



Filing ID #10040113

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

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

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2020  
**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	<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.					
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	Interest	\$1,001 - \$2,500	<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	None	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Fully matured in 2020. Maturation Date: 12/15/20; Percentage Yield: 4.375%					
Neuberger Berman - Bonds ⇒ Booking Holdings Inc. Note [CS]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: Previously reported as Priceline Grp Inc Note Call Make Whole. Maturation Date: 03/15/23; Percentage Yield: 2.75%					
Neuberger Berman - Bonds ⇒ CHARTER COMMUNICATIONS OPER [CS]	SP	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 02/01/24; Percentage Yield: 4.5%					
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	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 08/28/23; Percentage Yield: 5.272%; previously listed as 4.272%					
Neuberger Berman - Bonds ⇒ EQUINIX INC NOTE CALL MAKE WHOLE [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input 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 ⇒ Expedia Group Inc. 4.5%; Due 8/15/2024 [CS]	SP	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Corporate Bond					
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	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 04/16/21; Percentage Yield: 3.2%					
Neuberger Berman - Bonds ⇒ Global Payments Inc. Note 2.625%; Due 2/15/2025 [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Corporate Bond					
Neuberger Berman - Bonds ⇒ Interpublic Group Cos Inc Note [CS]	SP	None	Capital Gains, Interest	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 10/01/20; Percentage Yield: 3.5%					
Neuberger Berman - Bonds ⇒ Mondelez Intl Inc. Note 2.125%; Due 4/13/2023 [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Corporate Bond					
Neuberger Berman - Bonds ⇒ MORGAN STANLEY NOTE [CS]	SP	\$1,001 - \$15,000	Capital Gains, Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Fully matured. Maturation Date: 01/27/20; Percentage Yield: 2.65%					
Neuberger Berman - Bonds ⇒ Netflix Inc. Note 5.5%; Due 2/15/2022 [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Corporate Bond					
Neuberger Berman - Bonds ⇒ Nielsen Fin LLC/Nielsen Fin [CS]	SP	None	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Fully Matured. Maturation Date: 10/01/20; Percentage Yield: 4.5%					
Neuberger Berman - Bonds ⇒ Sherwin Williams Co Note 3.45%; Due 8/1/2025 [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Corporate Bond					
Neuberger Berman - Bonds ⇒ VERIZON COMMUNICATIONS INC [CS]	SP	None	Capital Gains, Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 3/16/22; Percentage Yield: 3.125%					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Bonds ⇒ <b>WELLS FARGO CO MTN BE [CS]</b>	SP	None	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Fully matured. Maturation Date: 1/30/20; Percentage Yield: 2.15%					
Neuberger Berman - Beneficiary IRA ⇒ <b>Alphabet Inc. - Class C Capital Stock (GOOG) [ST]</b>	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ <b>Amazon.com, Inc. (AMZN) [ST]</b>	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ <b>American Tower Corporation (AMT) [ST]</b>	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ <b>Americold Realty Trust Common Shares (COLD) [ST]</b>	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ <b>Apple Inc. (AAPL) [ST]</b>	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ <b>BlackRock, Inc. (BLK) [ST]</b>	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ <b>CIT GROUP INC NOTE CALL MAKE WHOLE [CS]</b>	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Maturation Date: 08/15/22; Percentage Yield: 5%					
Neuberger Berman - Beneficiary IRA ⇒ <b>Crown Castle International Corp. (CCI) [ST]</b>	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017. Appreciated over \$1,000 in 2020					
Neuberger Berman - Beneficiary IRA ⇒ <b>DraftKings Inc. - Class A (DKNG) [ST]</b>	SP	\$1 - \$1,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ <b>DREYUS TREASURY SEC MGMT ADMIN (DARXX) [BA]</b>	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ <b>EXPEDIA GROUP INC NOTE CALL MAKE WHOLE [CS]</b>	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Maturation Date: 08/15/24; Percentage Yield: 4.5%					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Beneficiary IRA ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ General Motors Company (GM) [ST]	SP	\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Home Depot, Inc. (HD) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Appreciated over \$1,000					
Neuberger Berman - Beneficiary IRA ⇒ IHS MARKIT LTD NOTE CALL MAKE WHOLE [CS]	SP	\$1,001 - \$15,000	Tax-Deferred		<input 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 ⇒ iShares Russell 2000 Value (IWN) [EF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
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 - \$1,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: No reportable transaction. This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Kratos Defense & Security Solutions, Inc. (KTOS) [ST]	SP	\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Purchase was less than \$1,000					
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 ⇒ Medtronic plc. Ordinary Shares (MDT) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
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 ⇒	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
<b>NETFLIX INC NOTE CALL MAKE WHOLE [CS]</b>					
DESCRIPTION: Maturation Date: 12/15/22; Percentage Yield: 5.5%					
Neuberger Berman - Beneficiary IRA ⇒ NextEra Energy, Inc. (NEE) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Salesforce.com Inc (CRM) [ST]	SP	\$1 - \$1,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Service Corporation International (SCI) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ SPDR GOLD TR GOLD SHS (GLD) [EF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: 12/31/20 value less than \$1,000					
Neuberger Berman - Beneficiary IRA ⇒ The Blackstone Group Inc. (BX) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ TJX Companies, Inc. (TJX) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ T-Mobile US, Inc. (TMUS) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Uber Technologies, Inc. (UBER) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Virgin Galactic Holdings, Inc. (SPCE) [ST]	SP	\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Waste Connections, Inc. Common Shares (WCN) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Appreciated over \$1,000					
Neuberger Berman - Beneficiary IRA ⇒ Zimmer Biomet Hldgs Inc Note [CS]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 03/19/21; Percentage Yield: 2.6525%					
Neuberger Berman - Individual ⇒ ACTIVISION BLIZZARD INC NOTE 2 [CS]	SP	None	Capital Gains, Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: Maturation Date: 06/15/22; Percentage Yield: 2.6%					
Neuberger Berman - Individual ⇒ Alphabet Inc. - Class C Capital Stock (GOOG) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ Amazon.com, Inc. (AMZN) [ST]	SP	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ Americold Realty Trust Common Shares (COLD) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ ARES CAP CORP NOTE CALL MAKE WHOLE [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 01/19/22; Percentage Yield: 3.625%					
Neuberger Berman - Individual ⇒ BANK AMER CORP MTN CALL MAKE WHOLE [CS]	SP	None	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Called Bond; Maturation Date: 10/01/21; Percentage Yield: 2.328%					
Neuberger Berman - Individual ⇒ Black Knight, Inc. (BKI) [ST]	SP	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ BlackRock, Inc. (BLK) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ Brookfield Infrastructure Partners LP Limited Partnership Units (BIP) [ST]	SP	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	<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	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 02/01/24; Percentage Yield: 4.5%					
Neuberger Berman - Individual ⇒ CITIGROUP INC NOTE [CS]	SP	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input 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	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ DREYFUS TREASURY SEC CASH MGMT ADMIN [BA]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Individual ⇒ Elanco Animal Health Inc. 5.272%; Due 8/28/2023 [CS]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Corporate Bond					
Neuberger Berman - Individual ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Individual ⇒ General Motors Company (GM) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ Home Depot, Inc. (HD) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input 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 ⇒ iShares Russell 2000 Value (IWN) [EF]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ Johnson & Johnson (JNJ) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	<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	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ Kratos Defense & Security Solutions, Inc. (KTOS) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ Medtronic plc. Ordinary Shares (MDT) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ Microsoft Corporation (MSFT) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Individual ⇒ NextEra Energy, Inc. (NEE) [ST]	SP	\$1,001 - \$15,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ Novartis AG (NVS) [ST]	SP	None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Individual ⇒ Salesforce.com Inc (CRM) [ST]	SP	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ SPDR GOLD TR GOLD SHS (GLD) [EF]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Sunrun Inc. (RUN) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ The Blackstone Group Inc. (BX) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ TJX Companies, Inc. (TJX) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Uber Technologies, Inc. (UBER) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
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	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" 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 (SPY) [EF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Alphabet Inc. - Class C Capital Stock (GOOG) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" 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: 08/3/2023; Percentage Yield: 3.7% Previously reported Maturation Date as 03/27/23					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
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 ⇒ Amphenol Corp Note 3.2%; Due 4/1/2024 [CS]  DESCRIPTION: Corporate Bond	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 checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Ares Capital Corp Note 3.5%; Due 2/10/2023 [CS]  DESCRIPTION: Corporate Bond	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ BANK AMER CORP MTN [CS]  DESCRIPTION: Interest rate is 4%, maturity date is 1/22/2025	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ BlackRock, Inc. (BLK) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Brookfield Infrastructure Partners LP Class A Subordinate Voting Shares (BIPC) [ST]  DESCRIPTION: Brookfield Infrastructure Partners LP Class A (BIPC) shares received in exchange for Brookfield Infrastructure Partners LP (BIP).	SP	\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ CDW LLC/CDW FIN CORP [CS]  DESCRIPTION: Maturity date is 12/1/2024, interest rate is 5.5%	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Celgene Corp Note Call Make Whole [CS]  DESCRIPTION: Maturation Date: 02/19/21; Percentage Yield: 2.875%	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ CHARTER COMMUNICATIONS OPER [CS]  DESCRIPTION: Maturity date is 2/1/2024, interest rate is 4.5%	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ CIT Group Inc Note Call Make Whole [CS]  DESCRIPTION: Maturation Date: 08/01/23; Percentage Yield: 5%	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 ⇒ Crown Castle International Corp. 1.35%; Due 7/15/2025 [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Corporate Bond					
Neuberger Berman - Traditional IRA ⇒ DraftKings Inc. - Class A (DKNG) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
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 ⇒ 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: 5.272% Previously listed Percentage Yield as 4.272%					
Neuberger Berman - Traditional IRA ⇒ Equinix Inc. Note 5.375%; Due 5/15/2027 [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Corporate Bond					
Neuberger Berman - Traditional IRA ⇒ Facebook, Inc. - Class A (FB) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Previously held					
Neuberger Berman - Traditional IRA ⇒ General Motors Company (GM) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Global Payments Inc. Note 2.625%; Due 2/15/2025 [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Corporate Bond					
Neuberger Berman - Traditional IRA ⇒ Home Depot, Inc. (HD) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ IHS MARKIT LTD NOTE CALL MAKE WHOLE [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Maturity date is 5/1/2024, interest rate is 3.625%					
Neuberger Berman - Traditional IRA ⇒ Intercontinental Exchange Inc. (ICE) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ iShares Russell 2000 Value (IWN) [EF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
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 checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Kratos Defense & Security Solutions, Inc. (KTOS) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Lennar Corp Note Call 4.5%; Due 4/30/2024 [CS]  DESCRIPTION: Corporate Bond	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Mastercard Incorporated (MA) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Medtronic plc. Ordinary Shares (MDT) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Microsoft Corporation (MSFT) [ST]	SP	\$50,001 - \$100,000	Tax-Deferred		<input 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 ⇒ NextEra Energy, Inc. (NEE) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Oracle Corp Note 2.625%; Due 2/15/2023 [CS]  DESCRIPTION: Corporate Bond	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: Previously held	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Paypal Holdings Inc. Note 2.4%; Due 10/01/2024 [CS]  DESCRIPTION: Corporate Bond	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Salesforce.com Inc (CRM) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" 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 (GLD) [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 ⇒ The Blackstone Group Inc. (BX) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ TJX Companies, Inc. (TJX) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ T-Mobile US, Inc. (TMUS) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Uber Technologies, Inc. (UBER) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" 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 ⇒ 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 checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 03/19/21; Percentage Yield: 2.65250%					
Neuberger Berman - Traditional IRA ⇒ Zoetis Inc. Note 3.25%; Due 2/1/2023 [CS]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Corporate Bond					
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"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
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"/>
Weber Asset Management- Beneficiary IRA, Mutual Funds SP ⇒ Fidelity Blue Chip Growth (FBGRX) [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Inherited IRA					
Weber Asset Management- Beneficiary IRA, Mutual Funds SP ⇒ Fidelity Contrafund (FCNTX) [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Inherited IRA					
Weber Asset Management- Beneficiary IRA, Mutual Funds SP ⇒ Fidelity Large Cap Value Enhanced Index (FLGEX) [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Inherited IRA					
Weber Asset Management- Beneficiary IRA, Mutual Funds SP ⇒ Fidelity Low Priced Stock (FLPSX) [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Inherited IRA					
Weber Asset Management- Beneficiary IRA, Mutual Funds SP ⇒ Fidelity Select Communication Services (FBMPX) [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Inherited IRA					
Weber Asset Management- Beneficiary IRA, Mutual Funds SP ⇒ Fidelity Select Consumer Discretion (FSCPX) [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Inherited IRA					
Weber Asset Management- Beneficiary IRA, Mutual Funds SP ⇒ Fidelity Select Financial Services (FIDSX) [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Inherited IRA					
Weber Asset Management- Beneficiary IRA, Mutual Funds SP ⇒ Fidelity Select Healthcare (FSPHX) [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Inherited IRA					
Weber Asset Management- Beneficiary IRA, Mutual Funds SP	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
⇒ Fidelity Select Industrials (FCYIX) [MF]					
DESCRIPTION: Inherited IRA					
Weber Asset Management- Beneficiary IRA, Mutual Funds	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
⇒ Fidelity Select Technology (FSPTX) [MF]					
DESCRIPTION: Inherited IRA					

\* 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

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Bonds ⇒ Cinemark USA Inc [CS]	SP	05/15/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Maturity date is 12/15/2022, interest rate is 5.125%					
Neuberger Berman - Bonds ⇒ Interpublic Group [CS]	SP	07/21/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: Interest rate is 3.5%, maturity date is 10/01/2020.					
Neuberger Berman - Bonds ⇒ Interpublic Group Cos Inc [CS]	SP	07/23/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: interest rate is 3.5%, maturity date is 10/01/2020.					
Neuberger Berman - Bonds ⇒ Mondelez International [CS]	SP	04/7/2020	P	\$1,001 - \$15,000	
DESCRIPTION: Maturity date is 4/13/2023, interest is 2.125%					
Neuberger Berman - Bonds ⇒ Netflix Inc [CS]	SP	06/5/2020	P	\$1,001 - \$15,000	
DESCRIPTION: Interest rate is 5.5%, maturity date is 2/15/2022.					
Neuberger Berman - Bonds ⇒ Sherwin Williams Co [CS]	SP	06/10/2020	P	\$1,001 - \$15,000	
DESCRIPTION: Maturity date is 8/1/2025, interest rate is 3.45%					
Neuberger Berman - Beneficiary IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	03/9/2020	S	\$836.72	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Alibaba Group Holding Limited American Depository	SP	08/6/2020	P	\$791.84	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Shares each representing eight Ordinary share (BABA) [ST]					
Neuberger Berman - Beneficiary IRA ⇒ Alibaba Group Holding Limited American Depository Shares each representing eight Ordinary share (BABA) [ST]	SP	12/28/2020	S	\$669.27	<input type="checkbox"/>
Shares each representing eight Ordinary share (BABA) [ST]					
Neuberger Berman - Beneficiary IRA ⇒ Americold Realty Trust Common Shares (COLD) [ST]	SP	03/25/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Beneficiary IRA ⇒ Apple Inc. (AAPL) [ST]	SP	01/2/2020	S (partial)	\$894.97	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Apple Inc. (AAPL) [ST]	SP	09/3/2020	S (partial)	\$616.59	<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Berkshire Hathaway Inc. New (BRK.B) [ST]	SP	03/12/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Black Knight, Inc. (BKI) [ST]	SP	01/2/2020	S (partial)	\$255.71	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Black Knight, Inc. (BKI) [ST]	SP	01/3/2020	S (partial)	\$256.88	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Black Knight, Inc. (BKI) [ST]	SP	01/6/2020	S	\$576.04	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Boeing Company (BA) [ST]	SP	03/5/2020	S (partial)	\$525.99	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Boston Scientific Corporation (BSX) [ST]	SP	03/19/2020	S	\$460.82	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Boston Scientific Corporation (BSX) [ST]	SP	03/13/2020	S (partial)	\$614.21	<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Cisco Systems, Inc. (CSCO) [ST]	SP	02/19/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Diamond Eagle Acquisition Corp. - Unit (DEACU) [ST]	SP	01/21/2020	P	\$109.63	
Neuberger Berman - Beneficiary IRA ⇒ Diamond Eagle Acquisition Corp. - Unit (DEACU) [ST]	SP	01/17/2020	P	\$107.34	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Beneficiary IRA ⇒ Diamond Eagle Acquisition Corp. - Unit (DEACU) [ST]	SP	01/30/2020	P	\$43.47	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Diamond Eagle Acquisition Corp. - Unit (DEACU) [ST]	SP	01/31/2020	P	\$28.98	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Diamond Eagle Acquisition Corp. - Unit (DEACU) [ST]	SP	02/3/2020	P	\$57.88	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Diamond Eagle Acquisition Corp. - Unit (DEACU) [ST]	SP	04/16/2020	P	\$160.08	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Diamond Eagle Acquisition Corp. - Unit (DEACU) [ST]	SP	04/17/2020	P	\$33.59	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Diamond Eagle Acquisition Corp. - Unit (DEACU) [ST]	SP	04/20/2020	P	\$105.53	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ DraftKings Inc. - Class A (DKNG) [ST]	SP	04/21/2020	P	\$52.83	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ DraftKings Inc. - Class A (DKNG) [ST]	SP	05/18/2020	S (partial)	\$122.02	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ DraftKings Inc. - Class A (DKNG) [ST]	SP	05/18/2020	S (partial)	\$91.50	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ DraftKings Inc. - Class A (DKNG) [ST]	SP	05/20/2020	S (partial)	\$30.60	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ DraftKings Inc. - Class A (DKNG) [ST]	SP	05/20/2020	S (partial)	\$61.21	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ DraftKings Inc. - Class A (DKNG) [ST]	SP	05/26/2020	S (partial)	\$91.69	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ DraftKings Inc. - Class A (DKNG) [ST]	SP	05/26/2020	S (partial)	\$30.56	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ DraftKings Inc. - Class A (DKNG) [ST]	SP	06/3/2020	S (partial)	\$120.89	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒	SP	06/3/2020	S	\$80.59	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
DraftKings Inc. - Class A (DKNG) [ST]				(partial)	
Neuberger Berman - Beneficiary IRA ⇒ DraftKings Inc. - Class A (DKNG) [ST]	SP	06/3/2020	S (partial)	\$282.10	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ DraftKings Inc. - Class A (DKNG) [ST]	SP	06/29/2020	S (partial)	\$269.33	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Ecolab Inc. (ECL) [ST]	SP	03/23/2020	S	\$251.68	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Ecolab Inc. (ECL) [ST]	SP	07/31/2020	S	\$743.62	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Facebook, Inc. - Class A (FB) [ST]	SP	06/29/2020	S (partial)	\$422.75	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	10/23/2020	P	\$288.04	
Neuberger Berman - Beneficiary IRA ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	12/23/2020	S (partial)	\$268.96	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	12/23/2020	S (partial)	\$134.47	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ General Motors Company (GM) [ST]	SP	11/23/2020	P	\$715.05	
Neuberger Berman - Beneficiary IRA ⇒ Intercontinental Exchange Inc. (ICE) [ST]	SP	01/2/2020	S (partial)	\$555.70	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ iShares Russell 2000 Value ETF (IWN) [ST]	SP	11/9/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Beneficiary IRA ⇒ iShares Russell 2000 Value ETF (IWN) [ST]	SP	11/10/2020	P	\$712.70	
Neuberger Berman - Beneficiary IRA ⇒ JP Morgan Chase & Co. (JPM) [ST]	SP	04/9/2020	P	\$103.61	
Neuberger Berman - Beneficiary IRA ⇒ JP Morgan Chase & Co. (JPM) [ST]	SP	10/15/2020	S (partial)	\$913.23	<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 - Beneficiary IRA ⇒ Kratos Defense & Security Solutions, Inc. (KTOS) [ST]	SP	09/3/2020	P	\$116.94	
Neuberger Berman - Beneficiary IRA ⇒ Kratos Defense & Security Solutions, Inc. (KTOS) [ST]	SP	09/4/2020	P	\$96.16	
Neuberger Berman - Beneficiary IRA ⇒ Kratos Defense & Security Solutions, Inc. (KTOS) [ST]	SP	09/8/2020	P	\$154.22	
Neuberger Berman - Beneficiary IRA ⇒ Kratos Defense & Security Solutions, Inc. (KTOS) [ST]	SP	09/9/2020	P	\$58.54	
Neuberger Berman - Beneficiary IRA ⇒ Kratos Defense & Security Solutions, Inc. (KTOS) [ST]	SP	09/10/2020	P	\$97.82	
Neuberger Berman - Beneficiary IRA ⇒ Kratos Defense & Security Solutions, Inc. (KTOS) [ST]	SP	09/11/2020	P	\$39.10	
Neuberger Berman - Beneficiary IRA ⇒ Kratos Defense & Security Solutions, Inc. (KTOS) [ST]	SP	09/16/2020	P	\$22.07	
Neuberger Berman - Beneficiary IRA ⇒ Medtronic plc. Ordinary Shares (MDT) [ST]	SP	10/28/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Beneficiary IRA ⇒ NextEra Energy, Inc. (NEE) [ST]	SP	03/20/2020	P	\$820.31	
Neuberger Berman - Beneficiary IRA ⇒ NextEra Energy, Inc. (NEE) [ST]	SP	03/24/2020	P	\$405.32	
Neuberger Berman - Beneficiary IRA ⇒ Novartis AG (NVS) [ST]	SP	11/23/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ ProShares Short QQQ (PSQ) [ST]	SP	07/1/2020	P	\$415.67	
Neuberger Berman - Beneficiary IRA ⇒ ProShares Short QQQ (PSQ) [ST]	SP	07/9/2020	P	\$468.54	
Neuberger Berman - Beneficiary IRA ⇒ ProShares Short QQQ (PSQ) [ST]	SP	09/8/2020	P	\$608.12	
Neuberger Berman - Beneficiary IRA ⇒ ProShares Short QQQ (PSQ) [ST]	SP	11/9/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Beneficiary IRA ⇒ ProShares Short S&P500 (SH) [ST]	SP	01/17/2020	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ ProShares Short S&P500 (SH) [ST]	SP	02/27/2020	P	\$354.20	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ ProShares Short S&P500 (SH) [ST]	SP	03/10/2020	P	\$383.23	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ ProShares Short S&P500 (SH) [ST]	SP	04/13/2020	S (partial)	\$231.84	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ ProShares Short S&P500 (SH) [ST]	SP	04/17/2020	S (partial)	\$223.14	<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ ProShares Short S&P500 (SH) [ST]	SP	04/27/2020	S (partial)	\$73.57	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ ProShares Short S&P500 (SH) [ST]	SP	04/27/2020	S (partial)	\$122.63	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ ProShares Short S&P500 (SH) [ST]	SP	04/29/2020	S (partial)	\$264.47	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ ProShares Short S&P500 (SH) [ST]	SP	04/29/2020	S (partial)	\$264.46	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ ProShares Short S&P500 (SH) [ST]	SP	06/29/2020	P	\$843.79	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ ProShares Short S&P500 (SH) [ST]	SP	11/9/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Salesforce.com Inc (CRM) [ST]	SP	06/4/2020	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Salesforce.com Inc (CRM) [ST]	SP	08/24/2020	S (partial)	\$624.72	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sempra Energy (SRE) [ST]	SP	06/4/2020	S	\$644.37	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Beneficiary IRA ⇒ Service Corporation International (SCI) [ST]	SP	03/13/2020	S	\$47.11	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ SPDR Gold Trust (GLD) [ST]	SP	04/8/2020	P	\$465.75	
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	02/25/2020	S (partial)	\$84.48	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	02/26/2020	S (partial)	\$84.39	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	02/27/2020	S (partial)	\$104.25	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	03/17/2020	P	\$104.42	
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	03/18/2020	P	\$216.30	
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	03/19/2020	P	\$45.60	
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	06/18/2020	S (partial)	\$80.01	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	06/19/2020	S (partial)	\$121.25	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	06/19/2020	S (partial)	\$20.20	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	06/22/2020	S (partial)	\$20.01	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	06/23/2020	S (partial)	\$20.04	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	06/19/2020	S (partial)	\$121.25	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	06/19/2020	S (partial)	\$20.20	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	06/19/2020	S (partial)	\$80.83	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	06/19/2020	S (partial)	\$60.62	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/1/2020	S (partial)	\$20.00	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/1/2020	S (partial)	\$19.99	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	06/23/2020	S (partial)	\$20.04	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	06/23/2020	S (partial)	\$20.04	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/2/2020	S (partial)	\$80.94	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/1/2020	S (partial)	\$20.00	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/1/2020	S (partial)	\$19.99	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/1/2020	S (partial)	\$40.00	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	06/22/2020	S (partial)	\$20.01	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	06/22/2020	S (partial)	\$20.01	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/2/2020	S (partial)	\$80.94	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/2/2020	S (partial)	\$80.94	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒	SP	07/13/2020	S	\$348.03	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Sunrun Inc. (RUN) [ST]				(partial)	
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/13/2020	S (partial)	\$422.95	<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/13/2020	S (partial)	\$94.91	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/13/2020	S (partial)	\$63.28	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/13/2020	S (partial)	\$348.03	<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/13/2020	S (partial)	\$442.95	<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/13/2020	S (partial)	\$94.91	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/13/2020	S (partial)	\$63.28	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/13/2020	S (partial)	\$348.03	<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/13/2020	S (partial)	\$442.95	<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/13/2020	S (partial)	\$63.27	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/13/2020	S (partial)	\$94.91	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	08/25/2020	S (partial)	\$355.95	<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	08/26/2020	S (partial)	\$404.76	<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	08/26/2020	S (partial)	\$252.97	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	10/2/2020	S (partial)	\$80.02	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	10/7/2020	S (partial)	\$486.57	<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	10/7/2020	S (partial)	\$324.38	<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ The Blackstone Group Inc. Class A (BX) [ST]	SP	04/16/2020	P	\$474.72	
Neuberger Berman - Beneficiary IRA ⇒ The Blackstone Group Inc. Class A (BX) [ST]	SP	04/17/2020	P	\$146.65	
Neuberger Berman - Beneficiary IRA ⇒ The Blackstone Group Inc. Class A (BX) [ST]	SP	11/4/2020	P	\$610.44	
Neuberger Berman - Beneficiary IRA ⇒ TJX Companies, Inc. (TJX) [ST]	SP	05/26/2020	P	\$331.46	
Neuberger Berman - Beneficiary IRA ⇒ TJX Companies, Inc. (TJX) [ST]	SP	05/27/2020	P	\$390.10	
Neuberger Berman - Beneficiary IRA ⇒ TJX Companies, Inc. (TJX) [ST]	SP	08/24/2020	P	\$691.36	
Neuberger Berman - Beneficiary IRA ⇒ TJX Companies, Inc. (TJX) [ST]	SP	10/15/2020	S (partial)	\$344.01	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ T-Mobile US, Inc. (TMUS) [ST]	SP	02/13/2020	P	\$669.93	
Neuberger Berman - Beneficiary IRA ⇒ T-Mobile US, Inc. (TMUS) [ST]	SP	03/4/2020	P	\$369.93	
Neuberger Berman - Beneficiary IRA ⇒ T-Mobile US, Inc. (TMUS) [ST]	SP	04/9/2020	P	\$257.45	
Neuberger Berman - Beneficiary IRA ⇒ T-Mobile US, Inc. - Subscription Rights Expiring 7/27/2020 (TMUSR) [ST]	SP	07/17/2020	S	\$1.68	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒	SP	07/22/2020	P	\$456.50	

<b>Asset</b>	<b>Owner</b>	<b>Date</b>	<b>Tx. Type</b>	<b>Amount</b>	<b>Cap. Gains &gt; \$200?</b>
Uber Technologies, Inc. (UBER) [ST]					
Neuberger Berman - Beneficiary IRA ⇒ Uber Technologies, Inc. (UBER) [ST]	SP	08/26/2020	P	\$258.65	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	07/27/2020	P	\$168.20	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	07/28/2020	P	\$166.07	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	10/15/2020	S (partial)	\$192.66	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	10/16/2020	S (partial)	\$191.77	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	10/19/2020	S (partial)	\$192.29	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	10/20/2020	S	\$190.45	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Virgin Galactic Holdings, Inc. (SPCE) [ST]	SP	02/10/2020	S (partial)	\$184.55	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Virgin Galactic Holdings, Inc. (SPCE) [ST]	SP	02/18/2020	S (partial)	\$190.89	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Virgin Galactic Holdings, Inc. (SPCE) [ST]	SP	02/20/2020	S (partial)	\$160.94	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Virgin Galactic Holdings, Inc. (SPCE) [ST]	SP	03/6/2020	S (partial)	\$43.99	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Virgin Galactic Holdings, Inc. (SPCE) [ST]	SP	03/13/2020	S (partial)	\$117.79	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Virgin Galactic Holdings, Inc. (SPCE) [ST]	SP	06/3/2020	P	\$418.83	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	02/20/2020	S (partial)	\$768.29	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Beneficiary IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	03/16/2020	P	\$215.73	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	03/17/2020	P	\$102.71	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	06/18/2020	S (partial)	\$30.01	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	06/19/2020	S (partial)	\$60.78	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	06/22/2020	S (partial)	\$10.00	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	06/23/2020	S (partial)	\$20.30	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	07/7/2020	S (partial)	\$120.05	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	07/8/2020	S (partial)	\$628.71	<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Waste Connections, Inc. Common Shares (WCN) [ST]	SP	03/16/2020	P	\$163.76	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Zimmer Biomet Holdings [CS]	SP	12/31/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: This was a call of a bond. Maturity date is 3/19/21					
Neuberger Berman - Individual ⇒ Activision Blizzard Inc [CS]	SP	09/4/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: This bond was redeemed, maturity date is 6/15/2022, interest rate is 2.6%					
Neuberger Berman - Individual ⇒ Alibaba Group Holding Limited American Depository Shares each representing eight Ordinary share (BABA) [ST]	SP	11/30/2020	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Alibaba Group Holding Limited American Depository Shares each representing eight Ordinary share (BABA) [ST]	SP	12/24/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒	SP	03/4/2020	P	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Alphabet Inc. - Class C Capital Stock (GOOG) [ST]					
Neuberger Berman - Individual ⇒ Amazon.com, Inc. (AMZN) [ST]	SP	03/16/2020	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Amazon.com, Inc. (AMZN) [ST]	SP	09/3/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ Americold Realty Trust Common Shares (COLD) [ST]	SP	01/27/2020	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Americold Realty Trust Common Shares (COLD) [ST]	SP	03/24/2020	P	\$91.07	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Bank Amer Corp MTN Call Make Whole [CS]	SP	10/1/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Maturation Date:10/01/21; Percentage Yield: 2.328%					
Neuberger Berman - Individual ⇒ Berkshire Hathaway Inc. New (BRK.B) [ST]	SP	03/16/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Black Knight, Inc. (BKI) [ST]	SP	01/2/2020	S (partial)	\$767.14	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Black Knight, Inc. (BKI) [ST]	SP	01/3/2020	S (partial)	\$770.65	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Black Knight, Inc. (BKI) [ST]	SP	01/6/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ BlackRock, Inc. (BLK) [ST]	SP	05/15/2020	S (partial)	\$420.00	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Blackstone Mortgage Trust, Inc. (BXMT) [ST]	SP	04/9/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Blackstone Mortgage Trust, Inc. (BXMT) [ST]	SP	06/15/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Boeing Company (BA) [ST]	SP	01/22/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Brookfield Infrastructure Partners LP Class A Subordinate	SP	07/23/2020	S (partial)	\$423.87	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Voting Shares (BIPC) [ST]					
Neuberger Berman - Individual ⇒ Brookfield Infrastructure Partners LP Class A Subordinate Voting Shares (BIPC) [ST]	SP	07/24/2020	S (partial)	\$325.99	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Cisco Systems, Inc. (CSCO) [ST]	SP	02/21/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Ecolab Inc. (ECL) [ST]	SP	03/23/2020	S	\$629.20	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Ecolab Inc. (ECL) [ST]	SP	04/20/2020	S (partial)	\$348.94	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Ecolab Inc. (ECL) [ST]	SP	04/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Elanco Animal Health [CS]	SP	10/21/2020	P	\$1,001 - \$15,000	
DESCRIPTION: Maturity date is 08/28/2023, interest rate is 5.272%					
Neuberger Berman - Individual ⇒ Expedia Group Inc [CS]	SP	02/7/2020	P	\$1,001 - \$15,000	
DESCRIPTION: Maturity date is 8/15/24, interest rate is 4.5% COMMENTS: Sub holding of Neuberger Berman - Bonds (SP)					
Neuberger Berman - Individual ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	10/23/2020	P	\$288.04	
Neuberger Berman - Individual ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	12/23/2020	S (partial)	\$268.95	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ General Motors Company (GM) [ST]	SP	11/23/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Global Pmts Inc [CS]	SP	02/11/2020	P	\$1,001 - \$15,000	
DESCRIPTION: Maturity date is 2/15/2025, interest rate is 2.65% COMMENTS: Sub holding of Neuberger Berman - Bonds					
Neuberger Berman - Individual ⇒ iShares Russell 2000 Value ETF (IWN) [ST]	SP	11/9/2020	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>
Neuberger Berman - Individual ⇒ iShares Russell 2000 Value ETF (IWN) [ST]	SP	11/10/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Kratos Defense & Security Solutions, Inc. (KTOS) [ST]	SP	09/17/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Medtronic plc. Ordinary Shares (MDT) [ST]	SP	10/28/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ NextEra Energy, Inc. (NEE) [ST]	SP	07/21/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ Novartis AG (NVS) [ST]	SP	11/23/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ ProShares Short QQQ (PSQ) [ST]	SP	06/29/2020	P	\$888.01	
Neuberger Berman - Individual ⇒ ProShares Short QQQ (PSQ) [ST]	SP	07/9/2020	P	\$955.10	
Neuberger Berman - Individual ⇒ ProShares Short QQQ (PSQ) [ST]	SP	09/8/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ ProShares Short QQQ (PSQ) [ST]	SP	11/9/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ ProShares Short S&P500 (SH) [ST]	SP	01/16/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ ProShares Short S&P500 (SH) [ST]	SP	02/21/2020	P	\$975.51	
Neuberger Berman - Individual ⇒ ProShares Short S&P500 (SH) [ST]	SP	02/27/2020	P	\$480.70	
Neuberger Berman - Individual ⇒ ProShares Short S&P500 (SH) [ST]	SP	03/10/2020	P	\$848.58	
Neuberger Berman - Individual ⇒ ProShares Short S&P500 (SH) [ST]	SP	04/13/2020	S (partial)	\$592.47	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ ProShares Short S&P500 (SH) [ST]	SP	04/17/2020	S (partial)	\$570.26	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Individual ⇒ ProShares Short S&P500 (SH) [ST]	SP	04/27/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ ProShares Short S&P500 (SH) [ST]	SP	04/29/2020	S (partial)	\$721.28	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ ProShares Short S&P500 (SH) [ST]	SP	04/29/2020	S (partial)	\$24.03	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ ProShares Short S&P500 (SH) [ST]	SP	04/29/2020	S (partial)	\$456.80	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ ProShares Short S&P500 (SH) [ST]	SP	06/29/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ ProShares Short S&P500 (SH) [ST]	SP	11/9/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Salesforce.com Inc (CRM) [ST]	SP	06/4/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Salesforce.com Inc (CRM) [ST]	SP	08/24/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ STARWOOD PROPERTY TRUST, INC. Starwood Property Trust Inc. (STWD) [ST]	SP	06/15/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Sunrun Inc. (RUN) [ST]	SP	10/13/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Sunrun Inc. (RUN) [ST]	SP	11/12/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ The Blackstone Group Inc. Class A (BX) [ST]	SP	04/16/2020	P	\$996.91	
Neuberger Berman - Individual ⇒ The Blackstone Group Inc. Class A (BX) [ST]	SP	04/17/2020	P	\$342.19	
Neuberger Berman - Individual ⇒ The Blackstone Group Inc. Class A (BX) [ST]	SP	11/4/2020	P	\$998.90	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Individual ⇒ TJX Companies, Inc. (TJX) [ST]	SP	05/26/2020	P	\$718.16	
Neuberger Berman - Individual ⇒ TJX Companies, Inc. (TJX) [ST]	SP	05/27/2020	P	\$835.94	
Neuberger Berman - Individual ⇒ Uber Technologies, Inc. (UBER) [ST]	SP	07/24/2020	P	\$905.44	
Neuberger Berman - Individual ⇒ Uber Technologies, Inc. (UBER) [ST]	SP	08/26/2020	P	\$420.30	
Neuberger Berman - Individual ⇒ Verizon Comm Bond [CS]	SP	06/29/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: Interest rate is 3.125%, maturity date is 3/16/2022 COMMENTS: Sub holding of Neuberger Berman - Bonds					
Neuberger Berman - Individual ⇒ Waste Connections, Inc. Common Shares (WCN) [ST]	SP	03/16/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Zoetis Inc. Class A (ZTS) [ST]	SP	07/21/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Activision Blizzard Inc [CS]	SP	09/4/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
DESCRIPTION: This bond was redeemed. Maturity date is 6/15/2022, interest rate is 2.6%					
Neuberger Berman - Traditional IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	03/9/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Alibaba Group Holding Limited American Depository Shares each representing eight Ordinary share (BABA) [ST]	SP	08/6/2020	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Alibaba Group Holding Limited American Depository Shares each representing eight Ordinary share (BABA) [ST]	SP	12/28/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Alphabet Inc. - Class C Capital Stock (GOOG) [ST]	SP	03/4/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Amazon.com, Inc. (AMZN) [ST]	SP	03/16/2020	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>
Neuberger Berman - Traditional IRA ⇒ Amazon.com, Inc. (AMZN) [ST]	SP	07/10/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Amazon.com, Inc. (AMZN) [ST]	SP	09/3/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Americold Realty Trust Common Shares (COLD) [ST]	SP	03/24/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Amphenol Corp [CS]	SP	12/22/2020	P	\$15,001 - \$50,000	
DESCRIPTION: 3.2% interest, maturity date is 4/1/24.					
Neuberger Berman - Traditional IRA ⇒ Apple Inc. (AAPL) [ST]	SP	01/2/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Apple Inc. (AAPL) [ST]	SP	09/3/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Ares Cap Corp [CS]	SP	01/9/2020	P	\$15,001 - \$50,000	
DESCRIPTION: Maturity date is 2/10/23, interest is 3.50%					
Neuberger Berman - Traditional IRA ⇒ Ares Cap Corp [CS]	SP	01/10/2020	P	\$1,001 - \$15,000	
DESCRIPTION: Maturity date is 2/10/23, interest is 3.50%					
Neuberger Berman - Traditional IRA ⇒ Berkshire Hathaway Inc. New (BRK.B) [ST]	SP	03/12/2020	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Berkshire Hathaway Inc. New (BRK.B) [ST]	SP	03/12/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Black Knight, Inc. (BKI) [ST]	SP	01/2/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Black Knight, Inc. (BKI) [ST]	SP	01/3/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Black Knight, Inc. (BKI) [ST]	SP	01/6/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ BlackRock, Inc. (BLK) [ST]	SP	09/2/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Boeing Company (BA) [ST]	SP	03/5/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Boston Scientific Corporation (BSX) [ST]	SP	03/11/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Boston Scientific Corporation (BSX) [ST]	SP	03/19/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Brookfield Infrastructure Partners LP Class A Subordinate Voting Shares (BIPC) [ST]	SP	04/3/2020	E	\$15,001 - \$50,000	
DESCRIPTION: I exchanged Brookfield Partnership earlier this day for this stock.					
Neuberger Berman - Traditional IRA ⇒ Brookfield Infrastructure Partners LP Limited Partnership Units (BIP) [ST]	SP	04/3/2020	E	\$15,001 - \$50,000	
DESCRIPTION: I got Brookfield Infrastructure Corp that same day. It was an exchange.					
Neuberger Berman - Traditional IRA ⇒ CBS OUTDOOR AMERS CAP LLC [CS]	SP	07/31/2020	S	\$15,001 - \$50,000	<input 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	12/2/2020	P	\$1,001 - \$15,000	
DESCRIPTION: Maturity date is 12/01/2024, interest rate is 5.50%					
Neuberger Berman - Traditional IRA ⇒ Cisco Systems, Inc. (CSCO) [ST]	SP	02/19/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Crown Castle [CS]	SP	07/6/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Redeemed, interest rate was 4.875%, maturity date is 4/15/2022					
Neuberger Berman - Traditional IRA ⇒ Crown Castle Intl Corp [CS]	SP	06/4/2020	P	\$15,001 - \$50,000	
DESCRIPTION: Maturity date is 7/15/2025, interest rate is 1.353%					
Neuberger Berman - Traditional IRA ⇒ CVS [CS]	SP	07/20/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: Redeemed, interest rate was 2.8%, maturity date is 7/20/2020.					
Neuberger Berman - Traditional IRA ⇒ Diamond Eagle Acquisition Corp. - Unit (DEACU) [ST]	SP	01/21/2020	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Diamond Eagle Acquisition Corp. - Unit (DEACU) [ST]	SP	01/17/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Diamond Eagle Acquisition Corp. - Unit (DEACU) [ST]	SP	01/30/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Diamond Eagle Acquisition Corp. - Unit (DEACU) [ST]	SP	01/31/2020	P	\$724.41	
Neuberger Berman - Traditional IRA ⇒ Diamond Eagle Acquisition Corp. - Unit (DEACU) [ST]	SP	02/3/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Diamond Eagle Acquisition Corp. - Unit (DEACU) [ST]	SP	04/16/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Diamond Eagle Acquisition Corp. - Unit (DEACU) [ST]	SP	04/17/2020	P	\$839.68	
Neuberger Berman - Traditional IRA ⇒ Diamond Eagle Acquisition Corp. - Unit (DEACU) [ST]	SP	04/20/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Diamond Eagle Acquisition Corp. - Unit (DEACU) [ST]	SP	04/21/2020	P	\$880.48	
Neuberger Berman - Traditional IRA ⇒ DraftKings Inc. - Class A (DKNG) [ST]	SP	05/18/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ DraftKings Inc. - Class A (DKNG) [ST]	SP	05/18/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ DraftKings Inc. - Class A (DKNG) [ST]	SP	05/20/2020	S (partial)	\$612.16	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ DraftKings Inc. - Class A (DKNG) [ST]	SP	05/20/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ DraftKings Inc. - Class A (DKNG) [ST]	SP	05/26/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ DraftKings Inc. - Class A (DKNG) [ST]	SP	05/26/2020	S (partial)	\$916.99	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒	SP	06/3/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
DraftKings Inc. - Class A (DKNG) [ST]				(partial)	
Neuberger Berman - Traditional IRA ⇒ DraftKings Inc. - Class A (DKNG) [ST]	SP	06/3/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ DraftKings Inc. - Class A (DKNG) [ST]	SP	06/29/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ DraftKings Inc. - Class A (DKNG) [ST]	SP	01/21/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ DraftKings Inc. - Class A (DKNG) [ST]	SP	02/3/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Ecolab Inc. (ECL) [ST]	SP	03/23/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Ecolab Inc. (ECL) [ST]	SP	07/31/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Elanco Animal Health [CS]	SP	11/20/2020	P	\$1,001 - \$15,000	
DESCRIPTION: Maturity date is 8/28/2023, interest rate is 5.272%					
Neuberger Berman - Traditional IRA ⇒ Equinix Inc [CS]	SP	12/8/2020	P	\$15,001 - \$50,000	
DESCRIPTION: Maturity date 5/15/2027, interest rate is 5.375%.					
Neuberger Berman - Traditional IRA ⇒ Facebook, Inc. - Class A (FB) [ST]	SP	06/29/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	10/23/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	12/23/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: I sold some of this stock later the same day.					
Neuberger Berman - Traditional IRA ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	12/23/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ General Motors Company (GM) [ST]	SP	11/23/2020	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>
Neuberger Berman - Traditional IRA ⇒ Global Payments Inc [CS]	SP	02/28/2020	P	\$15,001 - \$50,000	
DESCRIPTION: 2.65% interest, maturity date is 2/15/2025					
Neuberger Berman - Traditional IRA ⇒ Global Pmts Inc [CS]	SP	11/23/2020	P	\$1,001 - \$15,000	
DESCRIPTION: Maturity date is 2/15/2025, interest rate is 2.65%.					
Neuberger Berman - Traditional IRA ⇒ Intercontinental Exchange Inc. (ICE) [ST]	SP	01/2/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Iron Mountain Bond [CS]	SP	06/29/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: Interest rate is 6.00%, maturity date is 8/15/2023					
Neuberger Berman - Traditional IRA ⇒ iShares Russell 2000 Value ETF (IWN) [ST]	SP	11/9/2020	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ iShares Russell 2000 Value ETF (IWN) [ST]	SP	11/10/2020	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ JP Morgan Chase & Co. (JPM) [ST]	SP	04/9/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ JP Morgan Chase & Co. (JPM) [ST]	SP	10/15/2020	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Kratos Defense & Security Solutions, Inc. (KTOS) [ST]	SP	09/3/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Kratos Defense & Security Solutions, Inc. (KTOS) [ST]	SP	09/4/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Kratos Defense & Security Solutions, Inc. (KTOS) [ST]	SP	09/8/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Kratos Defense & Security Solutions, Inc. (KTOS) [ST]	SP	09/9/2020	P	\$975.70	
Neuberger Berman - Traditional IRA ⇒ Kratos Defense & Security Solutions, Inc. (KTOS) [ST]	SP	09/10/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Kratos Defense & Security Solutions, Inc. (KTOS) [ST]	SP	09/11/2020	P	\$977.42	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Kratos Defense & Security Solutions, Inc. (KTOS) [ST]	SP	09/16/2020	P	\$551.67	
Neuberger Berman - Traditional IRA ⇒ Lennar Corp [CS]  DESCRIPTION: Maturity date 4/30/2024, interest rate 4.50%.	SP	12/7/2020	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Lennar Corp Note Call Make Whole [CS]  DESCRIPTION: Maturation Date: 04/01/21; Percentage Yield: 4.75%	SP	11/24/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Medtronic plc. Ordinary Shares (MDT) [ST]	SP	10/28/2020	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ NextEra Energy, Inc. (NEE) [ST]	SP	03/20/2020	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ NextEra Energy, Inc. (NEE) [ST]	SP	03/24/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Novartis AG (NVS) [ST]	SP	11/23/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Oracle Corp [CS]  DESCRIPTION: 2.625% interest, maturity date is 2/15/2023	SP	02/27/2020	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Paypal Holdings Inc [CS]  DESCRIPTION: 2.40% interest, maturity date is 10/1/2024	SP	02/27/2020	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ ProShares Short QQQ (PSQ) [ST]	SP	07/1/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ ProShares Short QQQ (PSQ) [ST]	SP	07/9/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ ProShares Short QQQ (PSQ) [ST]	SP	09/8/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ ProShares Short QQQ (PSQ) [ST]	SP	11/9/2020	S	\$15,001 - \$50,000	<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>
Neuberger Berman - Traditional IRA ⇒ ProShares Short S&P500 (SH) [ST]	SP	01/16/2020	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ ProShares Short S&P500 (SH) [ST]	SP	02/27/2020	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ ProShares Short S&P500 (SH) [ST]	SP	03/10/2020	P	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ ProShares Short S&P500 (SH) [ST]	SP	04/13/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ ProShares Short S&P500 (SH) [ST]	SP	04/17/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ ProShares Short S&P500 (SH) [ST]	SP	04/27/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ ProShares Short S&P500 (SH) [ST]	SP	04/27/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ ProShares Short S&P500 (SH) [ST]	SP	04/29/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ ProShares Short S&P500 (SH) [ST]	SP	04/29/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ ProShares Short S&P500 (SH) [ST]	SP	06/29/2020	P	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ ProShares Short S&P500 (SH) [ST]	SP	11/9/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Salesforce.com Inc (CRM) [ST]	SP	06/4/2020	P	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Salesforce.com Inc (CRM) [ST]	SP	08/24/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sempra Energy (SRE) [ST]	SP	06/4/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Service Corporation International (SCI) [ST]	SP	03/13/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ SPDR Gold Trust (GLD) [ST]	SP	04/8/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	02/25/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	02/26/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	02/27/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	03/17/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	03/18/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	03/19/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	06/18/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	06/19/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	06/19/2020	S (partial)	\$505.24	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	06/22/2020	S (partial)	\$500.45	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	06/23/2020	S (partial)	\$501.24	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	06/19/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	06/19/2020	S (partial)	\$505.24	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒	SP	06/19/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Sunrun Inc. (RUN) [ST]				(partial)	
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	06/19/2020	S (partial)	\$505.24	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/1/2020	S (partial)	\$1,000.22	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	06/23/2020	S (partial)	\$501.24	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	06/23/2020	S (partial)	\$501.24	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/2/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/2/2020	S (partial)	\$505.91	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/1/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/1/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	06/22/2020	S (partial)	\$500.45	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	06/22/2020	S (partial)	\$500.45	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/2/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/2/2020	S (partial)	\$505.91	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/2/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/13/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/13/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/13/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/13/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/13/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/13/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/13/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/13/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/13/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/13/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/13/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	07/13/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	08/25/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	08/26/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	08/26/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	10/2/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	10/6/2020	S (partial)	\$800.43	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	10/7/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	10/7/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ The Blackstone Group Inc. Class A (BX) [ST]	SP	04/16/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ The Blackstone Group Inc. Class A (BX) [ST]	SP	04/17/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ The Blackstone Group Inc. Class A (BX) [ST]	SP	11/4/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ TJX Companies, Inc. (TJX) [ST]	SP	05/26/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ TJX Companies, Inc. (TJX) [ST]	SP	05/27/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ TJX Companies, Inc. (TJX) [ST]	SP	08/24/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ TJX Companies, Inc. (TJX) [ST]	SP	10/15/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ T-Mobile US, Inc. (TMUS) [ST]	SP	02/11/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ T-Mobile US, Inc. (TMUS) [ST]	SP	03/4/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ T-Mobile US, Inc. (TMUS) [ST]	SP	04/9/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ T-Mobile US, Inc. - Subscription Rights Expiring 7/27/2020 (TMUSR) [ST]	SP	07/17/2020	S	\$35.08	<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 - Traditional IRA ⇒ Uber Technologies, Inc. (UBER) [ST]	SP	07/22/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Uber Technologies, Inc. (UBER) [ST]	SP	08/26/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ United Health [CS]	SP	07/15/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: Redeemed, interest rate was 2.7%, maturity date is 7/15/2020.					
Neuberger Berman - Traditional IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	07/27/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	07/28/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	10/15/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	10/16/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	10/19/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	10/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Virgin Galactic Holdings, Inc. (SPCE) [ST]	SP	02/10/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Virgin Galactic Holdings, Inc. (SPCE) [ST]	SP	02/18/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Virgin Galactic Holdings, Inc. (SPCE) [ST]	SP	02/20/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Virgin Galactic Holdings, Inc. (SPCE) [ST]	SP	03/6/2020	S (partial)	\$879.89	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Virgin Galactic Holdings, Inc. (SPCE) [ST]	SP	03/11/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒	SP	06/3/2020	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Virgin Galactic Holdings, Inc. (SPCE) [ST]					
Neuberger Berman - Traditional IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	02/20/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	03/16/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	03/17/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	06/18/2020	S (partial)	\$750.54	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	06/19/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	06/22/2020	S (partial)	\$500.31	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	06/23/2020	S (partial)	\$253.89	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	07/7/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	07/8/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Waste Connections, Inc. Common Shares (WCN) [ST]	SP	03/16/2020	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Zimmer Biomet Holdings [CS]	SP	12/31/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: This was a partial call of a bond.					
Neuberger Berman - Traditional IRA ⇒ Zoetis Inc [CS]	SP	02/27/2020	P	\$15,001 - \$50,000	
DESCRIPTION: 3.25% interest, maturity date is 2/1/2023					
Weber Asset Management- Beneficiary IRA, Mutual Funds ⇒ Fidelity Blue Chip Growth [OT]	SP	04/18/2020	E	\$1,001 - \$15,000	
LOCATION: US					

<b>Asset</b>	<b>Owner</b>	<b>Date</b>	<b>Tx. Type</b>	<b>Amount</b>	<b>Cap. Gains &gt; \$200?</b>
DESCRIPTION: My father passed away, and I inherited this IRA.					
Weber Asset Management- Beneficiary IRA, Mutual Funds ⇒ Fidelity Contrafund [OT]	SP	04/18/2020	E	\$1,001 - \$15,000	
LOCATION: US					
DESCRIPTION: My father passed away, and I inherited this IRA.					
Weber Asset Management- Beneficiary IRA, Mutual Funds ⇒ Fidelity Focused Stock [OT]	SP	04/18/2020	E	\$1,001 - \$15,000	
LOCATION: US					
DESCRIPTION: My father passed away, and I inherited this IRA.					
Weber Asset Management- Beneficiary IRA, Mutual Funds ⇒ Fidelity Focused Stock (FTQGX) [MF]	SP	11/6/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Weber Asset Management- Beneficiary IRA, Mutual Funds ⇒ Fidelity Large Cap Value Enhanced Index [OT]					
LOCATION: US					
DESCRIPTION: My father passed away, and I inherited this IRA.					
Weber Asset Management- Beneficiary IRA, Mutual Funds ⇒ Fidelity Low Priced Stock (FLPSX) [MF]	SP	11/6/2020	P	\$15,001 - \$50,000	
Weber Asset Management- Beneficiary IRA, Mutual Funds ⇒ Fidelity Select Communication Services [OT]					
LOCATION: US					
DESCRIPTION: My father passed away, and I inherited this IRA.					
Weber Asset Management- Beneficiary IRA, Mutual Funds ⇒ Fidelity Select Consumer Discretion [OT]	SP	04/18/2020	E	\$1,001 - \$15,000	
LOCATION: US					
DESCRIPTION: My father passed away, and I inherited this IRA.					
Weber Asset Management- Beneficiary IRA, Mutual Funds ⇒ Fidelity Select Financial Services [OT]	SP	04/18/2020	E	\$1,001 - \$15,000	
LOCATION: US					
DESCRIPTION: My father passed away, and I inherited this IRA.					
Weber Asset Management- Beneficiary IRA, Mutual Funds	SP	06/11/2020	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>
⇒ Fidelity Select Financial Services [OT]					
LOCATION: US DESCRIPTION: Symbol FIDSX					
Weber Asset Management- Beneficiary IRA, Mutual Funds	SP	04/18/2020	E	\$1,001 - \$15,000	
⇒ Fidelity Select Health Care [OT]					
LOCATION: US DESCRIPTION: My father passed away, and I inherited this IRA.					
Weber Asset Management- Beneficiary IRA, Mutual Funds	SP	06/11/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
⇒ Fidelity Select Health Care [OT]					
LOCATION: US DESCRIPTION: Symbol FIDSX					
Weber Asset Management- Beneficiary IRA, Mutual Funds	SP	04/18/2020	E	\$1,001 - \$15,000	
⇒ Fidelity Select Industrials [OT]					
LOCATION: US DESCRIPTION: My father passed away, and I inherited this IRA.					
Weber Asset Management- Beneficiary IRA, Mutual Funds	SP	04/18/2020	E	\$1,001 - \$15,000	
⇒ Fidelity Select Technology [OT]					
LOCATION: US DESCRIPTION: My father passed away, and I inherited this IRA.					

\* 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	\$54,998.96
American General	Required Minimum Distribution from 403(b) Account	\$1,069.77
Savings Plus 457 (AON Hewitt BPS)	Required Minimum Distribution from 457 Account	\$3,875.06
Savings Plus 401(k) (AON Hewitt BPS)	Required Minimum Distribution from 401(k) Account	\$7,849.78
Allianz 403(b)	Required Minimum Distribution from 403(b) Account	\$19,125.08

<b>Source</b>	<b>Type</b>	<b>Amount</b>
Southern California Permanente Medical Group	Spouse Salary	N/A
Mid-Atlantic Permanente Medical Group	Spouse Salary	N/A

#### **SCHEDULE D: LIABILITIES**

<b>Owner 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
	Comments: Paid in full 12/19/20 due to refinancing		
JT LBS Financial Credit Union	December 2020	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**

None disclosed.

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

None disclosed.

#### **SCHEDULE A AND B ASSET CLASS DETAILS**

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

- 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
- Weber Asset Management- Beneficiary IRA, Mutual Funds (Owner: SP)

### **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