Blizzard, Inc (ATVI) [ST]	SP	10/24/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Activision Blizzard, Inc (ATVI) [ST]	SP	11/27/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ American Express [CS] DESCRIPTION: Maturity date is 8/3/2023, interest rate is 3.7%	SP	07/31/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Ares Cap Corp [CS] DESCRIPTION: Maturity date is 1/15/2020. Interest rate is 3.875%	SP	08/13/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Ball Corp [CS] DESCRIPTION: Maturity date is 12/15/2020. Interest rate is 4.375%	SP	08/8/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Bank American Corp Bond [CS] DESCRIPTION: Maturity date is 6/17/19, interest rate is 5.125%.	SP	08/8/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ BlackRock, Inc. (BLK) [ST]	SP	11/14/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Brookfield Infrastructure Partners LP Limited Partnership Units (BIP) [ST]	SP	08/1/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Brookfield Infrastructure Partners LP Limited Partnership Units (BIP) [ST]	SP	11/14/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Individual ⇒ CBS Outdoor Amers [CS] DESCRIPTION: Maturity date is 2/15/2022, interest rate is 5.25%.	SP	08/8/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Cigna Corporation (CI) [ST]	SP	12/14/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ DowDuPont Inc. (DWDP) [ST]	SP	09/27/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST]	SP	11/12/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST]	SP	11/12/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST]	SP	11/14/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [ST]	SP	12/3/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Nielsen Fin LLC [CS] DESCRIPTION: Maturity date is 10/01/2020. Interest rate is 4.5%	SP	08/15/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Novartis AG (NVS) [ST]	SP	11/29/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Novartis AG (NVS) [ST]	SP	11/30/2018	P	\$909.75	
Neuberger Berman - Individual ⇒ Phillips 66 (PSX) [ST]	SP	07/30/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Priceline Group [CS] DESCRIPTION: Maturity date is 3/15/2023, interest rate is 2.75%	SP	01/24/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Royal Dutch Shell PLC Royal Dutch Shell PLC American Depositary Shares (RDS.B) [ST]	SP	07/30/2018	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒	SP	10/24/2018	P	\$581.31	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Sempra Energy (SRE) [ST]					
Neuberger Berman - Individual ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]	SP	11/29/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Activision Blizzard, Inc (ATVI) [ST]	SP	10/24/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	07/19/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	07/20/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	12/3/2018	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	12/4/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	12/4/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ American Express [CS]	SP	07/31/2018	P	\$15,001 - \$50,000	
DESCRIPTION: Maturity date is 8/3/2023, interest rate is 3.7%					
Neuberger Berman - Traditional IRA ⇒ Analog Devices, Inc. (ADI) [ST]	SP	08/10/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Analog Devices, Inc. (ADI) [ST]	SP	08/13/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Analog Devices, Inc. (ADI) [ST]	SP	08/14/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Apergy Corporation (APY) [ST]	SP	05/14/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Apergy Corporation (APY) [ST]	SP	05/8/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒	SP	01/2/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Apple Inc. (AAPL) [ST]			(partial)		
Neuberger Berman - Traditional IRA ⇒ Aptiv PLC Ordinary Shares (APTIV) [ST]	SP	10/29/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Ares Cap Corp Note [CS]	SP	01/11/2018	P	\$15,001 - \$50,000	
DESCRIPTION: Maturity date is 1/15/2020, % interest rate is 2.983%.					
Neuberger Berman - Traditional IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	01/8/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	01/8/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	08/27/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	08/27/2018	S (partial)	\$774.44	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	08/27/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: This PTR mistakenly said that this was 'not a partial transaction.' It was a partial transaction and it was corrected here. th					
Neuberger Berman - Traditional IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	11/12/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	11/12/2018	S (partial)	\$652.28	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Ball Corp [CS]	SP	08/8/2018	P	\$15,001 - \$50,000	
DESCRIPTION: Maturity date is 12/15/2020, interest rate is 4.375%					
Neuberger Berman - Traditional IRA ⇒ BioMarin Pharmaceutical Inc. (BMRN) [ST]	SP	01/17/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ BioMarin Pharmaceutical Inc. (BMRN) [ST]	SP	01/18/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ BioMarin Pharmaceutical Inc. (BMRN) [ST]	SP	04/26/2018	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ BioMarin Pharmaceutical Inc. (BMRN) [ST]	SP	04/27/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ BlackRock, Inc. (BLK) [ST]	SP	01/2/2018	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ BlackRock, Inc. (BLK) [ST]	SP	11/7/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Brookfield Infrastructure Partners LP Limited Partnership Units (BIP) [ST]	SP	01/2/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Celgene Corp [CS] DESCRIPTION: Maturity date 2/19/18, Interest rate is 2.875%	SP	02/9/2018	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Charter Communications, Inc. - Class A (CHTR) [ST]	SP	01/8/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Charter Communications, Inc. - Class A (CHTR) [ST]	SP	01/8/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Charter Communications, Inc. - Class A (CHTR) [ST]	SP	01/8/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Charter Communications, Inc. - Class A (CHTR) [ST]	SP	04/25/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Cisco Systems, Inc. (CSCO) [ST]	SP	03/29/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Citigroup Inc [CS] DESCRIPTION: Maturity date is 7/29/2019, interest 2.5% This purchase is associated with the asset on Schedule A with a slightly different name. On Schedule A, it is listed as "CIT GROUP NOTE CALL MAKE WHOLE."	SP	01/25/2018	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Constellation Brands [CS] DESCRIPTION: Maturity date is 1/17/2019, interest rate is 2.0%	SP	03/16/2018	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Constellation Brands Inc [CS] DESCRIPTION: This was a "redeemed" transaction. Maturity date is 5/1/2022, interest rate is 6.0%	SP	02/28/2018	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Constellation Brands Inc Note [CS]	SP	01/12/2018	P	\$15,001 - \$50,000	
DESCRIPTION: Maturity date is 5/01/2022, interest rate is 3.038%.					
Neuberger Berman - Traditional IRA ⇒ CVS Health Corp Note [CS]	SP	01/12/2018	P	\$15,001 - \$50,000	
DESCRIPTION: Maturity date is 7/20/2020, interest rate is 2.8%.					
Neuberger Berman - Traditional IRA ⇒ Delphi Technologies PLC Ordinary Shares (DLPH) [ST]	SP	01/5/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Dover Corporation (DOV) [ST]	SP	05/8/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Dover Corporation (DOV) [ST]	SP	08/29/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Dover Corporation (DOV) [ST]	SP	12/26/2018	S (partial)	\$676.20	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Dover Corporation (DOV) [ST]	SP	12/26/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ DowDuPont Inc. (DWDP) [ST]	SP	10/23/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Dr Pepper Snapple Group, Inc Dr Pepper Snapple Group, Inc (DPS) [ST]	SP	01/29/2018	P	\$15,001 - \$50,000	
DESCRIPTION: On 7/11/18, a merger between Keurig Green Mountain and Dr Pepper Snapple Group was completed. This was a full sell of the new, merged stock KDP. It was purchased on 1/29/18 as Dr. Pepper Snapple Group. th					
Neuberger Berman - Traditional IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	02/27/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	02/28/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	03/9/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	04/26/2018	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	07/30/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	07/31/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	10/11/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	10/11/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	10/12/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	10/12/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	11/20/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Fidelity National Inform [CS]	SP	01/23/2018	P	\$15,001 - \$50,000	
DESCRIPTION: Maturity date is 8/15/2021, interest rate is 2.25%					
Neuberger Berman - Traditional IRA ⇒ Gates Industrial Corporation plc Ordinary Shares (GTES) [ST]	SP	01/25/2018	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Gates Industrial Corporation plc Ordinary Shares (GTES) [ST]	SP	05/15/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ General Dynamics Corporation (GD) [ST]	SP	05/4/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ HCA Incsr Secd [CS]	SP	01/17/2018	P	\$1,001 - \$15,000	
DESCRIPTION: Maturity date is 2/15/2020, interest rate is 6.5%.					
Neuberger Berman - Traditional IRA ⇒ Home Depot, Inc. (HD) [ST]	SP	12/31/2018	P	\$1,001 - \$15,000	
DESCRIPTION: Note: This transaction/purchase took place on 12/31/18, but the "settlement date" was not until 1/3/19. That is why it was not reported on Schedule A.					

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST]	SP	11/12/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST]	SP	11/13/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [ST]	SP	12/3/2018	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Kansas City Southern (KSU) [ST]	SP	01/24/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Kansas City Southern (KSU) [ST]	SP	07/23/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Kansas City Southern (KSU) [ST]	SP	07/24/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Kansas City Southern (KSU) [ST]	SP	07/23/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Kansas City Southern (KSU) [ST]	SP	07/24/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Keurig Dr Pepper Inc. (KDP) [ST]	SP	07/11/2018	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: On 7/11/18, a merger between Keurig Green Mountain and Dr Pepper Snapple Group was completed. This was a full sell of the new, merged stock KDP. It was purchased on 1/29/18 as Dr. Pepper Snapple Group. th					
Neuberger Berman - Traditional IRA ⇒ Lennar [CS]	SP	06/26/2018	P	\$15,001 - \$50,000	
DESCRIPTION: Interest rate is 4.75%, maturity date is 4/1/21					
Neuberger Berman - Traditional IRA ⇒ Level 3 Fing [CS]	SP	03/14/2018	P	\$1,001 - \$15,000	
DESCRIPTION: Maturity date is 1/15/2021, interest rate is 6.125%					
Neuberger Berman - Traditional IRA ⇒ Martin Marietta Materials, Inc. (MLM) [ST]	SP	09/24/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Mastercard Incorporated (MA) [ST]	SP	01/2/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒	SP	03/29/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Microsoft Corporation (MSFT) [ST]			(partial)		
Neuberger Berman - Traditional IRA ⇒ Novartis AG (NVS) [ST]	SP	11/29/2018	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Novartis AG (NVS) [ST]	SP	11/30/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Oracle Corporation (ORCL) [ST]	SP	01/30/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Oracle Corporation (ORCL) [ST]	SP	01/30/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Oracle Corporation (ORCL) [ST]	SP	03/1/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Red Hat, Inc. (RHT) [ST]	SP	07/20/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Red Hat, Inc. (RHT) [ST]	SP	08/29/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Sempra Energy (SRE) [ST]	SP	04/27/2018	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Sempra Energy (SRE) [ST]	SP	04/30/2018	P	\$1,001 - \$15,000	
DESCRIPTION: I bought some of this stock on 4/27/18.					
Neuberger Berman - Traditional IRA ⇒ Sempra Energy (SRE) [ST]	SP	10/24/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Sempra Energy (SRE) [ST]	SP	10/25/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	08/20/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	12/21/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	12/24/2018	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	12/26/2018	P	\$532.97	
Neuberger Berman - Traditional IRA ⇒ UnitedHealth Group Inc [CS] DESCRIPTION: Maturity date is 7/15/2020, interest rate is 2.7%	SP	03/7/2018	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]	SP	01/2/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	05/14/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Universal Display Corporation (OLED) [ST] DESCRIPTION: I also purchased some of this stock on 5/14/18.	SP	05/15/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	11/2/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	12/6/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Verizon Communications [CS] DESCRIPTION: Maturity date is 11/1/2021, interest rate is 3.00%	SP	05/3/2018	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ WEX Inc. common stock (WEX) [ST]	SP	06/4/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ WEX Inc. common stock (WEX) [ST]	SP	07/23/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ WEX Inc. common stock (WEX) [ST]	SP	07/23/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Zayo Group Holdings, Inc. (ZAYO) [ST]	SP	12/20/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Zimmer Biomet Hldgs Inc [CS] DESCRIPTION: Maturity date is 3/19/2021, interest rate is 2.92%	SP	03/8/2018	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
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* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE C: EARNED INCOME

Source	Type	Amount
California Public Employees Retirement System	University Pension	\$54,420.00
American General	Required Minimum Distribution 403(b)	\$941.00
Savings Plus 457 (AON Hewitt BPS)	Required Minimum Distribution from 457 Account	\$3,417.00
Savings Plus 401(k) (AON Hewitt BPS)	Required Minimum Distribution from 401(k) Account	\$6,919.00
Allianz 403(b)	Required Minimum Distribution Allianz 403(b)	\$19,125.00
Southern California Permanente Medical Group	Spouse Salary	N/A
Mid-Atlantic Permanente Medical Group	Spouse Salary	N/A

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	Chase Mortgage	June 2005	Mortgage on personal residence	\$250,001 - \$500,000

SCHEDULE E: POSITIONS

None disclosed.

SCHEDULE F: AGREEMENTS

Date	Parties To	Terms of Agreement
December 2012	Filer and State of California Savings Plus Program - 457(b) Plan	Defined contribution plan that provides service retirement benefits.
December 2012	Filer and State of California Savings Plus Program - 401 (k) Plan	Defined contribution plan that provides service retirement benefits.
December 1998	California Public Retirement System	Defined benefit plan that provides service retirement benefits.

SCHEDULE G: GIFTS

None disclosed.

SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

Trip Details					Inclusions		
Source	Start Date	End Date	Itinerary	Days at Own Exp.	Lodging?	Food?	Family?
Aspen Institute	08/15/2018	08/19/2018	Los Angeles, CA - Vancouver, BC Canada - Los Angeles, CA	5	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

SCHEDULE A AND B ASSET CLASS DETAILS

<ul style="list-style-type: none">o Allianz 403(b)o American General 403(b)o JP Morgan Chase - Individual (Owner: SP) LOCATION: USo Neuberger Berman - Bonds (Owner: SP) LOCATION: USo Neuberger Berman - Beneficiary IRA (Owner: SP)o Neuberger Berman - Individual (Owner: SP) LOCATION: USo Neuberger Berman - Roth IRA (Owner: SP)o Neuberger Berman - Traditional IRA (Owner: SP)o Savings Plus California State Employee 401(K)o Savings Plus California State Employee 457
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EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

IPO: Did you purchase any shares that were allocated as a part of an Initial Public Offering?

☐ Yes ☒ No

Trusts: Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?

☐ Yes ☒ No

Exemption: Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?

☐ Yes ☒ No

CERTIFICATION AND SIGNATURE

☒ I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

Digitally Signed: Hon. Alan S. Lowenthal , 06/21/2021