



Filing ID #10010281

# FINANCIAL DISCLOSURE REPORT

---

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

---

## FILER INFORMATION

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

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2015  
**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		\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>
American General 403(b) ⇒ Fixed Annuity		\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>
CIT Group Inc.	SP	\$1,001 - \$15,000	None	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income Tx. > \$1,000?
DESCRIPTION: Maturation Date: 3/15/2018 ; Percentage Yield: 5.25%				
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"/>
Municipal Bond Account – Desc: ‘Cash Equiv’, JPM Tax Free Money Market Fund	SP	\$1,001 - \$15,000	None	<input type="checkbox"/>
Neuberger Berman - Roth IRA ⇒ American Tower Corporation (AMT)	SP	\$1 - \$1,000	None	<input type="checkbox"/>
Neuberger Berman - Roth IRA ⇒ Dreyfus Treas. Prime Cash Management INV & SHS	SP	\$50,001 - \$100,000	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 ⇒ Adobe Systems Incorporated (ADBE)	SP	\$15,001 - \$50,000	None	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Allergan plc Ordinary Shares (AGN)	SP	\$15,001 - \$50,000	None	<input type="checkbox"/>
DESCRIPTION: On June 15, 2015 Actavis changed to Alargan. This is why Actavis appeared in 2014, but not in 2015.				
Neuberger Berman - Traditional IRA ⇒ Alphabet Inc. - Class C Capital Stock (GOOG)	SP	\$15,001 - \$50,000	None	<input type="checkbox"/>
DESCRIPTION: During 2015 the Company exchanges Google for Alphabet Inc. Stock				
Neuberger Berman - Traditional IRA ⇒ American Tower Corp REIT	SP	\$15,001 - \$50,000	None	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Baidu, Inc. - American Depositary Shares, each representing one tenth Class A ordinary share (BIDU)	SP	\$15,001 - \$50,000	None	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Bank of America Corp	SP	\$15,001 - \$50,000	None	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 12/29/2049 ; Percentage Yield: 5.125%				
Neuberger Berman - Traditional IRA ⇒	SP	\$1,001 - \$15,000	None	<input type="checkbox"/>

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income Tx. &gt; \$1,000?</b>
Bay Area Toll Auth Municipal Bond				
DESCRIPTION: Maturation Date: 4/1/31; Percentage Yield: 5.0				
Neuberger Berman - Traditional IRA ⇒ BlackRock, Inc. (BLK)	SP	\$15,001 - \$50,000	None	<input type="checkbox"/>
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 ⇒ Chipotle Mexican Grill, Inc. (CMG)	SP	\$1,001 - \$15,000	None	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ CIT Group Inc. - Corporate Bond	SP	\$15,001 - \$50,000	None	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 3/15/2018 ; Percentage Yield: 5.25%				
Neuberger Berman - Traditional IRA ⇒ Comcast Corporation - Class A Special (CMCSK)	SP	\$15,001 - \$50,000	None	<input type="checkbox"/>
DESCRIPTION: 12/14/15 Exchanged from Comcast Corp CL A to Comcast Corporation New SPL Class A				
Neuberger Berman - Traditional IRA ⇒ Costco Wholesale Corporation (COST)	SP	\$15,001 - \$50,000	None	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Crown Castle International	SP	\$1,001 - \$15,000	None	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 4/15/22; Percentage Yield: 4.875%				
Neuberger Berman - Traditional IRA ⇒ CVS Health Corporation (CVS)	SP	\$15,001 - \$50,000	None	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Dreyfus Treas. Prime Cash Management INV & SHS	SP	\$1 - \$1,000	None	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Facebook, Inc. - Class A (FB)	SP	\$15,001 - \$50,000	None	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ FedEx Corporation (FDX)	SP	\$15,001 - \$50,000	None	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ General Electric Company (GE)	SP	\$15,001 - \$50,000	None	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Intuit Inc. (INTU)	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 ⇒ ITC Holdings Corp. (ITC)	SP	\$15,001 - \$50,000	None	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ JP Morgan Chase & Co. (JPM)	SP	\$15,001 - \$50,000	None	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Kimberly-Clark Corporation (KMB)	SP	\$15,001 - \$50,000	None	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Level 3 Fing Inc.	SP	\$15,001 - \$50,000	None	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 6/1/2020 ; Percentage Yield: 7%				
Neuberger Berman - Traditional IRA ⇒ Mastercard Incorporated (MA)	SP	\$15,001 - \$50,000	None	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Nielsen Fin LLC	SP	\$15,001 - \$50,000	None	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 10/1/2020 ; Percentage Yield: 4.5%				
Neuberger Berman - Traditional IRA ⇒ PayPal Holdings, Inc. (PYPL)	SP	\$15,001 - \$50,000	None	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ PPG Industries, Inc. (PPG)	SP	\$1,001 - \$15,000	None	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Procter & Gamble Company (PG)	SP	\$15,001 - \$50,000	None	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Seaspan Corporation Seaspan Corporation Common Shares (SSW)	SP	\$1,001 - \$15,000	None	<input type="checkbox"/>
DESCRIPTION: Preferred Stock				
Neuberger Berman - Traditional IRA ⇒ Service Corporation International (SCI)	SP	\$15,001 - \$50,000	None	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sherwin-Williams Company (SHW)	SP	\$1,001 - \$15,000	None	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Synchrony Financial (SYF)	SP	\$15,001 - \$50,000	None	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒	SP	\$1,001 - \$15,000	None	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income Tx. > \$1,000?
The Priceline Group Inc. (PCLN)				
Neuberger Berman - Traditional IRA ⇒ Union Pacific Corporation (UNP)	SP	\$15,001 - \$50,000	None	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ UnitedHealth Group Incorporated Common Stock (UNH)	SP	\$15,001 - \$50,000	None	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Verisk Analytics Inc. - Corporate Bond	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)	SP	\$15,001 - \$50,000	None	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Verizon Communications Inc. (VZ)	SP	\$15,001 - \$50,000	None	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Zoetis Inc. Class A (ZTS)	SP	\$15,001 - \$50,000	None	<input 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	\$1,001 - \$2,500 <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		\$50,001 - \$100,000	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		\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>
Savings Plus California State Employee 457 ⇒ Large Cap Fund		\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>
SLM Corp - Corporate Bond	SP	\$1,001 - \$15,000	None	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 1/25/2016; Percentage Yield: 6.25%				
Trans Century Limited (TCL:KN	SP	\$1 - \$1,000	None	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income Tx. > \$1,000?
DESCRIPTION: This is a stock traded on the Kenyan Stock Exchange.				
Walt Disney Company (DIS)	SP	\$100,001 - \$250,000	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?
Actavis plc Ordinary Shares (ACT)	SP	04/15/2015	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Actavis plc Ordinary Shares (ACT)	SP	02/18/2015	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Activision Blizzard, Inc (ATVI)	SP	09/24/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Activision Blizzard, Inc (ATVI)	SP	11/6/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Adobe Systems Incorporated (ADBE)	SP	06/1/2015	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Adobe Systems Incorporated (ADBE)	SP	07/29/2015	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Allergan plc Ordinary Shares (AGN)	SP	10/9/2015	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ American Tower Corporation (AMT)	SP	03/12/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Baidu, Inc. - American Depositary Shares, each representing one tenth Class A ordinary share (BIDU)	SP	11/5/2015	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Baidu, Inc. - American Depositary Shares, each representing one tenth Class A ordinary share (BIDU)	SP	11/12/2015	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒	SP	04/15/2015	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Biogen Inc. (BIIB)					
Neuberger Berman - Traditional IRA ⇒ Biogen Inc. (BIIB)	SP	07/23/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ BorgWarner Inc. (BWA)	SP	07/20/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Chipotle Mexican Grill, Inc. (CMG)	SP	12/8/2015	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Cooper Companies, Inc. (COO)	SP	04/20/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Costco Wholesale Corporation (COST)	SP	04/20/2015	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Costco Wholesale Corporation (COST)	SP	07/7/2015	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Crown Castle Intl Corp	SP	12/29/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: Provider of wireless infrastructure					
Neuberger Berman - Traditional IRA ⇒ CVS Health Corporation (CVS)	SP	02/10/2015	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ eBay Inc. (EBAY)	SP	06/4/2015	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ eBay Inc. (EBAY)	SP	08/5/2015	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ eBay Inc. (EBAY)	SP	10/8/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Facebook, Inc. - Class A (FB)	SP	04/15/2015	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ FedEx Corporation (FDX)	SP	10/5/2015	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ General Electric Company (GE)	SP	03/19/2015	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ HCA Holdings, Inc. (HCA)	SP	08/26/2015	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ HCA Holdings, Inc. (HCA)	SP	08/26/2015	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ HCA Holdings, Inc. (HCA)	SP	11/6/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ IHS Inc. IHS Inc. Class A (IHS)	SP	03/24/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ International Business Machines Corporation (IBM)	SP	02/24/2015	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ International Business Machines Corporation (IBM)	SP	06/4/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ ITC Holdings Corp. (ITC)	SP	01/29/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ ITC Holdings Corp. (ITC)	SP	03/10/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Johnson & Johnson (JNJ)	SP	10/13/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ JP Morgan Chase & Co. (JPM)	SP	01/6/2015	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Kimberly-Clark Corporation (KMB)	SP	05/22/2015	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Level 3 FING INC DESCRIPTION: Telecommunications field.	SP	11/12/2015	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Lincoln National Corporation (LNC)	SP	06/11/2015	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Lincoln National Corporation (LNC)	SP	09/24/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ NextEra Energy, Inc. (NEE)	SP	03/12/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Old Dominion Freight Line, Inc. (ODFL)	SP	03/30/2015	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Old Dominion Freight Line, Inc. (ODFL)	SP	06/1/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Oracle Corporation (ORCL)	SP	01/22/2015	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Oracle Corporation (ORCL)	SP	07/23/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ PayPal Holdings, Inc. (PYPL)	SP	09/1/2015	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ PayPal Holdings, Inc. (PYPL)	SP	10/8/2015	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Pfizer, Inc. (PFE)	SP	10/13/2015	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Pfizer, Inc. (PFE)	SP	12/1/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ PPG Industries, Inc. (PPG)	SP	11/25/2015	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Procter & Gamble Company (PG)	SP	10/30/2015	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ SanDisk Corporation (SNDK)	SP	01/13/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Seadrill Partners LLC Common Units Representing Limited Liability Company Interests (SDLP)	SP	01/22/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Service Corporation International (SCI)	SP	10/30/2015	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒	SP	10/13/2015	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Sherwin-Williams Company (SHW)					
Neuberger Berman - Traditional IRA ⇒ Starwood Hotels & Resorts Worldwide, Inc. (HOT)	SP	03/24/2015	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Starwood Hotels & Resorts Worldwide, Inc. (HOT)	SP	07/28/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Starwood Hotels & Resorts Worldwide, Inc. (HOT)	SP	08/13/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ STARWOOD PROPERTY TRUST, INC. Starwood Property Trust Inc. (STWD)	SP	05/22/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Synchrony Financial (SYF)	SP	11/12/2015	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Synchrony Financial (SYF)	SP	11/17/2015	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Targa Resources, Inc. (TRGP)	SP	03/10/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Teekay Corp SR	SP	11/30/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: energy and oil company, some maritime trade and transport.					
Neuberger Berman - Traditional IRA ⇒ Teekay Corporate Bond	SP	06/10/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
LOCATION: US DESCRIPTION: Symbol is 87900YAA1 TEEKAY CorpsrbNT8.50% 01/15/2020 87900YAA1					
Neuberger Berman - Traditional IRA ⇒ Teekay Corporation (TK)	SP	12/17/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Teekay Offshore Partners L.P. Common Units representing Limited Partner Interests (TOO)	SP	06/10/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Teva Pharmaceutical Industries Limited American Depositary Shares (TEVA)	SP	07/27/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Teva Pharmaceutical Industries Limited American Depositary Shares (TEVA)	SP	09/11/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ The Priceline Group Inc. (PCLN)	SP	02/19/2015	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ The Priceline Group Inc. (PCLN)	SP	03/23/2015	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ The Priceline Group Inc. (PCLN)	SP	08/12/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Time Warner Inc. New (TWX)	SP	03/13/2015	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Time Warner Inc. New (TWX)	SP	09/28/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Union Pacific Corporation (UNP)	SP	11/4/2015	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Union Pacific Corporation (UNP)	SP	11/17/2015	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ UnitedHealth Group Incorporated (UNH)	SP	03/30/2015	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ UnitedHealth Group Incorporated Common Stock (UNH)	SP	07/16/2015	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ UnitedHealth Group Incorporated Common Stock (UNH)	SP	08/25/2015	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Verizon Communications Inc. (VZ)	SP	11/20/2015	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Willis Group Holdings Public Limited (WSH)	SP	03/27/2015	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Willis Group Holdings Public Limited (WSH)	SP	07/14/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒	SP	10/7/2015	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Zoetis Inc. Class A (ZTS)					

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

SCHEDULE C: EARNED INCOME

Source	Type	Amount
Southern California Permanente Medical Group	Spouse Salary	N/A
Mid-Atlantic States Permanente Medical Group	Spouse Salary	N/A
California Public Employees Retirement System	University Pension	\$49,813.00
American General	Required Minimum Distribution from 403(b)	\$12,210.00
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

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?
Progressive Congress	02/5/2015	02/7/2015	Washington, DC - Philadelphia, PA - Washington, DC	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Aspen Institute	02/17/2015	02/20/2015	Los Angeles, CA - Panama City, Panama - Los Angeles, CA	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Aspen Institute	03/28/2015	04/4/2015	Washington, DC - Berlin Germany - Los Angeles, CA	1	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Aspen Institute	05/26/2015	05/31/2015	Los Angeles, CA - Montréal, Québec Canada - Washington, DC	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Proclaiming Justice to the Nations	10/12/2015	10/19/2015	New York City, New York - Tel Aviv, Israel - Jerusalem, Israel - New York City, New York	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

## SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

## SCHEDULE A AND B ASSET CLASS DETAILS

- o Allianz 403(b)
- o American General 403(b)
- o 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

## 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