



Filing ID #10004085

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

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

## FILING INFORMATION

**Filing Type:** Amendment Report  
**Filing Year:** 2013  
**Filing Date:** 08/13/2014

## 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	None	<input type="checkbox"/>
Allianz 403(b) ⇒ AZL INV Growth and Income		\$50,001 - \$100,000	Tax-Deferred	None	<input type="checkbox"/>
Allianz 403(b) ⇒ AZL JP Morgan U.S. Equity Fund		\$15,001 - \$50,000	Tax-Deferred	None	<input type="checkbox"/>
Allianz 403(b) ⇒ AZL Small Cap Stock Index		\$15,001 - \$50,000	Tax-Deferred	None	<input type="checkbox"/>
Allianz 403(b) ⇒ Franklin Rising Dividends Sec		\$15,001 - \$50,000	Tax-Deferred	None	<input type="checkbox"/>
DESCRIPTION: This was mistakenly omitted from the 2012 FD filing. It was an asset in 2012, as well, but is now being correctly added onto the 2013.					
Allianz 403(b) ⇒ PIMCO EqS Pathfinder		\$50,001 - \$100,000	Tax-Deferred	None	<input type="checkbox"/>
Amazon.com, Inc. (AMZN)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
American Tower Corporation (AMT)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
BlackRock, Inc. (BLK)	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Boeing Company (BA)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Brookfield Infrastructure Partners LP Limited Partnership Units (BIP)	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
C.R. Bard, Inc. (BCR)	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Calpine Corporation (CPN)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
CIT Group Inc. - Corporate Bond	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: This is a corporate bond.					
Delphi Automotive plc Ordinary Shares (DLPH)	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
eBay Inc. (EBAY)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Enbridge Energy Management LLC Shares repstg limited liability company interests (EEQ)	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Equinix Inc. - Corporate Bond	SP	\$1 - \$1,000	Capital Gains, Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: This is capital gains from the redemption of a corporate bond.					
Express Scripts Holding Company (ESRX)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Ford Motor Cr. Co. LLC - Corporate Bond	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is a corporate bond.					
Golub Capital BDC, Inc. (GBDC)	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
IHS Inc. IHS Inc. Class A (IHS)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
International Business Machines Corporation (IBM)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Intuit Inc. (INTU)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
ITC Holdings Corp. (ITC)	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Johnson & Johnson (JNJ)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
JP Morgan Chase & Co. (JPM)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Kansas City Southern (KSU)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Kinder Morgan Energy Partners, L.P. (KMP)	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
LBSFCU		\$50,001 - \$100,000	None		<input type="checkbox"/>
New Mountain Finance Corporation (NMFC)	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
NextEra Energy, Inc. (NEE)	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Oxy Long Beach, 50% Interest		\$15,001 - \$50,000	Mineral Rights	\$5,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: This is the mineral rights on the Congressman's primary residence in Long Beach, CA.					
Regal Cinemas Corp - Corporate Bond	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is a corporate bond.					
Regency Energy Partners - Corporate Bond	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is a corporate bond.					
Savings Plus 401(K) ⇒ Bond Fund		\$100,001 - \$250,000	Tax-Deferred	None	<input type="checkbox"/>
Savings Plus 401(K) ⇒ Large Cap Fund		\$50,001 - \$100,000	Tax-Deferred	\$15,001 - \$50,000	<input type="checkbox"/>
Savings Plus 457 ⇒ Bond Fund		\$50,001 - \$100,000	Tax-Deferred	None	<input type="checkbox"/>
Savings Plus 457 ⇒ Large Cap Fund		\$15,001 - \$50,000	Tax-Deferred	None	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Seadrill Partners LLC Common Units Representing Limited Liability Company Interests (SDLP)	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Seaspan Corporation Seaspan Corporation Common Shares (SSW)	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
SLM Corp - Corporate Bond	SP	\$1,001 - \$15,000	Capital Gains, Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: This is capital gains from the redemption of a corporate bond.					
STARWOOD PROPERTY TRUST, INC. Starwood Property Trust Inc. (STWD)	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Sun America 403(b) ⇒ Fixed Annuity		\$50,001 - \$100,000	Tax-Deferred	\$5,001 - \$15,000	<input type="checkbox"/>
Targa Resources, Inc. (TRGP)	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Teekay Corp. - Corporate Bonds	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: This is a corporate bond.					
Teekay Corporation (TK)	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Teekay Offshore Partners L.P. Common Units representing Limited Partner Interests (TOO)	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Trans Century Limited (TCL:KN	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is a stock traded on the Kenyan Stock Exchange.					
Verisk Analytics Inc. - Corporate Bond	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is a corporate bond.					
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?
ADT Corporation (ADT)	SP	04/3/2013	S	\$1,001 - \$15,000	<input type="checkbox"/>
Agrium Inc. (AGU)	SP	03/22/2013	S	\$1,001 - \$15,000	<input type="checkbox"/>
Agrium Inc. (AGU)	SP	01/17/2013	P	\$1,001 - \$15,000	
Amazon.com, Inc. (AMZN)	SP	05/3/2013	P	\$1,001 - \$15,000	
Amazon.com, Inc. (AMZN)	SP	03/19/2013	P	\$1,001 - \$15,000	
American International Group, Inc. New (AIG)	SP	12/16/2013	S	\$15,001 - \$50,000	<input type="checkbox"/>
American International Group, Inc. New (AIG)	SP	02/7/2013	P	\$1,001 - \$15,000	
American Tower Corporation (AMT)	SP	01/30/2013	S	\$1,001 - \$15,000	<input type="checkbox"/>
Boeing Company (BA)	SP	11/21/2013	S	\$1,001 - \$15,000	<input type="checkbox"/>
BorgWarner Inc. (BWA)	SP	04/24/2013	S	\$1,001 - \$15,000	<input type="checkbox"/>
C.R. Bard, Inc. (BCR)	SP	09/4/2013	P	\$1,001 - \$15,000	
Calpine Corporation (CPN)	SP	02/12/2013	P	\$1,001 - \$15,000	
Capital One Financial Corporation (COF)	SP	03/1/2013	S	\$15,001 - \$50,000	<input type="checkbox"/>
Delphi Automotive plc Ordinary Shares (DLPH)	SP	04/24/2013	P	\$15,001 - \$50,000	
eBay Inc. (EBAY)	SP	11/21/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
eBay Inc. (EBAY)	SP	11/25/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
eBay Inc. (EBAY)	SP	04/25/2013	P	\$1,001 - \$15,000	
Equinix Inc. - Corporate Bond	SP	04/5/2013	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
DESCRIPTION: This was a bond redemption.					
Express Scripts Holding Company (ESRX)	SP	05/14/2013	P	\$1,001 - \$15,000	
Express Scripts Holding Company (ESRX)	SP	03/18/2013	P	\$1,001 - \$15,000	
General Electric Company (GE)	SP	04/23/2013	S	\$15,001 - \$50,000	<input type="checkbox"/>
Google Inc. - Class A (GOOGL)	SP	01/17/2013	S	\$1,001 - \$15,000	<input type="checkbox"/>
IHS Inc. IHS Inc. Class A (IHS)	SP	10/9/2013	P	\$1,001 - \$15,000	
IHS Inc. IHS Inc. Class A (IHS)	SP	05/7/2013	P	\$1,001 - \$15,000	
International Business Machines Corporation (IBM)	SP	04/23/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Intuit Inc. (INTU)	SP	09/26/2013	P	\$15,001 - \$50,000	
Johnson & Johnson (JNJ)	SP	04/11/2013	P	\$15,001 - \$50,000	
JP Morgan Chase & Co. (JPM)	SP	12/18/2013	P	\$1,001 - \$15,000	
JP Morgan Chase & Co. (JPM)	SP	10/3/2013	P	\$15,001 - \$50,000	
Kansas City Southern (KSU)	SP	05/20/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Kansas City Southern (KSU)	SP	06/6/2012	P	\$1,001 - \$15,000	
Motorola Solutions, Inc. (MSI)	SP	07/26/2013	S	\$1,001 - \$15,000	<input type="checkbox"/>
Pall Corporation (PLL)	SP	05/9/2013	S	\$15,001 - \$50,000	<input type="checkbox"/>
Praxair, Inc. (PX)	SP	02/4/2013	S	\$15,001 - \$50,000	<input type="checkbox"/>
SLM Corp - Corporate Bond	SP	10/1/2013	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: This was a bond redemption.					

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
SPDR Gold Trust (GLD)	SP	02/14/2013	S	\$1,001 - \$15,000	<input type="checkbox"/>
Suncor Energy Inc. (SU)	SP	02/21/2013	S	\$15,001 - \$50,000	<input type="checkbox"/>
Suncor Energy Inc. (SU)	SP	02/14/2013	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
United Parcel Service, Inc. (UPS)	SP	10/3/2013	S	\$15,001 - \$50,000	<input type="checkbox"/>
Visa Inc. (V)	SP	08/6/2013	S	\$15,001 - \$50,000	<input type="checkbox"/>

SCHEDULE C: EARNED INCOME

Source	Type	Amount
The Permanente Medical Group	Spouse Salary	N/A
Southern California Permanente Medical Group	Spouse Salary	N/A
Mid-Atlantic States Permanente Medical Group	Spouse Salary	N/A
State of California	Spouse stipend for serving on the Board of Governors for the California Community Colleges	N/A
California Public Employees Retirement System	University Pension	\$47,880
Sun America (American General)	Required Minimum Distribution from 403(b) account	\$9,398
Savings Plus 457 (AON Hewitt BPS)	Required Minimum Distribution from 457 account	\$2,564
Savings Plus 401(K) (AON Hewitt BPS)	Required Minimum Distribution from 403(b) account	\$5,189

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	Lodging?	Food?	Family?
Taiwan Economic	12/21/2013	12/28/2013	Los Angeles - Taipei - Zuoying - Taichung - Los Angeles	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The Humpty Dumpty Institute (HDI)	06/23/2013	06/24/2013	Los Angeles - New York, NY - Washington, DC	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
American Israel Education Foundation	08/4/2013	08/13/2013	Washington, DC - Tel Aviv, Israel - Jerusalem, Israel - Tiberias, Isarel - Los Angeles	<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

- Allianz 403(b)
- Savings Plus 401(K)
- Savings Plus 457
- Sun America 403(b)

## 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



## 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:** Mr. Alan S. Lowenthal , 08/13/2014