



Filing ID #10034694

FINANCIAL DISCLOSURE REPORT

Clerk of the House of Representatives • Legislative Resource Center • 135 Cannon Building • Washington, DC 20515

FILER INFORMATION

Name: Dr. Mark Neumann
Status: Congressional Candidate
State/District: WI03

FILING INFORMATION

Filing Type: Candidate Report
Filing Year: 2019
Filing Date: 02/28/2020
Period Covered: 01/01/2018– 08/31/2019

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Altra FCU Checking / Savings Accounts [BA] DESCRIPTION: Jointly held checking account	JT	\$50,001 - \$100,000	Interest	\$201 - \$1,000	\$1 - \$200
Ameriprise Brokerage 2931 ⇒ Columbia Strategic Income Instl (LSIZX [MF]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	None
Ameriprise Brokerage 2931 ⇒ Hologic, Inc. (HOLX) [ST] DESCRIPTION: No dividends received, no share sold, no capital gains realized	JT	\$15,001 - \$50,000	None		
Ameriprise Brokerage 2931 ⇒ ISHARES MSCI ACWI LOW CARBON TARGET (CRBN) [EF]	JT	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	None
Ameriprise Brokerage 2931 ⇒ ISHARES MSCI KLD 400 SOCIAL ETF (DSI) [EF]	JT	\$1,001 - \$15,000	Capital Gains	\$1 - \$200	\$201 - \$1,000
Ameriprise Brokerage 6453 Mark ⇒ Franklin Managed Income Cl C (FBMCX) [MF]		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Ameriprise Brokerage 7020 Mary ⇒ Franklin Managed Income CL C (FBMCX) [MF]	SP	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Ameriprise Brokerage 7052 Mark ⇒ W. P. Carey Inc. REIT (WPC) [ST]		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
Ameriprise SPS ADV 1607 Mary ⇒ American Century Emerging Markets CL I (AMKIX) [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Ameriprise SPS ADV 1607 Mary ⇒ Blackrock Multi Asset Income Instl CL (BIICX) [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
Ameriprise SPS ADV 1607 Mary ⇒ Blackrock Strategic Income Opptys Instl CL (BSIIX) [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	None
Ameriprise SPS ADV 1607 Mary ⇒ Columbia Total Return Bond Instl CL (SRBFX) [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	None
Ameriprise SPS ADV 1607 Mary ⇒ Delaware Healthcare Instl CL (DLHIX) [MF]	SP	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
Ameriprise SPS ADV 1607 Mary ⇒ Eaton Vance High Income Opptys CL I (EIHIX) [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
Ameriprise SPS ADV 1607 Mary ⇒ Fidelity Advisor Technology CL I (FATIX) [MF]	SP	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Ameriprise SPS ADV 1607 Mary ⇒ Fidelity Small Cap Index Instl Premium CL (FSSNX) [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	None
Ameriprise SPS ADV 1607 Mary ⇒ Invesco Core Plus Bond CL Y (CPBYX) [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
Ameriprise SPS ADV 1607 Mary ⇒ Ishares Core S&P US Value ETF (IUSV) [EF]	SP	\$50,001 - \$100,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
Ameriprise SPS ADV 1607 Mary ⇒ Ishares Edge MSCI Min Volatility Eafe ETF (EFAV) [EF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$1,001 - \$2,500

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Ameriprise SPS ADV 1607 Mary ⇒ Ishares Edge MSCI Min Volatility ETF (USMV) [EF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	None
Ameriprise SPS ADV 1607 Mary ⇒ John Hancock Regional Bank CL I (JRBFX) [MF]	SP	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Ameriprise SPS ADV 1607 Mary ⇒ MFS Mid Cap Value CL I (MCVIX) [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Ameriprise SPS ADV 1607 Mary ⇒ Vanguard Russell 1000 Growth Index Fd ETF (VONG) [EF]	SP	\$50,001 - \$100,000	Capital Gains, Dividends	\$201 - \$1,000	None
Ameriprise SPS ADV 5667 Mark ⇒ American Century Emerging Markets (AMKIX) [MF]		\$50,001 - \$100,000	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
Ameriprise SPS ADV 5667 Mark ⇒ Blackrock Multi Asset Income Instl (BIICX) [MF]		\$50,001 - \$100,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$201 - \$1,000
Ameriprise SPS ADV 5667 Mark ⇒ Blackrock Strategic Income Opptys Instl (BSIIX) [MF]		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	None
Ameriprise SPS ADV 5667 Mark ⇒ Columbia Total Return Bond Instl (SRBFX) [MF]		\$50,001 - \$100,000	Capital Gains, Dividends	\$1,001 - \$2,500	None
Ameriprise SPS ADV 5667 Mark ⇒ Delaware Healthcare Instl Cl (DLHIX) [MF]		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Ameriprise SPS ADV 5667 Mark ⇒ Eaton Vance High Income Opptys Cl (EIHIX) [MF]		\$50,001 - \$100,000	Capital Gains, Dividends	\$2,501 - \$5,000	\$1,001 - \$2,500
Ameriprise SPS ADV 5667 Mark ⇒ Fidelity Small Cap Index Instl Premium CL (FSSNX) [MF]		\$50,001 - \$100,000	Capital Gains, Dividends	\$201 - \$1,000	None
Ameriprise SPS ADV 5667 Mark ⇒ Invesco Core Plus Bond (CPBYX) [MF]		\$50,001 - \$100,000	Capital Gains, Dividends	\$2,501 - \$5,000	\$201 - \$1,000
Ameriprise SPS ADV 5667 Mark ⇒ Invesco QQQ ETF (QQQ) [EF]		\$15,001 - \$50,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Ameriprise SPS ADV 5667 Mark ⇒ Ishares Core S&P US Value ETF (IUSV) [EF]		\$100,001 - \$250,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$201 - \$1,000
Ameriprise SPS ADV 5667 Mark ⇒ Ishares Edge Msci Min Volatility Eafe ETF (EFAV) [EF]		\$50,001 - \$100,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$201 - \$1,000
Ameriprise SPS ADV 5667 Mark ⇒ Ishares Edge Msci Min Volatility ETF (USMV) [EF]		\$50,001 - \$100,000	Capital Gains, Dividends	\$201 - \$1,000	None
Ameriprise SPS ADV 5667 Mark ⇒ John Hancock Regional Bank CL I (JRBFX) [MF]		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
Ameriprise SPS ADV 5667 Mark ⇒ MFS Mid Cap Value CL I (MCVIX) [MF]		\$50,001 - \$100,000	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
Ameriprise SPS ADV 5667 Mark ⇒ Vanguard Russell 1000 Growth Index FD ETF (VONG) [EF]		\$100,001 - \$250,000	Capital Gains, Dividends	\$201 - \$1,000	None
Edvest Wisconsin College Savings Plan [5P] LOCATION: WI	JT	\$15,001 - \$50,000	Tax-Deferred		
Morgan Stanley Brokerage ⇒ American Funds Capital Income Builder ([MF]		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Morgan Stanley Brokerage ⇒ American Funds Washington Mutual Investors Fund (AWSHX) [MF]		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$1,001 - \$2,500
Tomorrow's Scholar [5P] LOCATION: WI	JT	\$15,001 - \$50,000	Tax-Deferred		

* 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 Current Year to Filing	Amount Preceding Year
Gundersen Lutheran Admin Svcs	salary	\$31,569.00	\$231,072.00
Waterford Valley Community Association	salary, hours worked	\$2,287.00	N/A
County of La Crosse	salary, hours worked	\$1,211.00	N/A

Source	Type	Amount Current Year to Filing	Amount Preceding Year
Mayo Roundation For Medical Education & Research	spouse's salary, hours worked	\$5,941.00	N/A
Gundersen Lutheran Admin Srvs	spouse's salary, hours worked	\$982.00	N/A

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	Altra Federal Credit Union	April, 2010	home mortgage	\$50,001 - \$100,000

SCHEDULE E: POSITIONS

Position	Name of Organization
employee (employed physician)	Gundersen Health System
member of LLC	Airpark Flyers at Holland AirPark
member of home owners association	Waterford Valley Community Association

SCHEDULE F: AGREEMENTS

None disclosed.

SCHEDULE J: COMPENSATION IN EXCESS OF \$5,000 PAID BY ONE SOURCE

None disclosed.

SCHEDULE A ASSET CLASS DETAILS

<ul style="list-style-type: none"> o Ameriprise Brokerage 2931 (Owner: JT) LOCATION: US o Ameriprise Brokerage 6453 Mark DESCRIPTION: Qualified retirement account, Roth IRA managed through Ameriprise Financial o Ameriprise Brokerage 7020 Mary (Owner: SP) DESCRIPTION: Qualified retirement account, Roth IRA, held by spouse, managed through Ameriprise Financial o Ameriprise Brokerage 7052 Mark DESCRIPTION: Qualified retirement account, Traditional IRA managed through Ameriprise Financial o Ameriprise SPS ADV 1607 Mary (Owner: SP) DESCRIPTION: Qualified retirement account, Traditional IRA, owned by spouse and managed through Ameriprise Financial o Ameriprise SPS ADV 5667 Mark DESCRIPTION: Qualified retirement account, Traditional IRA, managed through Ameriprise Financial

- Morgan Stanley Brokerage
LOCATION: US

EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

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

COMMENTS

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: Dr. Mark Neumann , 02/28/2020