



Filing ID #10040137

# 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:** Amendment Report  
**Filing Year:** 2019  
**Filing Date:** 06/21/2021

## 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]		\$50,001 - \$100,000	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.					
California Public Retirement System [DB]		Undetermined	Tax-Deferred		<input type="checkbox"/>
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.					
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"/>
Neuberger Berman - Bonds ⇒ American Express Co Note [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 08/03/23; Percentage Yield: 3.7%					
Neuberger Berman - Bonds ⇒ Ball Corp Note Call Make Whole [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 12/15/20; Percentage Yield: 4.375%					
Neuberger Berman - Bonds ⇒ CHARTER COMMUNICATIONS OPER [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 02/01/24; Percentage Yield: 4.5%					
Neuberger Berman - Bonds ⇒ CINEMARK USA INC NOTE CALL MAKE WHOLE [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 12/15/22; Percentage Yield: 5.125%					
Neuberger Berman - Bonds ⇒ DREYFUS TREASURY SEC CASH MGMT ADMIN [BA]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Bonds ⇒ ELANCO ANIMAL HEALTH INC NOTE [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 08/28/23; Percentage Yield: 4.272%					
Neuberger Berman - Bonds ⇒ EQUINIX INC NOTE CALL MAKE WHOLE [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: Maturation Date: 11/18/24; Percentage Yield: 2.625%					
Neuberger Berman - Bonds ⇒ FIDELITY NATL INFORMATION SVCS [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 6/5/24; Percentage Yield: 3.875%					
Neuberger Berman - Bonds ⇒ GENERAL MLS INC NOTE CALL MAKE WHOLE [CS]	SP	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 04/16/21; Percentage Yield: 3.2%					
Neuberger Berman - Bonds ⇒ Interpublic Group Cos Inc Note [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 10/01/20; Percentage Yield: 3.5%					
Neuberger Berman - Bonds ⇒ MORGAN STANLEY NOTE [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 01/27/20; Percentage Yield: 2.65%					
Neuberger Berman - Bonds ⇒ Nielsen Fin LLC/Nielsen Fin [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 10/01/20; Percentage Yield: 4.5%					
Neuberger Berman - Bonds ⇒ Priceline Grp Inc Note Call Make Whole [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 03/15/23; Percentage Yield: 2.75%					
Neuberger Berman - Bonds ⇒ VERIZON COMMUNICATIONS INC [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 3/16/22; Percentage Yield: 3.125%					
Neuberger Berman - Bonds ⇒ WELLS FARGO CO MTN BE [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 1/30/20; Percentage Yield: 2.15%					
Neuberger Berman - Beneficiary IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	\$1 - \$1,000	Tax-Deferred		<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	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Amazon.com, Inc. (AMZN) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Beneficiary IRA ⇒ American Tower Corporation (AMT) [ST]  DESCRIPTION: This asset was inherited in 2017.	SP	\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>	
Neuberger Berman - Beneficiary IRA ⇒ Apple Inc. (AAPL) [ST]  DESCRIPTION: This asset was inherited in 2017.	SP	\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>	
Neuberger Berman - Beneficiary IRA ⇒ Berkshire Hathaway Inc. (BRK.A) [ST]  DESCRIPTION: This asset was inherited in 2017.	SP	\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>	
Neuberger Berman - Beneficiary IRA ⇒ Black Knight, Inc. (BKI) [ST]  DESCRIPTION: This asset was inherited in 2017.	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>	
Neuberger Berman - Beneficiary IRA ⇒ BlackRock, Inc. (BLK) [ST]  DESCRIPTION: This asset was inherited in 2017.	SP	\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>	
Neuberger Berman - Beneficiary IRA ⇒ Boeing Company (BA) [ST]  DESCRIPTION: Not over \$1,000	SP	\$1 - \$1,000	Tax-Deferred	<input type="checkbox"/>	
Neuberger Berman - Beneficiary IRA ⇒ Boston Scientific Corporation (BSX) [ST]  DESCRIPTION: This asset was inherited in 2017. Not over \$1,000.	SP	\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>	
Neuberger Berman - Beneficiary IRA ⇒ Cisco Systems, Inc. (CSCO) [ST]  DESCRIPTION: Maturation Date: 08/15/22; Percentage Yield: 5%	SP	\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>	
Neuberger Berman - Beneficiary IRA ⇒ CIT GROUP INC NOTE CALL MAKE WHOLE [CS]  DESCRIPTION: Maturation Date: 08/15/22; Percentage Yield: 5%	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>	
Neuberger Berman - Beneficiary IRA ⇒ Crown Castle International Corp. (CCI) [ST]  DESCRIPTION: This asset was inherited in 2017.	SP	\$1 - \$1,000	Tax-Deferred	<input type="checkbox"/>	
Neuberger Berman - Beneficiary IRA ⇒ DREYUS TREASURY SEC MGMT ADMIN [BA]  DESCRIPTION: This asset was inherited in 2017.	SP	\$1 - \$1,000	Tax-Deferred	<input type="checkbox"/>	
Neuberger Berman - Beneficiary IRA ⇒ Ecolab Inc. (ECL) [ST]  DESCRIPTION: This asset was inherited in 2017.	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>	

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Beneficiary IRA ⇒ EXPEDIA GROUP INC NOTE CALL MAKE WHOLE [CS]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 08/15/24; Percentage Yield: 4.5%					
Neuberger Berman - Beneficiary IRA ⇒ Facebook, Inc. - Class A (FB) [ST]	SP	\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Not over \$1,000.					
Neuberger Berman - Beneficiary IRA ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Home Depot, Inc. (HD) [ST]	SP	\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ IHS MARKIT LTD NOTE CALL MAKE WHOLE [CS]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 05/01/24; Percentage Yield: 3.625%					
Neuberger Berman - Beneficiary IRA ⇒ Intercontinental Exchange Inc. (ICE) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Johnson & Johnson (JNJ) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<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	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Mastercard Incorporated (MA) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Microsoft Corporation (MSFT) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ NETFLIX INC NOTE CALL MAKE WHOLE [CS]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Maturation Date: 12/15/22; Percentage Yield: 5.5%					
Neuberger Berman - Beneficiary IRA ⇒ Novartis AG (NVS) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Not over \$1,000.					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Beneficiary IRA ⇒ Sempra Energy (SRE) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Service Corporation International (SCI) [ST]  DESCRIPTION: This asset was inherited in 2017.	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ SPDR GOLD TR GOLD SHS [EF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]  DESCRIPTION: Under \$1,000.	SP	\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Universal Display Corporation (OLED) [ST]  DESCRIPTION: Was under \$1k	SP	\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Virgin Galactic Holdings, Inc. (SPCE) [ST]  DESCRIPTION: Not over \$1,000.	SP	\$1 - \$1,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]  DESCRIPTION: Not over \$1,000.	SP	\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Waste Connections, Inc. Common Shares (WCN) [ST]  DESCRIPTION: Not over \$1,000.	SP	\$1 - \$1,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Zimmer Biomet Hldgs Inc Note [CS]  DESCRIPTION: Maturation Date: 03/19/21; Percentage Yield: 2.6525%	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Individual ⇒ ACTIVISION BLIZZARD INC NOTE 2 [CS]  DESCRIPTION: Maturation Date: 06/15/22; Percentage Yield: 2.6%	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ Alphabet Inc. - Class C Capital Stock (GOOG) [ST]  DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Amazon.com, Inc. (AMZN) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Individual ⇒ ARES CAP CORP NOTE CALL MAKE WHOLE [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 01/19/22; Percentage Yield: 3.625%					
Neuberger Berman - Individual ⇒ BANK AMER CORP MTN CALL MAKE WHOLE [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 10/01/21; Percentage Yield: 2.328%					
Neuberger Berman - Individual ⇒ Berkshire Hathaway Inc. New (BRK.B) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ Black Knight, Inc. (BKI) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ BlackRock, Inc. (BLK) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ Blackstone Mortgage Trust, Inc. (BXMT) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ Boeing Company (BA) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ Brookfield Infrastructure Partners LP Limited Partnership Units (BIP) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ CHARTER COMMUNICATIONS OPER [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 02/01/24; Percentage Yield: 4.5%					
Neuberger Berman - Individual ⇒ Cisco Systems, Inc. (CSCO) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ CITIGROUP INC NOTE [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 07/30/22; Percentage Yield: 4.05%					
Neuberger Berman - Individual ⇒ Crown Castle International Corp. (CCI) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Individual ⇒ DREYFUS TREASURY SEC CASH MGMT ADMIN [BA]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Ecolab Inc. (ECL) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ Home Depot, Inc. (HD) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ IHS MARKIT LTD NOTE CALL MAKE WHOLE [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 05/01/24; Percentage Yield: 3.625%					
Neuberger Berman - Individual ⇒ Johnson & Johnson (JNJ) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ JP Morgan Chase & Co. (JPM) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ Microsoft Corporation (MSFT) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ NextEra Energy, Inc. (NEE) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ Novartis AG (NVS) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Individual ⇒ PROSHARES TR SHORT S&P 500 NE [EF]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Individual ⇒ SPDR GOLD TR GOLD SHS [EF]	SP	\$1,001 - \$15,000	None		<input checked="" 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 - Individual ⇒ STARWOOD PROPERTY TRUST, INC. Starwood	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Property Trust Inc. (STWD) [ST]					
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ Waste Connections, Inc. Common Shares (WCN) [ST]	SP	\$1,001 - \$15,000	None	<input checked="" type="checkbox"/>	
Neuberger Berman - Individual ⇒ Zoetis Inc. Class A (ZTS) [ST]	SP	\$1,001 - \$15,000	None	<input type="checkbox"/>	
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Roth IRA ⇒ American Tower Corporation (AMT) [ST]	SP	\$1 - \$1,000	Tax-Deferred	<input type="checkbox"/>	
Neuberger Berman - Roth IRA ⇒ Dreyfus Treas. Prime Cash Management INV & SHS [BA]	SP	\$1 - \$1,000	Tax-Deferred	<input type="checkbox"/>	
Neuberger Berman - Roth IRA ⇒ SPDR S&P 500 ETF TRUST UNIT SER 1 S&P [EF]	SP	\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>	
Neuberger Berman - Traditional IRA ⇒ ACTIVISION BLIZZARD INC NOTE [CS]	SP	\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>	
DESCRIPTION: Interest rate is 2.6%, maturity date is 6/15/2022					
Neuberger Berman - Traditional IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>	
DESCRIPTION: Partial sell in 2019.					
Neuberger Berman - Traditional IRA ⇒ Alphabet Inc. - Class C Capital Stock (GOOG) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>	
Neuberger Berman - Traditional IRA ⇒ Amazon.com, Inc. (AMZN) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>	
Neuberger Berman - Traditional IRA ⇒ American Express Co Note [CS]	SP	\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>	
DESCRIPTION: Maturation Date: 03/27/23; Percentage Yield: 3.7%					
Neuberger Berman - Traditional IRA ⇒ American Tower Corporation (AMT) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>	
Neuberger Berman - Traditional IRA ⇒ Americold Realty Trust Common Shares (COLD) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>	
Neuberger Berman - Traditional IRA ⇒ Apple Inc. (AAPL) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>	

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Traditional IRA ⇒ Ares Cap Corp Note Call Make Whole [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Maturation Date: 01/15/20; Percentage Yield: 3.875%					
Neuberger Berman - Traditional IRA ⇒ Ball Corp Note Call Make Whole [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Maturation Date: 12/15/20; Percentage Yield: 4.375%					
Neuberger Berman - Traditional IRA ⇒ BANK AMER CORP MTN [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Interest rate is 4%, maturity date is 1/22/2025					
Neuberger Berman - Traditional IRA ⇒ Berkshire Hathaway Inc. (BRK.A) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Black Knight, Inc. (BKI) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ BlackRock, Inc. (BLK) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Boeing Company (BA) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Boston Scientific Corporation (BSX) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Brookfield Infrastructure Partners LP Limited Partnership Units (BIP) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ CBS OUTDOOR AMERS CAP LLC [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Maturity date is 2/15/2024, interest rate is 5.625%					
Neuberger Berman - Traditional IRA ⇒ CDW LLC/CDW FIN CORP [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Maturity date is 12/1/2024, interest rate is 5.5%					
Neuberger Berman - Traditional IRA ⇒ Celgene Corp Note Call Make Whole [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Maturation Date: 02/19/21; Percentage Yield: 2.875%					
Neuberger Berman - Traditional IRA ⇒	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
<b>CHARTER COMMUNICATIONS OPER [CS]</b>					
DESCRIPTION: Maturity date is 2/1/2024, interest rate is 4.5%					
Neuberger Berman - Traditional IRA ⇒ Cisco Systems, Inc. (CSCO) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ CIT Group Inc Note Call Make Whole [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Maturation Date: 08/01/23; Percentage Yield: 5%					
Neuberger Berman - Traditional IRA ⇒ Crown Castle International [CS]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Maturation Date: 4/15/22; Percentage Yield: 4.875%					
Neuberger Berman - Traditional IRA ⇒ CVS Health Corp Note Call Make Whole [CS]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Maturation Date: 07/20/20; Percentage Yield: 2.8%					
Neuberger Berman - Traditional IRA ⇒ Dreyfus Treas. Prime Cash Management INV & SHS [BA]	SP	\$100,001 - \$250,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Ecolab Inc. (ECL) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ ELANCO ANIMAL HEALTH INC NOTE [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 8/28/23; Percentage Yield: 4.272%					
Neuberger Berman - Traditional IRA ⇒ Facebook, Inc. - Class A (FB) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ HCA, Inc. [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Maturation: 2/15/20 Yield: 6.5%					
Neuberger Berman - Traditional IRA ⇒ Home Depot, Inc. (HD) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Reported with a 12/31/18 purchase date, but held in portfolio in 2019.					
Neuberger Berman - Traditional IRA ⇒ IHS MARKIT LTD NOTE CALL MAKE WHOLE [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Maturity date is 5/1/2024, interest rate is 3.625%					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Traditional IRA ⇒ Intercontinental Exchange Inc. (ICE) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ IRON MTN INC NOTE CALL MAKE WHOLE [CS]  DESCRIPTION: Maturation Date: 8/15/23; Percentage Yield: 6%	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Johnson & Johnson (JNJ) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ JP Morgan Chase & Co. (JPM) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Lennar Corp Note Call Make Whole [BA]  DESCRIPTION: Maturation Date: 04/01/21; Percentage Yield: 4.75%	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Mastercard Incorporated (MA) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Microsoft Corporation (MSFT) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ NETFLIX INC NOTE CALL MAKE WHOLE [CS]  DESCRIPTION: Interest rate is 5.5%, maturity date is 2/15/2022	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Nielsen Fin LLC [CS]  DESCRIPTION: Maturation Date: 10/1/2020 ; Percentage Yield: 4.5%	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Novartis AG (NVS) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Outfront Media Inc. Ser B Note 5.625%; Due 2/15/2024 [CS]  DESCRIPTION: Corporate Bond	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ PROSHARES TR SHORT S&P 500 NE [EF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sempra Energy (SRE) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Traditional IRA ⇒ Service Corporation International (SCI) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>	
Neuberger Berman - Traditional IRA ⇒ SPDR GOLD TR GOLD SHS [EF]	SP	\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>	
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>	
Neuberger Berman - Traditional IRA ⇒ UnitedHealth Group Inc Note [CS]	SP	\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>	
DESCRIPTION: Maturation Date: 07/15/20; Percentage Yield: 2.7%					
Neuberger Berman - Traditional IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>	
Neuberger Berman - Traditional IRA ⇒ Virgin Galactic Holdings, Inc. (SPCE) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>	
Neuberger Berman - Traditional IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>	
Neuberger Berman - Traditional IRA ⇒ Waste Connections, Inc. Common Shares (WCN) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>	
Neuberger Berman - Traditional IRA ⇒ Wells Fargo CO [CS]	SP	\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>	
DESCRIPTION: Maturation: 2/13/23; Yield: 3.45%					
Neuberger Berman - Traditional IRA ⇒ Zimmer Biomet Hldgs Inc. Note [CS]	SP	\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>	
DESCRIPTION: Maturation Date: 03/19/21; Percentage Yield: 2.65250%					
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"/>	

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income</b>	<b>Tx. &gt; \$1,000?</b>
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\* 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

<b>Asset</b>	<b>Owner</b>	<b>Date</b>	<b>Tx. Type</b>	<b>Amount</b>	<b>Cap. Gains &gt; \$200?</b>
Neuberger Berman - Bonds ⇒ Ares Cap Corp Note Call Make Whole [CS]	SP	11/8/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 01/15/20; Percentage Yield: 3.875% Called 11/8/19					
Neuberger Berman - Bonds ⇒ AT&T [CS]	SP	10/8/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: 2.8% interest, maturity date 2/17/21					
Neuberger Berman - Bonds ⇒ Bank Amer Corp Bond [CS]	SP	01/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: New TH Addition					
Neuberger Berman - Bonds ⇒ Citigroup Inc Note [CS]	SP	06/7/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 06/7/19; Percentage Yield: 2.05% Called 6/7/19					
Neuberger Berman - Bonds ⇒ CRS Outdoor Amers Cap LLC [CS]	SP	07/8/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 02/15/22; Percentage Yield: 5.25% Called 7/8/19					
Neuberger Berman - Bonds ⇒ Elanco Animal Health [CS]	SP	10/8/2019	P	\$1,001 - \$15,000	
DESCRIPTION: 4.272% interest, maturity date is 8/28/23					
Neuberger Berman - Bonds ⇒ General Mls Inc [CS]	SP	06/19/2019	P	\$1,001 - \$15,000	
DESCRIPTION: Maturity date is 4/16/2021, interest rate is 3.2%					
Neuberger Berman - Beneficiary IRA ⇒ Activision Blizzard, Inc (ATVI) [ST]	SP	02/28/2019	S	\$757.25	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	06/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: I still own some of this stock.					
Neuberger Berman - Beneficiary IRA ⇒ Alcon Inc. Ordinary Shares (ALC) [ST]	SP	04/15/2019	S	\$164.93	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Beneficiary IRA ⇒ Amazon.com, Inc. (AMZN) [ST]	SP	10/29/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Beneficiary IRA ⇒ Ares Capital Corporation - Closed End Fund (ARCC) [ST]	SP	08/27/2019	S (partial)	\$539.47	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Ares Capital Corporation - Closed End Fund (ARCC) [ST]	SP	08/28/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Ares Capital Corporation - Closed End Fund (ARCC) [ST]	SP	08/29/2019	S (partial)	\$56.18	<input type="checkbox"/>
DESCRIPTION: I still own three shares.					
Neuberger Berman - Beneficiary IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	02/15/2019	S (partial)	\$160.17	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	08/22/2019	S	\$725.59	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Berkshire Hathaway Inc. New (BRK.B) [ST]	SP	08/16/2019	S (partial)	\$997.95	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ BioMarin Pharmaceutical Inc. (BMRN) [ST]	SP	08/14/2019	S (partial)	\$217.10	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ BioMarin Pharmaceutical Inc. (BMRN) [ST]	SP	08/15/2019	S	\$506.27	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Black Knight, Inc. (BKI) [ST]	SP	03/1/2019	P	\$210.06	
Neuberger Berman - Beneficiary IRA ⇒ Black Knight, Inc. (BKI) [ST]	SP	03/4/2019	P	\$157.26	
Neuberger Berman - Beneficiary IRA ⇒ Black Knight, Inc. (BKI) [ST]	SP	03/5/2019	P	\$104.55	
Neuberger Berman - Beneficiary IRA ⇒ Black Knight, Inc. (BKI) [ST]	SP	05/1/2019	P	\$218.97	
Neuberger Berman - Beneficiary IRA ⇒ Black Knight, Inc. (BKI) [ST]	SP	05/2/2019	P	\$109.86	
DESCRIPTION: I bought some on 5/1/19					

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Beneficiary IRA ⇒ Black Knight, Inc. (BKI) [ST]  DESCRIPTION: I bought some on 5/1 and 5/2 also.	SP	05/3/2019	P	\$109.92	
Neuberger Berman - Beneficiary IRA ⇒ Boeing Company (BA) [ST]	SP	11/4/2019	P	\$701.19	
Neuberger Berman - Beneficiary IRA ⇒ Charter Communications, Inc. - Class A (CHTR) [ST]	SP	02/19/2019	S (partial)	\$700.12	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Charter Communications, Inc. - Class A (CHTR) [ST]	SP	02/20/2019	S	\$350.01	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Cigna Corporation (CI) [ST]	SP	02/4/2019	P	\$767.05	
Neuberger Berman - Beneficiary IRA ⇒ Cigna Corporation (CI) [ST]	SP	03/5/2019	S	\$681.76	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Cisco Systems, Inc. (CSCO) [ST]	SP	10/9/2019	P	\$328.23	
Neuberger Berman - Beneficiary IRA ⇒ CIT group inc [CS]  DESCRIPTION: Maturity date is 8/15/2022, interest rate is 5.0%	SP	04/5/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Beneficiary IRA ⇒ CVS Health Corp Note Call Make Whole [CS]  DESCRIPTION: Maturation Date: 03/09/20; Percentage Yield: 3.125% Called 8/15/19	SP	08/15/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Dover Corporation (DOV) [ST]	SP	02/13/2019	S	\$722.02	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Ecolab Inc. (ECL) [ST]	SP	10/29/2019	P	\$581.15	
Neuberger Berman - Beneficiary IRA ⇒ Ecolab Inc. (ECL) [ST]	SP	11/4/2019	P	\$572.16	
Neuberger Berman - Beneficiary IRA ⇒ Elanco Animal Health Incorporated (ELAN) [ST]  DESCRIPTION: My Eli Lilly shares became Elanco. It was an internal corporate action.	SP	03/6/2019	E	\$58.41	

<b>Asset</b>	<b>Owner</b>	<b>Date</b>	<b>Tx. Type</b>	<b>Amount</b>	<b>Cap. Gains &gt; \$200?</b>
Neuberger Berman - Beneficiary IRA ⇒ Elanco Animal Health Incorporated (ELAN) [ST]	SP	08/20/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Eli Lilly and Company (LLY) [ST]	SP	02/28/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Beneficiary IRA ⇒ Expedia Inc [CS]	SP	09/9/2019	P	\$1,001 - \$15,000	
DESCRIPTION: Interest rate is 4.5%, maturity date is 8/15/2024					
Neuberger Berman - Beneficiary IRA ⇒ Facebook, Inc. - Class A (FB) [ST]	SP	02/1/2019	P	\$833.47	
Neuberger Berman - Beneficiary IRA ⇒ Facebook, Inc. - Class A (FB) [ST]	SP	06/4/2019	S (partial)	\$165.29	<input type="checkbox"/>
DESCRIPTION: I still own some of this stock.					
Neuberger Berman - Beneficiary IRA ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	07/3/2019	P	\$378.24	
Neuberger Berman - Beneficiary IRA ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	07/5/2019	P	\$251.70	
Neuberger Berman - Beneficiary IRA ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	09/12/2019	P	\$534.75	
Neuberger Berman - Beneficiary IRA ⇒ Goldman Sachs Group, Inc. (GS) [ST]	SP	04/15/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ HCA Inc Not Call Make Whole [CS]	SP	07/5/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 02/15/20; Percentage Yield: 6.5% Called 7/5/19					
Neuberger Berman - Beneficiary IRA ⇒ IHS Markit Ltd [CS]	SP	11/14/2019	P	\$1,001 - \$15,000	
DESCRIPTION: Maturity date is 5/01/2024, interest rate is 3.625%					
Neuberger Berman - Beneficiary IRA ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST]	SP	03/27/2019	S (partial)	\$368.78	<input type="checkbox"/>
DESCRIPTION: The rest of this stock was sold on 3/28/19.					
Neuberger Berman - Beneficiary IRA ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST]	SP	03/28/2019	S	\$266.92	<input type="checkbox"/>
DESCRIPTION: It was all sold today.					

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Beneficiary IRA ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [ST]	SP	05/23/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Level 3 Fing inc Note Call Make Whole [CS]	SP	10/25/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 1/15/2021 ; Percentage Yield: 6.125% Called 10/25/20.					
Neuberger Berman - Beneficiary IRA ⇒ Microsoft Corporation (MSFT) [ST]	SP	02/14/2019	P	\$107.06	
Neuberger Berman - Beneficiary IRA ⇒ Netflix Inc [CS]	SP	07/8/2019	P	\$1,001 - \$15,000	
DESCRIPTION: Maturity date is 02/15/2022, interest rate is 5.50%					
Neuberger Berman - Beneficiary IRA ⇒ Novartis AG (NVS) [ST]	SP	02/15/2019	P	\$268.98	
Neuberger Berman - Beneficiary IRA ⇒ Nutanix, Inc. - Class A (NTNX) [ST]	SP	03/21/2019	P	\$378.74	
Neuberger Berman - Beneficiary IRA ⇒ Nutanix, Inc. - Class A (NTNX) [ST]	SP	05/29/2019	S	\$96.86	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Nutanix, Inc. - Class A (NTNX) [ST]	SP	05/28/2019	S (partial)	\$188.70	<input type="checkbox"/>
DESCRIPTION: The rest of this stock was sold the next day, 5/29/19.					
Neuberger Berman - Beneficiary IRA ⇒ Qiagen N.V. Common Shares (QGEN) [ST]	SP	09/12/2019	P	\$168.81	
Neuberger Berman - Beneficiary IRA ⇒ Qiagen N.V. Common Shares (QGEN) [ST]	SP	09/13/2019	P	\$135.55	
Neuberger Berman - Beneficiary IRA ⇒ Qiagen N.V. Common Shares (QGEN) [ST]	SP	10/8/2019	S	\$737.20	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Red Hat, Inc. (RHT) [ST]	SP	02/26/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sempra Energy (SRE) [ST]	SP	03/27/2019	S (partial)	\$250.41	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sempra Energy (SRE) [ST]	SP	03/27/2019	S (partial)	\$125.20	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Beneficiary IRA ⇒ Sempra Energy (SRE) [ST]	SP	03/27/2019	S (partial)	\$125.20	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sempra Energy (SRE) [ST]	SP	03/27/2019	S (partial)	\$250.40	<input type="checkbox"/>
DESCRIPTION: I still own some of this stock.					
Neuberger Berman - Beneficiary IRA ⇒ Sempra Energy (SRE) [ST]	SP	12/10/2019	S (partial)	\$587.26	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Service Corporation International (SCI) [ST]	SP	02/13/2019	S (partial)	\$224.01	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ SPDR Gold Trust (GLD) [ST]	SP	09/4/2019	P	\$584.56	
Neuberger Berman - Beneficiary IRA ⇒ SPDR Gold Trust (GLD) [ST]	SP	09/12/2019	P	\$424.33	
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	11/14/2019	P	\$71.29	
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	11/15/2019	P	\$117.67	
Neuberger Berman - Beneficiary IRA ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]	SP	03/5/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	02/25/2019	S (partial)	\$147.24	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	05/23/2019	S	\$152.74	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Vistra Energy Corp. (VST) [ST]	SP	03/12/2019	P	\$412.57	
Neuberger Berman - Beneficiary IRA ⇒ Vistra Energy Corp. (VST) [ST]	SP	03/13/2019	P	\$366.08	
DESCRIPTION: I bought some of this on 3/12/19 too.					
Neuberger Berman - Beneficiary IRA ⇒	SP	08/14/2019	S	\$428.62	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Vistra Energy Corp. (VST) [ST]				(partial)	
Neuberger Berman - Beneficiary IRA ⇒ Vistra Energy Corp. (VST) [ST]	SP	08/15/2019	S	\$247.93	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	08/9/2019	P	\$96.96	
Neuberger Berman - Beneficiary IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	08/12/2019	P	\$60.00	
Neuberger Berman - Beneficiary IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	08/13/2019	P	\$52.49	
Neuberger Berman - Beneficiary IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	08/14/2019	P	\$67.01	
Neuberger Berman - Beneficiary IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	08/15/2019	P	\$22.04	
Neuberger Berman - Beneficiary IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	09/30/2019	P	\$52.05	
Neuberger Berman - Beneficiary IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	10/1/2019	P	\$84.68	
Neuberger Berman - Beneficiary IRA ⇒ Waste Connections, Inc. Common Shares (WCN) [ST]	SP	12/10/2019	P	\$455.71	
Neuberger Berman - Beneficiary IRA ⇒ Waste Connections, Inc. Common Shares (WCN) [ST]	SP	12/11/2019	P	\$543.71	
Neuberger Berman - Beneficiary IRA ⇒ Weyerhaeuser Company (WY) [ST]	SP	04/16/2019	P	\$321.80	
Neuberger Berman - Beneficiary IRA ⇒ Weyerhaeuser Company (WY) [ST]	SP	04/17/2019	P	\$633.47	
Neuberger Berman - Beneficiary IRA ⇒ Weyerhaeuser Company (WY) [ST]	SP	05/22/2019	S (partial)	\$510.72	<input type="checkbox"/>
DESCRIPTION: I still own some of this stock.					
Neuberger Berman - Beneficiary IRA ⇒ Weyerhaeuser Company (WY) [ST]	SP	05/23/2019	S	\$317.81	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Individual ⇒ Activision Blizzard Inc [CS]	SP	05/23/2019	P	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Interest rate is 2.6%, maturity date is 6/15/2022					
Neuberger Berman - Individual ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	06/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: I still own some of this stock.					
Neuberger Berman - Individual ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	10/2/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ Alcon Inc. Ordinary Shares (ALC) [ST]	SP	04/15/2019	S	\$494.80	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Alphabet Inc. - Class C Capital Stock (GOOG) [ST]	SP	06/3/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: I still own some of this stock.					
Neuberger Berman - Individual ⇒ Amazon.com, Inc. (AMZN) [ST]	SP	10/31/2019	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Ares Cap Corp [CS]	SP	05/21/2019	P	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Interest rate is 3.625%, maturity date is 1/19/2022					
Neuberger Berman - Individual ⇒ Ares Cap Corp [CS]	SP	11/6/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Maturity date is 1/15/2020, interest rate is 3.875%					
Neuberger Berman - Individual ⇒ Bank America Corp [CS]	SP	06/12/2019	P	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Maturity date is 10/01/2021, interest rate is 2.328%					
Neuberger Berman - Individual ⇒ Bank of America [CS]	SP	01/24/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Interest is 5.125%, matures 12/31/2049					
Neuberger Berman - Individual ⇒ Berkshire Hathaway Inc. New (BRK.B) [ST]	SP	06/6/2019	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Black Knight, Inc. (BKI) [ST]	SP	03/1/2019	P	\$525.16	<input type="checkbox"/>

<b>Asset</b>	<b>Owner</b>	<b>Date</b>	<b>Tx. Type</b>	<b>Amount</b>	<b>Cap. Gains &gt; \$200?</b>
Neuberger Berman - Individual ⇒ Black Knight, Inc. (BKI) [ST]	SP	03/4/2019	P	\$524.19	
Neuberger Berman - Individual ⇒ Black Knight, Inc. (BKI) [ST]	SP	03/5/2019	P	\$261.37	
Neuberger Berman - Individual ⇒ Black Knight, Inc. (BKI) [ST]	SP	05/1/2019	P	\$821.14	
Neuberger Berman - Individual ⇒ Black Knight, Inc. (BKI) [ST]	SP	05/2/2019	P	\$274.66	
DESCRIPTION: I bought some on 5/1/19 also.					
Neuberger Berman - Individual ⇒ Black Knight, Inc. (BKI) [ST]	SP	05/3/2019	P	\$274.80	
DESCRIPTION: I bought some on 5/1 and 5/2 also.					
Neuberger Berman - Individual ⇒ Boeing Company (BA) [ST]	SP	11/4/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ CBS Outdoor Amers Cap [CS]	SP	07/3/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Maturity date 2/15/2022, 5.25%					
Neuberger Berman - Individual ⇒ Charter Communications [CS]	SP	07/3/2019	P	\$1,001 - \$15,000	
DESCRIPTION: Maturity date 2/1/2024, interest is 4.5%					
Neuberger Berman - Individual ⇒ Charter Communications [CS]	SP	07/31/2019	P	\$1,001 - \$15,000	
DESCRIPTION: Maturity date is 2/1/2024, interest rate is 4.5%					
Neuberger Berman - Individual ⇒ Cigna Corporation (CI) [ST]	SP	03/5/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Cigna Corporation (CI) [ST]	SP	03/7/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Full sell on 3/7/19.					
Neuberger Berman - Individual ⇒ Cinemark [CS]	SP	03/27/2019	P	\$1,001 - \$15,000	
DESCRIPTION: Maturity date is 12/15/2022, interest rate is 5.125%					
Neuberger Berman - Individual ⇒	SP	08/21/2019	P	\$1,001 - \$15,000	

<b>Asset</b>	<b>Owner</b>	<b>Date</b>	<b>Tx. Type</b>	<b>Amount</b>	<b>Cap. Gains &gt; \$200?</b>
Cisco Systems, Inc. (CSCO) [ST]					
Neuberger Berman - Individual ⇒ Citigroup Inc [CS]	SP	05/17/2019	P	\$1,001 - \$15,000	
DESCRIPTION: Maturity date is 7/30/2022, interest rate is 4.05%					
Neuberger Berman - Individual ⇒ Citigroup Inc [CS]	SP	05/17/2019	P	\$1,001 - \$15,000	
DESCRIPTION: Interest rate is 4.050%, maturity date is 7/30/2022					
Neuberger Berman - Individual ⇒ Easterly Government Properties, Inc. (DEA) [ST]	SP	03/1/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Ecolab Inc. (ECL) [ST]	SP	10/29/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Ecolab Inc. (ECL) [ST]	SP	11/4/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Equinix Inc [CS]	SP	11/6/2019	P	\$1,001 - \$15,000	
DESCRIPTION: Maturity date is 11/18/2024, interest rate is 2.625%					
Neuberger Berman - Individual ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	07/3/2019	P	\$756.48	
Neuberger Berman - Individual ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	07/5/2019	P	\$503.40	
Neuberger Berman - Individual ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	09/13/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Home Depot, Inc. (HD) [ST]	SP	03/25/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ IHS Markit Ltd [CS]	SP	05/17/2019	P	\$1,001 - \$15,000	
DESCRIPTION: Interest rate is 3.625%, maturity date is 5/1/2024					
Neuberger Berman - Individual ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST]	SP	03/27/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST]	SP	03/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>

<b>Asset</b>	<b>Owner</b>	<b>Date</b>	<b>Tx. Type</b>	<b>Amount</b>	<b>Cap. Gains &gt; \$200?</b>
DESCRIPTION: The other part of this was sold on 3/27/19.					
Neuberger Berman - Individual ⇒ INS Markit [CS]	SP	05/17/2019	P	\$1,001 - \$15,000	
DESCRIPTION: Maturity date is 5/1/2024, interest rate is 3.625%					
Neuberger Berman - Individual ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [ST]	SP	05/23/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Microsoft Corporation (MSFT) [ST]	SP	09/20/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Morgan Stanley [CS]	SP	01/29/2019	P	\$1,001 - \$15,000	
DESCRIPTION: Interest is 2.65%, maturity date is 1/27/2020					
Neuberger Berman - Individual ⇒ Novartis AG (NVS) [ST]	SP	02/15/2019	P	\$896.59	
Neuberger Berman - Individual ⇒ ProShares Short S&P500 (SH) [ST]	SP	10/2/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Qiagen N.V. Common Shares (QGEN) [ST]	SP	09/13/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Qiagen N.V. Common Shares (QGEN) [ST]	SP	10/8/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Sempra Energy (SRE) [ST]	SP	10/31/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ SPDR Gold Trust (GLD) [ST]	SP	09/4/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ SPDR Gold Trust (GLD) [ST]	SP	09/13/2019	P	\$848.91	
Neuberger Berman - Individual ⇒ SPDR S&P 500 (SPY) [ST]	SP	09/13/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ SPDR S&P 500 (SPY) [ST]	SP	09/16/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒	SP	09/20/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

<b>Asset</b>	<b>Owner</b>	<b>Date</b>	<b>Tx. Type</b>	<b>Amount</b>	<b>Cap. Gains &gt; \$200?</b>
SPDR S&P 500 (SPY) [ST]				(partial)	
DESCRIPTION: I believe that I still own 3 shares.					
Neuberger Berman - Individual ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]	SP	03/5/2019	S (partial)	\$478.27	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]	SP	04/16/2019	S	\$663.86	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	09/30/2019	P	\$889.99	
Neuberger Berman - Individual ⇒ Waste Connections, Inc. Common Shares (WCN) [ST]	SP	12/11/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Weyerhaeuser Company (WY) [ST]	SP	04/11/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Weyerhaeuser Company (WY) [ST]	SP	05/21/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: The rest of this stock was sold 5/22/2019					
Neuberger Berman - Roth IRA ⇒ SPDR S&P 500 (SPY) [ST]	SP	06/20/2019	P	\$295.26	
Neuberger Berman - Traditional IRA ⇒ Activision Blizzard Inc [CS]	SP	05/23/2019	P	\$15,001 - \$50,000	
DESCRIPTION: Interest rate is 2.6%, maturity date is 6/15/2022					
Neuberger Berman - Traditional IRA ⇒ Activision Blizzard, Inc (ATVI) [ST]	SP	02/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	06/4/2019	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: I still own some of this stock.					
Neuberger Berman - Traditional IRA ⇒ Alcon Inc. Ordinary Shares (ALC) [ST]	SP	04/15/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Alphabet Inc. - Class C Capital Stock (GOOG) [ST]	SP	06/3/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: I still own some of this stock.					

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Amazon.com, Inc. (AMZN) [ST]	SP	10/31/2019	P	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Amazon.com, Inc. (AMZN) [ST]	SP	11/19/2019	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Americold Realty Trust Common Shares (COLD) [ST]	SP	12/11/2019	P	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	02/15/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	08/22/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Bank Amer Corp Mtn [CS]	SP	05/21/2019	P	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: Interest rate is 4.0%, maturity date is 1/22/2025					
Neuberger Berman - Traditional IRA ⇒ Bank of America [CS]	SP	01/24/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: Interest rate is 5.125%, maturity date is 6/17/19					
Neuberger Berman - Traditional IRA ⇒ Berkshire Hathaway Inc. New (BRK.B) [ST]	SP	08/16/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ BioMarin Pharmaceutical Inc. (BMRN) [ST]	SP	08/14/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ BioMarin Pharmaceutical Inc. (BMRN) [ST]	SP	08/15/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Black Knight, Inc. (BKI) [ST]	SP	03/1/2019	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Black Knight, Inc. (BKI) [ST]	SP	03/4/2019	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Black Knight, Inc. (BKI) [ST]	SP	03/5/2019	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Black Knight, Inc. (BKI) [ST]	SP	05/1/2019	P	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Black Knight, Inc. (BKI) [ST]	SP	05/2/2019	P	\$1,001 - \$15,000	
DESCRIPTION: I also bought some on 5/1/19.					
Neuberger Berman - Traditional IRA ⇒ Black Knight, Inc. (BKI) [ST]	SP	05/3/2019	P	\$1,001 - \$15,000	
DESCRIPTION: I also bought some on 5/1 and 5/2.					
Neuberger Berman - Traditional IRA ⇒ Boeing Company (BA) [ST]	SP	11/4/2019	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ CBS Outdoor Amers [CS]	SP	05/31/2019	P	\$15,001 - \$50,000	
DESCRIPTION: Maturity date is 2/15/2024, interest rate is 5.625%					
Neuberger Berman - Traditional IRA ⇒ CDW LLC/CDW FIN [CS]	SP	08/5/2019	P	\$15,001 - \$50,000	
DESCRIPTION: Maturity date is 9/1/2023, interest rate is 5.0%					
Neuberger Berman - Traditional IRA ⇒ CDW LLC/CDW FIN [CS]	SP	10/24/2019	P	\$15,001 - \$50,000	
DESCRIPTION: 5.5% interest, maturity date is 12/01/2024					
Neuberger Berman - Traditional IRA ⇒ Charter Communications [CS]	SP	07/31/2019	P	\$15,001 - \$50,000	
DESCRIPTION: Maturity date is 2/1/2024, interest rate is 4.5%					
Neuberger Berman - Traditional IRA ⇒ Charter Communications, Inc. - Class A (CHTR) [ST]	SP	02/19/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Charter Communications, Inc. - Class A (CHTR) [ST]	SP	02/20/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Cigna Corporation (CI) [ST]	SP	02/4/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Cigna Corporation (CI) [ST]	SP	03/5/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Cisco Systems, Inc. (CSCO) [ST]	SP	10/9/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Dover Corporation (DOV) [ST]	SP	02/13/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Ecolab Inc. (ECL) [ST]	SP	10/29/2019	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Ecolab Inc. (ECL) [ST]	SP	11/4/2019	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Elanco Animal Health Inc [CS]	SP	11/1/2019	P	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: Maturity date is 8/28/2023, interest rate is 4.272%					
Neuberger Berman - Traditional IRA ⇒ Elanco Animal Health Incorporated (ELAN) [ST]	SP	03/6/2019	E	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: My Eli Lilly became Elanco. It was an internal corporate action.					
Neuberger Berman - Traditional IRA ⇒ Elanco Animal Health Incorporated (ELAN) [ST]	SP	08/20/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Eli Lilly and Company (LLY) [ST]	SP	02/28/2019	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Facebook, Inc. - Class A (FB) [ST]	SP	06/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: I still own some of this stock.					
Neuberger Berman - Traditional IRA ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	07/3/2019	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	07/5/2019	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	09/12/2019	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Fidelity Natl Information Svcs [CS]	SP	12/3/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 08/15/21; Percentage Yield: 2.25%					
Neuberger Berman - Traditional IRA ⇒ Goldman Sachs Group, Inc. (GS) [ST]	SP	04/15/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ IHS Markit Ltd [CS]	SP	05/23/2019	P	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: Interest rate is 3.429%, maturity date is 4/1/2024					

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST]	SP	03/27/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: The rest was sold on 3/28/19.					
Neuberger Berman - Traditional IRA ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST]	SP	03/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Intercontinental Exchange Inc. (ICE) [ST]	SP	04/15/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [ST]	SP	05/23/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Limited Brands, Inc. [CS]	SP	06/20/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: Maturation: 4/1/21; Yield 6.625%					
Neuberger Berman - Traditional IRA ⇒ Microsoft Corporation (MSFT) [ST]	SP	02/14/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Netflix Inc [CS]	SP	07/12/2019	P	\$15,001 - \$50,000	
DESCRIPTION: Maturity date is 02/15/2022, interest rate is 5.50%					
Neuberger Berman - Traditional IRA ⇒ Novartis AG (NVS) [ST]	SP	02/15/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Nutanix, Inc. - Class A (NTNX) [ST]	SP	03/21/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Nutanix, Inc. - Class A (NTNX) [ST]	SP	05/29/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Some of this stock was also sold on 5/28. Settlement date for that one was 5/30.					
Neuberger Berman - Traditional IRA ⇒ Nutanix, Inc. - Class A (NTNX) [ST]	SP	05/28/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: I sold the rest of this stock the next day, 5/29/19.					
Neuberger Berman - Traditional IRA ⇒ Outfront Media Inc. Ser B Note 5.625%; Due 2/15/2024 [CS]	SP	05/31/2019	P	\$15,001 - \$50,000	
DESCRIPTION: Corporate Bond					
Neuberger Berman - Traditional IRA ⇒	SP	12/13/2019	P	\$15,001 - \$50,000	

<b>Asset</b>	<b>Owner</b>	<b>Date</b>	<b>Tx. Type</b>	<b>Amount</b>	<b>Cap. Gains &gt; \$200?</b>
ProShares Short S&P500 (SH) [ST]					
Neuberger Berman - Traditional IRA ⇒ Qiagen N.V. Common Shares (QGEN) [ST]	SP	09/12/2019	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Qiagen N.V. Common Shares (QGEN) [ST]	SP	09/13/2019	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Qiagen N.V. Common Shares (QGEN) [ST]	SP	10/8/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Red Hat, Inc. (RHT) [ST]	SP	06/3/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sempra Energy (SRE) [ST]	SP	03/27/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sempra Energy (SRE) [ST]	SP	03/27/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sempra Energy (SRE) [ST]	SP	03/27/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sempra Energy (SRE) [ST]	SP	03/27/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Service Corporation International (SCI) [ST]	SP	02/13/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ SPDR Gold Trust (GLD) [ST]	SP	09/4/2019	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ SPDR Gold Trust (GLD) [ST]	SP	09/12/2019	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	11/14/2019	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	11/15/2019	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]	SP	03/5/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	02/25/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	05/23/2019	S (partial)	\$458.23	<input type="checkbox"/>
DESCRIPTION: I sold some of this stock later the same day.					
Neuberger Berman - Traditional IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	05/23/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: I sold some of this stock earlier the same day.					
Neuberger Berman - Traditional IRA ⇒ Verizon [CS]	SP	03/29/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: This was a Call of Bond, interest rate 3.0%, maturity date 11/1/21					
Neuberger Berman - Traditional IRA ⇒ Vistra Energy Corp. (VST) [ST]	SP	03/12/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Vistra Energy Corp. (VST) [ST]	SP	03/13/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Vistra Energy Corp. (VST) [ST]	SP	08/14/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Vistra Energy Corp. (VST) [ST]	SP	08/15/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	08/9/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	08/12/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	08/13/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	08/14/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	08/15/2019	P	\$367.41	
Neuberger Berman - Traditional IRA ⇒	SP	09/30/2019	P	\$1,001 - \$15,000	

<b>Asset</b>	<b>Owner</b>	<b>Date</b>	<b>Tx. Type</b>	<b>Amount</b>	<b>Cap. Gains &gt; \$200?</b>
Vivint Solar, Inc. (VSLR) [ST]					
Neuberger Berman - Traditional IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	10/1/2019	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Waste Connections, Inc. Common Shares (WCN) [ST]	SP	12/10/2019	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Waste Connections, Inc. Common Shares (WCN) [ST]	SP	12/11/2019	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Weyerhaeuser Company (WY) [ST]	SP	04/16/2019	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Weyerhaeuser Company (WY) [ST]	SP	04/17/2019	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Weyerhaeuser Company (WY) [ST]	SP	05/22/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: I still own some of this stock.					
Neuberger Berman - Traditional IRA ⇒ Weyerhaeuser Company (WY) [ST]	SP	05/23/2019	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

<b>Source</b>	<b>Type</b>	<b>Amount</b>
California Public Retirement System	University Pension	\$53,420.00
American General	Required Minimum Distribution from 403(b) Account	\$986.00
Savings Plus 457 (AON Hewitt BPS)	Required Minimum Distribution from 457 Account	\$3,273.00
Savings Plus 401(k) (AON Hewitt BPS)	Required Minimum Distribution from 401(k) Account	\$6,629.00
Allianz 403(b)	Required Minimum Distribution from 403(b)	\$19,125.00
Southern California Permanente Medical Group	Spouse Salary	N/A
Mid-Atlantic Permanente Medical Group	Spouse Salary	N/A

## SCHEDULE D: LIABILITIES

<b>Owner</b>	<b>Creditor</b>	<b>Date Incurred</b>	<b>Type</b>	<b>Amount of Liability</b>
JT	Chase Mortgage	June 2005	Mortgage on personal residence	\$250,001 - \$500,000

## SCHEDULE E: POSITIONS

None disclosed.

## SCHEDULE F: AGREEMENTS

<b>Date</b>	<b>Parties To</b>	<b>Terms of Agreement</b>
December 2012	Filer and State of California Savings Plus Program - 457(b) Plan	Defined contribution plan that provides service retirement benefits.
December 2012	Filer and State of California Savings Plus Program - 401 (k) Plan	Defined contribution plan that provides service retirement benefits.
December 1998	California Public Retirement System	Defined benefit plan that provides service retirement benefits.

## SCHEDULE G: GIFTS

None disclosed.

## SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

<b>Source</b>	<b>Trip Details</b>				<b>Inclusions</b>		
	<b>Start Date</b>	<b>End Date</b>	<b>Itinerary</b>	<b>Days at Own Exp.</b>	<b>Lodging?</b>	<b>Food?</b>	<b>Family?</b>
J Street Education Fund	02/15/2019	02/22/2019	Washington, DC - Tel Aviv, Israel - Washington, DC	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Aspen Institute, Inc. (Congressional Program)	03/15/2019	03/17/2019	Washington, DC - San Diego, CA - N/A	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
The Humpty Dumpty Institute; Antwerp Chamber of Commerce	04/4/2019	04/8/2019	Washington, DC - Antwerp, Belgium - Washington, DC	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Bipartisan Policy Center	05/10/2019	05/12/2019	Washington, DC - New Orleans, LA - Galliano, LA - Fort Fourchon, LA - Washington, DC	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Chinese People's Institute of Foreign Affairs (CPIFA)	08/19/2019	08/28/2019	Washington, DC - Beijing, China - Hong Kong - Chengdu, China	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Trip Details					Inclusions		
Source	Start Date	End Date	Itinerary	Days at Own Exp.	Lodging?	Food?	Family?
- Washington, DC							

## 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)
- JP Morgan Chase - Individual (Owner: SP)  
LOCATION: US
- Neuberger Berman - Bonds (Owner: SP)  
LOCATION: US
- Neuberger Berman - Beneficiary IRA (Owner: SP)
- Neuberger Berman - Individual (Owner: SP)  
LOCATION: US
- 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 , 06/21/2021