



Filing ID #10020342

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

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

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2017  
**Filing Date:** 05/10/2018

## 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]		\$50,001 - \$100,000	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]		\$50,001 - \$100,000	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	\$1,001 -	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
					\$2,500
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.					
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. This was placed there by the spouse's investor and is the only stock investment or asset in that account					
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"/>
Municipal Bond Account – Desc: ‘Cash Equiv’, JPM Tax Free Money Market Fund [BA]	SP	None	None		<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Activision Blizzard, Inc (ATVI) [ST]	SP	\$1 - \$1,000	None		<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	None		<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	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ American Tower Corporation (AMT) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Apple Inc. (AAPL) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Ares Capital Corporation - Closed End Fund (ARCC) [ST]	SP	\$1,001 - \$15,000	None		<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 ⇒ Autodesk, Inc. (ADSK) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Berkshire Hathaway Inc. (BRK.A) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ BlackRock, Inc. (BLK) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Celgene Corporation (CELG) [ST]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Charter Communications, Inc. - Class A (CHTR) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Cheniere Energy, Inc. (LNG) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Cisco Systems, Inc. (CSCO) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Crown Castle International Corp. (CCI) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ DowDuPont Inc. (DWDP) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ DREYUS TREASURY SEC MGMT ADMIN [BA]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Expedia Group, Inc. (EXPE) [ST]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Fitbit, Inc. Class A (FIT) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ General Dynamics Corporation (GD) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Goldman Sachs Group, Inc. (GS) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Intercontinental Exchange Inc. (ICE) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Johnson & Johnson (JNJ) [ST]	SP	\$1,001 - \$15,000	None		<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	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Kansas City Southern (KSU) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Mastercard Incorporated (MA) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Merck & Company, Inc. Common Stock (MRK) [ST]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Microsoft Corporation (MSFT) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Oracle Corporation (ORCL) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Orexigen Therapeutics, Inc. (OREX) [ST]	SP	\$1 - \$1,000	None		<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 ⇒ OUTFRONT Media Inc. (OUT) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Phillips 66 (PSX) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Qiagen N.V. Common Shares (QGEN) [ST]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Royal Dutch Shell PLC Royal Dutch Shell PLC American Depositary Shares (RDS.B) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Service Corporation International (SCI) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Siemens AG American Depositary Shares (SIEGY) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Starbucks Corporation (SBUX) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ WEX Inc. common stock (WEX) [ST]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Zayo Group Holdings, Inc. (ZAYO) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Individual ⇒ Bay Area Toll Auth Municipal Bond [GS]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 4/1/31; Percentage Yield: 5.0 Redeemed in April 2017					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Individual ⇒ CIT Group Inc. [CS]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: Maturation DateL 3/15/2018 ; Percentage Yield 5.25% (This old CIT bond was redeemed on 5/4/17, there is also a new CIT bond.)					
Neuberger Berman - Individual ⇒ DREYFUS TREASURY SEC CASH MGMT ADMIN [BA]	SP	\$1 - \$1,000	None		<input 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 - Municipal Bonds ⇒ Actavis Funding [CS]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: Maturation: 3/12/18; Yield: 2.35%					
Neuberger Berman - Municipal Bonds ⇒ DREYFUS TREASURY SEC CASH MGMT ADMIN [BA]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Municipal Bonds ⇒ FIDELITY NATL INFORMATION SVCS [CS]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 6/5/24; Percentage Yield: 3.875%					
Neuberger Berman - Municipal Bonds ⇒ Newell Brands, Inc. [CS]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: Maturation: 4/1/21; Yield: 3.15%					
Neuberger Berman - Municipal Bonds ⇒ VERIZON COMMUNICATIONS INC [CS]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 3/16/22; Percentage Yield: 3.125%					
Neuberger Berman - Municipal Bonds ⇒ WELLS FARGO CO MTN BE [CS]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 1/30/20; Percentage Yield: 2.15%					
Neuberger Berman - Roth IRA ⇒ American Tower Corporation (AMT) [ST]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
Neuberger Berman - Roth IRA ⇒ Dreyfus Treas. Prime Cash Management INV & SHS [BA]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
Neuberger Berman - Roth IRA ⇒ SPDR S&P 500 ETF TRUST UNIT SER 1 S&P [EF]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Activision Blizzard, Inc (ATVI) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Traditional IRA ⇒ Adobe Systems Incorporated (ADBE) [ST]	SP	None	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Alphabet Inc. - Class C Capital Stock (GOOG) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ American Tower Corporation (AMT) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: The value of American Tower on the 2016 FD appears to have been inaccurately, though inadvertently, reported. On the 2016 FD American Tower was listed as a value between \$0 and \$1,000. The correct value should have been placed in the \$15,000 - \$50,000 category. That correct value is reflected here.					
Neuberger Berman - Traditional IRA ⇒ Analog Devices, Inc. (ADI) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Apple Inc. (AAPL) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Aptiv PLC Ordinary Shares (APTIV) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: On May 3, 2017, Delphi Automotive split into two entities, Delphi Technologies and Aptiv PLC. This is the portion of the previous Delphi Automotive stock that was rolled into Aptiv.					
Neuberger Berman - Traditional IRA ⇒ AT&T INC NOTE CALL MAKE WHOLE [CS]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 2/14/23; Percentage Yield: 2.85%					
Neuberger Berman - Traditional IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Bank of America Corp [CS]	SP	\$15,001 - \$50,000	None		<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	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ BlackRock, Inc. (BLK) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Boston Scientific Corporation (BSX) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Traditional IRA ⇒ Brookfield Infrastructure Partners LP Limited Partnership Units (BIP) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Celgene Corporation (CELG) [ST]	SP	None	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Charter Communications, Inc. - Class A (CHTR) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Cisco Systems, Inc. (CSCO) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ CIT Group Inc. - Corporate Bond [CS] DESCRIPTION: Maturation Date: 3/15/2018 ; Percentage Yield: 5.25% (This CIT bond was redeemed on 5/4/17, there is also a new CIT bond purchase in 2017.)	SP	None	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ CIT GROUP NOTE CALL MAKE WHOLE [CS] DESCRIPTION: Maturation Date: 8/1/23; Percentage Yield: 5% (An old CIT bond was redeemed on 5/4/17, this is a new CIT bond.)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Comcast Corporation - Class A (CMCSA) [ST]	SP	None	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Costco Wholesale Corporation (COST) [ST]	SP	None	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Crown Castle International [CS] DESCRIPTION: Maturation Date: 4/15/22; Percentage Yield: 4.875%	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Delphi Technologies PLC Ordinary Shares (DLPH) [ST] DESCRIPTION: On May 3, 2017, Delphi Automotive split into two entities, Delphi Technologies and Aptiv PLC. This is the portion of the previous Delphi Automotive stock that was rolled into Delphi Technologies.	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ DENTSPLY SIRONA Inc. (XRAY) [ST]	SP	None	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ DowDuPont Inc. (DWDP) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒	SP	\$100,001 -	None		<input type="checkbox"/>



Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Dreyfus Treas. Prime Cash Management INV & SHS [BA]		\$250,000			
Neuberger Berman - Traditional IRA ⇒ Facebook, Inc. - Class A (FB) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ General Dynamics Corporation (GD) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ General Electric Company (GE) [ST]	SP	None	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Goldman Sachs Group, Inc. (GS) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ HCA, Inc. [CS]	SP	\$15,001 - \$50,000	None		<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	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Intercontinental Exchange Inc. (ICE) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ IRON MTN INC NOTE CALL MAKE WHOLE [CS]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 8/15/23; Percentage Yield: 6%					
Neuberger Berman - Traditional IRA ⇒ Johnson & Johnson (JNJ) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ JP Morgan Chase & Co. (JPM) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Kansas City Southern (KSU) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Leidos Holdings, Inc. (LDOS) [ST]	SP	None	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Level 3 Fing Inc. [CS]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: Maturation Date: 1/15/2021 ; Percentage Yield: 6.125%					
Neuberger Berman - Traditional IRA ⇒	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Limited Brands, Inc. [CS]					
DESCRIPTION: Maturation: 4/1/21; Yield: 6.625%					
Neuberger Berman - Traditional IRA ⇒ Martin Marietta Materials, Inc. (MLM) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Mastercard Incorporated (MA) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Merck & Company, Inc. Common Stock (MRK) [ST]	SP	None	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Microsoft Corporation (MSFT) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Newell Brands, Inc. [CS]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: Maturation Date:4/1/21 Yield: 3.15					
Neuberger Berman - Traditional IRA ⇒ Nielsen Fin LLC [CS]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: Maturation Date: 10/1/2020 ; Percentage Yield: 4.5%					
Neuberger Berman - Traditional IRA ⇒ Oracle Corporation (ORCL) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Procter & Gamble Company (PG) [ST]	SP	None	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Qiagen N.V. Common Shares (QGEN) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Regal Entmt Group [CS]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: Maturation: 3/15/22 Yield: 5.75%					
Neuberger Berman - Traditional IRA ⇒ Sealed Air Corporation (SEE) [ST]	SP	None	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Service Corporation International (SCI) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ SLM Corp - Corporate Bond [CS]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: Maturation Date: 9/25/2017; Percentage Yield: 4.625%					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Traditional IRA ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Verisk Analytics Inc. - Corporate Bond [CS]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: Maturation Date: 1/15/2019; Percentage Yield 4.875%					
Neuberger Berman - Traditional IRA ⇒ Verisk Analytics, Inc. - Class A (VRSK) [ST]	SP	None	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Wells Fargo CO [CS]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: Maturation: 2/14/23 Yield: 2.85					
Neuberger Berman - Traditional IRA ⇒ WEX Inc. common stock (WEX) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Zayo Group Holdings, Inc. (ZAYO) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Zoetis Inc. Class A (ZTS) [ST]	SP	None	None		<input checked="" type="checkbox"/>
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 ⇒ Bond Fund [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
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 - Individual ⇒ Fidelity National [CS]  DESCRIPTION: Matures on 6/5/24 3.875% interest	SP	08/29/2017	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Verizon Communications [CS]  DESCRIPTION: 3.12% interest, maturity date is 3/16/22	SP	05/4/2017	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Vornado Realty [CS]  DESCRIPTION: Maturity date 6/30/19, 2.5%	SP	04/21/2017	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Vornado Realty [CS]  DESCRIPTION: This was a "call of a bond". Interest 2.5% Maturity date 6/30/19	SP	12/27/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Wells Fargo Co MTN [CS]  DESCRIPTION: Maturity date 1/30/2020 2.15% interest	SP	04/18/2017	P	\$1,001 - \$15,000	
Neuberger Berman - Roth IRA ⇒ SPDR S&P 500 (SPY) [ST]	SP	03/8/2017	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Activision Blizzard, Inc (ATVI) [ST]	SP	07/24/2017	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Activision Blizzard, Inc (ATVI) [ST]	SP	08/7/2017	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Adobe Systems Incorporated (ADBE) [ST]	SP	05/2/2017	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Adobe Systems Incorporated (ADBE) [ST]	SP	06/28/2017	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	07/20/2017	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Alphabet Inc. - Class C Capital Stock (GOOG) [ST]	SP	02/17/2017	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Alphabet Inc. - Class C Capital Stock (GOOG) [ST]	SP	05/2/2017	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ American Tower Corporation (AMT) [ST]	SP	01/25/2017	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ American Tower Corporation (AMT) [ST]	SP	04/25/2017	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Analog Devices, Inc. (ADI) [ST]	SP	12/4/2017	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Apple Inc. (AAPL) [ST]	SP	06/28/2017	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Aptiv PLC Ordinary Shares (APTIV) [ST]	SP	12/8/2017	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ AT&T [CS]	SP	08/29/2017	P	\$15,001 - \$50,000	
DESCRIPTION: 2.85% interest, Matures on 02/14/2023					
Neuberger Berman - Traditional IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	05/3/2017	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	05/4/2017	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	06/20/2017	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	11/30/2017	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Boston Scientific Corporation (BSX) [ST]	SP	12/14/2017	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Bristol-Myers Squibb Company (BMY) [ST]	SP	07/27/2017	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Bristol-Myers Squibb Company (BMY) [ST]	SP	09/25/2017	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Celgene Corporation (CELG) [ST]	SP	11/2/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒	SP	05/24/2017	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charter Communications, Inc. - Class A (CHTR) [ST]					
Neuberger Berman - Traditional IRA ⇒ Charter Communications, Inc. - Class A (CHTR) [ST]	SP	08/15/2017	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Charter Communications, Inc. - Class A (CHTR) [ST]	SP	09/26/2017	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Charter Communications, Inc. - Class A (CHTR) [ST]	SP	10/26/2017	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ CIT Group Inc [CS]	SP	07/6/2017	P	\$15,001 - \$50,000	
DESCRIPTION: 5.0% interest maturity date 8/1/23					
Neuberger Berman - Traditional IRA ⇒ Comcast Corporation - Class A (CMCSA) [ST]	SP	10/13/2017	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Costco Wholesale Corporation (COST) [ST]	SP	05/10/2017	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Costco Wholesale Corporation (COST) [ST]	SP	06/16/2017	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Delphi Technologies PLC Ordinary Shares (DLPH) [ST]	SP	12/4/2017	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ DENTSPLY SIRONA Inc. (XRAY) [ST]	SP	01/20/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ DowDuPont Inc. (DWDP) [ST]	SP	10/18/2017	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ DowDuPont Inc. (DWDP) [ST]	SP	10/19/2017	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Expedia, Inc. (EXPE) [ST]	SP	03/15/2017	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Expedia, Inc. (EXPE) [ST]	SP	11/9/2017	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Expedia, Inc. (EXPE) [ST]	SP	11/10/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Facebook, Inc. - Class A (FB) [ST]	SP	06/30/2017	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ General Dynamics Corporation (GD) [ST]	SP	05/10/2017	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ General Electric Company (GE) [ST]	SP	05/15/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Goldman Sachs Group, Inc. (GS) [ST]	SP	02/15/2017	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST]	SP	05/10/2017	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST]	SP	05/25/2017	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Iron Mountain [CS] DESCRIPTION: 6.0% interest, matures on 8/1/2023	SP	07/13/2017	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Johnson & Johnson (JNJ) [ST]	SP	01/18/2017	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Kansas City Southern (KSU) [ST]	SP	02/8/2017	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Kansas City Southern (KSU) [ST]	SP	04/4/2017	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Kansas City Southern (KSU) [ST]	SP	04/5/2017	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Kansas City Southern (KSU) [ST]	SP	11/9/2017	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Leidos Holdings, Inc. (LDOS) [ST]	SP	01/6/2017	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Martin Marietta Materials, Inc. (MLM) [ST]	SP	11/14/2017	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Martin Marietta Materials, Inc. (MLM) [ST]	SP	11/15/2017	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Mastercard Incorporated (MA) [ST]	SP	05/2/2017	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Merck & Company, Inc. Common Stock (MRK) [ST]	SP	11/8/2017	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Microsoft Corporation (MSFT) [ST]	SP	06/28/2017	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Oracle Corporation (ORCL) [ST]	SP	05/24/2017	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Oracle Corporation (ORCL) [ST]	SP	05/25/2017	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Procter & Gamble Company (PG) [ST]	SP	02/27/2017	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Qiagen N.V. - Common Shares (QGEN) [ST]	SP	02/28/2017	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Sealed Air Corporation (SEE) [ST]	SP	03/7/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sealed Air Corporation (SEE) [ST]	SP	03/8/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Siemens AG American Depositary Shares (SIEGY) [ST]	SP	10/4/2017	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Siemens AG American Depositary Shares (SIEGY) [ST]	SP	12/6/2017	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ SLM CORP [CS] DESCRIPTION: maturation date 9/27/17 at 4.625%	SP	09/25/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Starbucks Corporation (SBUX) [ST]	SP	07/17/2017	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒	SP	10/25/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Starbucks Corporation (SBUX) [ST]			(partial)		
Neuberger Berman - Traditional IRA ⇒ Starbucks Corporation (SBUX) [ST]	SP	11/9/2017	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ T-Mobile US, Inc. (TMUS) [ST]	SP	02/15/2017	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ T-Mobile US, Inc. (TMUS) [ST]	SP	04/25/2017	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ T-Mobile US, Inc. (TMUS) [ST]	SP	05/17/2017	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ T-Mobile US, Inc. (TMUS) [ST]	SP	09/25/2017	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ T-Mobile US, Inc. (TMUS) [ST]	SP	09/26/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]	SP	02/17/2017	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Verisk Analytics, Inc. (VRSK) [ST]	SP	01/18/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ WEX Inc. common stock (WEX) [ST]	SP	10/4/2017	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Zayo Group Holdings, Inc. (ZAYO) [ST]	SP	04/25/2017	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Zayo Group Holdings, Inc. (ZAYO) [ST]	SP	04/26/2017	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Zayo Group Holdings, Inc. (ZAYO) [ST]	SP	04/27/2017	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Zayo Group Holdings, Inc. (ZAYO) [ST]	SP	05/10/2017	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Zayo Group Holdings, Inc. (ZAYO) [ST]	SP	05/11/2017	P	\$817.21	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
DESCRIPTION: I bought some of this stock yesterday, 5/10/17.					
Neuberger Berman - Traditional IRA ⇒ Zimmer Holdings [CS]	SP	04/1/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: This bond matured on 4/1/17, interest rate was 1.45%					
Neuberger Berman - Traditional IRA ⇒ Zoetis Inc. Class A (ZTS) [ST]	SP	10/4/2017	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Zoetis Inc. Class A (ZTS) [ST]	SP	10/5/2017	S	\$1,001 - \$15,000	<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 C: EARNED INCOME

Source	Type	Amount
Southern California Permanente Medical Group	Spouse Salary	N/A
Mid-Atlantic Permanente Medical Group	Spouse Salary	N/A
California Public Employees Retirement System	University Pension	\$51,824.00
American General	Require Minimum Distribution 403(b)	\$898.00
Savings Plus 457 (AOH Hewitt BPS)	Require Minimum Distribution from 457 Account	\$3,231.00
Savings Plus 401(k) (AON Hewitt BPS)	Require Minimum Distribution from 401 (k)	\$6,138.00
Allianz 403(b)	Require Minimum Distribution from Allianz 403(b)	\$19,125.00

### SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	Chase Mortgage	June 2005	Mortgage on 2809 East First Street Long Beach CA	\$250,001 - \$500,000

### SCHEDULE E: POSITIONS

None disclosed.

SCHEDULE F: AGREEMENTS

None disclosed.

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	02/18/2017	02/26/2017	Washington, DC - New Delhi, India - Hyderabad, India - Washington, DC	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Aspen Institute	04/8/2017	04/15/2017	Los Angeles, CA - Tokyo, Japan - Seoul, South Korea - Los Angeles, CA	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Washington Office on Latin America (WOLA)	08/7/2017	08/9/2017	Washington, DC - Mexico City, Mexico - Washington, DC	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
MECEA - Government of Switzerland	10/14/2017	10/19/2017	Washington, DC - Geneva, Switzerland - Bern, Switzerland - Zurich, Switzerland - Washington, DC	0	<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"><li>o Allianz 403(b)</li><li>o American General 403(b)</li><li>o JP Morgan Chase - Individual (Owner: SP) LOCATION: US</li><li>o Neuberger Berman - Beneficiary IRA (Owner: SP)</li><li>o Neuberger Berman - Individual (Owner: SP) LOCATION: US</li><li>o Neuberger Berman - Municipal Bonds (Owner: SP) LOCATION: US</li><li>o Neuberger Berman - Roth IRA (Owner: SP)</li><li>o Neuberger Berman - Traditional IRA (Owner: SP)</li></ul>
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- Savings Plus California State Employee 401(K)
- Savings Plus California State Employee 457

## 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 , 05/10/2018