



Filing ID #10008013

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: 2014
Filing Date: 05/16/2016

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Allianz 403(b) ⇒ AZL Black Rock Cap Appreciation		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Allianz 403(b) ⇒ AZL INV Growth and Income		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Allianz 403(b) ⇒ AZL JP Morgan U.S. Equity Fund		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Allianz 403(b) ⇒ AZL Small Cap Stock Index		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Allianz 403(b) ⇒ Franklin Rising Dividends Sec		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Allianz 403(b) ⇒ PIMCO EqS Pathfinder		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
American General 403(b) ⇒ Fixed Annuity		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
CIT Group Inc. - Corporate Bond	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: This is a corporate bond.					
Delphi Automotive plc Ordinary Shares (DLPH)	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
International Business Machines Corporation (IBM)	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Long Beach Schools Federal Credit Union		\$50,001 - \$100,000	None		<input type="checkbox"/>
DESCRIPTION: Previously listed as LBSFCU, spelled out for greater clarity.					
Neuberger Berman - Roth IRA ⇒ American Tower Corporation (AMT)	SP	\$1 - \$1,000	None		<input type="checkbox"/>
Neuberger Berman - Roth IRA ⇒ ITC Holdings Corp. (ITC)	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Actavis, Inc. Ordinary Shares (ACT.V)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Activision Blizzard, Inc (ATVI)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Amazon.com, Inc. (AMZN)	SP	None	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ American Tower Corp REIT	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Bank of America	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Purchase Date - 10/7/14					
Neuberger Berman - Traditional IRA ⇒ Bay Area Toll Auth Municipal Bond	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ BlackRock, Inc. (BLK)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Boeing Company (BA)	SP	None	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ BorgWarner Inc. (BWA)	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 ⇒ Brookfield Infrastructure Partners LP Limited Partnership Units (BIP)	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ C.R. Bard, Inc. (BCR)	SP	None	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Calpine Corporation (CPN)	SP	None	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Comcast Corporation - Class A Special (CMCSK)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Cooper Companies, Inc. (COO)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Crown Castle International DESCRIPTION: Purchase Date 4/15/14	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ eBay Inc. (EBAY)	SP	None	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Enbridge Energy Management LLC Shares repstg limited liability company interests (EEQ)	SP	None	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Express Scripts Holding Company (ESRX)	SP	None	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Ford Motor Cr. Co. LLC - Corporate Bond DESCRIPTION: Bond redeemed 10/1/14.	SP	None	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Google Inc. - Class C Capital Stock (GOOG)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ IHS Inc. IHS Inc. Class A (IHS)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Intuit Inc. (INTU)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ ITC Holdings Corp. (ITC)	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 ⇒ Johnson & Johnson (JNJ)	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Kansas City Southern (KSU)	SP	None	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Kinder Morgan Energy Partners, L.P. (KMP)	SP	None	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Kinder Morgan Energy Partners, L.P. (KMP)	SP	None	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Mastercard Incorporated (MA)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ New Mountain Finance Corporation (NMFC)	SP	None	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ NextEra Energy, Inc. (NEE)	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Nielsen Fin LLC DESCRIPTION: Purchase Date 4/30/14	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Regal Cinemas Corp GTD SR DESCRIPTION: Bond redeemed completely in 2014.	SP	None	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Regency Energy Partners - Corporate Bond DESCRIPTION: Bond redeemed in 2014.	SP	None	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ SanDisk Corporation (SNDK)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Seaspan Corporation Seaspan Corporation Common Shares (SSW)	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Starwood Hotels & Resorts Worldwide, Inc. (HOT)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
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?
Targa Resources, Inc. (TRGP)					
Neuberger Berman - Traditional IRA ⇒ Teekay Corp. - Corporate Bonds	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: This is a corporate bond.					
Neuberger Berman - Traditional IRA ⇒ Teekay Corporation (TK)	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Teekay Offshore Partners L.P. Common Units representing Limited Partner Interests (TOO)	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Teva Pharmaceutical Industries Limited American Depositary Shares (TEVA)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Verisk Analytics Inc. - Corporate Bond	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is a corporate bond.					
Neuberger Berman - Traditional IRA ⇒ Verisk Analytics, Inc. - Class A (VRSK)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman Equity Funds	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Oxy Long Beach, CA, 50% Interest	JT	Undetermined	Oil Well Payments	\$5,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: 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.					
Savings Plus California State Employee 401(K) ⇒ Bond Fund		\$100,001 - \$250,000	Tax-Deferred		<input type="checkbox"/>
Savings Plus California State Employee 401(K) ⇒ Large Cap Fund		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Savings Plus California State Employee 457 ⇒ Bond Fund		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Savings Plus California State Employee 457 ⇒ Large Cap Fund		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Seadrill Partners LLC Common Units Representing Limited Liability Company Interests (SDLP)	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Seaspan Corporation Seaspan Corporation Common Shares (SSW)	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
SLM Corp - Corporate Bond	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Purchase Date - 4/4/14					
SLM Corp - Corporate Bond	SP	None	None		<input type="checkbox"/>
DESCRIPTION: Purchased and redeemed in 2013.					
Trans Century Limited (TCL:KN	SP	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: This is a stock traded on the Kenyan Stock Exchange.					
United Rentals North Amerc Inc.	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: Purchase Date - 4/16/14					
Walt Disney Company (DIS)	SP	\$50,001 - \$100,000	None		<input type="checkbox"/>

* Asset class details available at the bottom of this form.

SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Bay Area Toll Auth Calif Toll	SP	04/16/2014	P	\$1,001 - \$15,000	
DESCRIPTION: A state bond.					
CIT Group Inc	SP	04/22/2014	P	\$1,001 - \$15,000	
DESCRIPTION: A bond.					
Neuberger Berman - Roth IRA ⇒ Starwood Waypoint Residential Trust (SWAY)	SP	02/3/2014	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Actavis plc Ordinary Shares (ACT)	SP	12/11/2014	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Activision Blizzard, Inc (ATVI)	SP	12/4/2014	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Amazon.com, Inc. (AMZN)	SP	12/10/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Bank of America Corporation (BAC)	SP	10/7/2014	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ BlackRock, Inc. (BLK)	SP	12/9/2014	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Boeing Company (BA)	SP	03/4/2014	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Boeing Company (BA)	SP	07/30/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ BorgWarner Inc. (BWA)	SP	10/22/2014	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ C.R. Bard, Inc. (BCR)	SP	06/3/2014	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ C.R. Bard, Inc. (BCR)	SP	06/4/2014	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Calpine Corporation (CPN)	SP	12/16/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Comcast Corporation - Class A Special (CMCSK)	SP	06/5/2014	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Comcast Corporation - Class A Special (CMCSK)	SP	10/22/2014	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Cooper Companies, Inc. (COO)	SP	10/22/2014	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Crown Castle Intl Corp DESCRIPTION: A bond.	SP	04/15/2014	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Delphi Automotive plc Ordinary Shares (DLPH)	SP	10/22/2014	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Delphi Automotive plc Ordinary Shares (DLPH)	SP	12/10/2014	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ eBay Inc. (EBAY)	SP	05/5/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Enbridge Energy Management LLC Shares repstg limited liability company interests (EEQ)	SP	02/14/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Express Scripts Holding Company (ESRX)	SP	07/17/2014	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Express Scripts Holding Company (ESRX)	SP	07/18/2014	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Golub Capital BDC, Inc. (GBDC)	SP	05/16/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Google Inc. - Class C Capital Stock (GOOG)	SP	10/22/2014	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ IAC/InterActiveCorp (IACI) DESCRIPTION: This is in the spouse's IRA account.	SP	06/17/2014	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ IAC/InterActiveCorp (IACI)	SP	10/31/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ IHS Inc. IHS Inc. Class A (IHS)	SP	01/15/2014	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ IHS Inc. IHS Inc. Class A (IHS)	SP	12/8/2014	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Intuit Inc. (INTU)	SP	01/7/2014	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Intuit Inc. (INTU) DESCRIPTION: This is in the spouse's IRA account.	SP	06/25/2014	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Intuit Inc. (INTU)	SP	10/3/2014	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ JP Morgan Chase & Co. (JPM)	SP	05/5/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Kansas City Southern (KSU)	SP	02/18/2014	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Kansas City Southern (KSU)	SP	10/15/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Kinder Morgan Energy Partners, L.P. (KMP)	SP	02/14/2014	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Mastercard Incorporated (MA)	SP	12/19/2014	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ New Mountain Finance Corporation (NMFC)	SP	05/16/2014	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Nielsen Fin LLC/Nielsen Fin DESCRIPTION: This is a bond.	SP	04/30/2014	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Regal Cinemas Corp GTD SR DESCRIPTION: Bond was tendered.	SP	03/11/2014	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Regency Energy Partners LP DESCRIPTION: A bond	SP	04/15/2014	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ SanDisk Corporation (SNDK)	SP	11/18/2014	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Starwood Hotels & Resorts Worldwide, Inc. (HOT)	SP	12/24/2014	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Teva Pharmaceutical Industries Limited American Depositary Shares (TEVA)	SP	12/12/2014	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Teva Pharmaceutical Industries Limited American Depositary Shares (TEVA)	SP	12/19/2014	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Verisk Analytics, Inc. - Class A (VRSK)	SP	05/2/2014	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Verisk Analytics, Inc. - Class A (VRSK)	SP	10/22/2014	P	\$15,001 - \$50,000	
SLM Corp DESCRIPTION: SLM Corp Medium Term NTS a bond	SP	04/4/2014	P	\$1,001 - \$15,000	
Starwood Waypoint Residential Trust (SWAY)	SP	05/14/2014	S	\$1,001 - \$15,000	<input type="checkbox"/>
United Rentals North Amer Inc DESCRIPTION: A corporate bond	SP	04/9/2014	P	\$1,001 - \$15,000	
United Rentals North Amer Inc DESCRIPTION: A bond.	SP	04/16/2014	P	\$15,001 - \$50,000	

* Asset class details available at the bottom of this form.

SCHEDULE C: EARNED INCOME

Source	Type	Amount
California Public Employees Retirement System	University Pension	\$48,837.00
Sun America (American General)	Required Minimum Distribution from 403(b)	\$19,818.00
Savings Plus 457 (AON Hewitt BPS)	Required Minimum Distribution from 457 Account	\$2,938.00
Savings Plus 401(K) (AON Hewitt BPS)	Required Minimum Distribution from 401(K)	\$5,948.00
Southern California Permanente Medical Group	Spouse Salary	N/A
Mid-Atlantic States Permanents Medical Group	Spouse Salary	N/A

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

None disclosed.

SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

SCHEDULE A AND B ASSET CLASS DETAILS

- Allianz 403(b)
- American General 403(b)
- Neuberger Berman - Roth IRA (Owner: SP)
- Neuberger Berman - Traditional IRA (Owner: SP)
- 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 , 05/16/2016