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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: 2019
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SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Allianz 403(b) ⇒ AZL Russell 1000 Growth Idx C2 [MF]		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Allianz 403(b) ⇒ AZL Russell 1000 Value Index C2 [MF]		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Allianz 403(b) ⇒ AZL S&P 500 Index Fund [MF]		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Allianz 403(b) ⇒ AZL Small Cap Stock Index [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Allianz 403(b) ⇒ Franklin Rising Dividends Sec [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Allianz 403(b) ⇒ PIMCO EqS Pathfinder [MF]		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
American General 403(b) ⇒ Fixed Annuity [FN]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
CA Resources Long Beach, Inc., 50% Interest [OT]	JT	Undetermined	Oil Well Payments	\$1,001 -	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
					\$2,500
DESCRIPTION: Name Changed: Formerly Oxy Long Beach, CA This is the mineral rights on the Congressman's primary residence in Long Beach, CA. This is a 50% share with the Congressman's former spouse.					
JP Morgan Chase - Individual ⇒ International Business Machines Corporation (IBM) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
JP Morgan Chase - Individual ⇒ Trans Century Limited (TCL:KN [PS]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: This is a stock traded on the Kenyan Stock Exchange.					
JP Morgan Chase - Individual ⇒ Walt Disney Company (DIS) [ST]	SP	\$100,001 - \$250,000	None		<input type="checkbox"/>
Long Beach Schools Federal Credit Union [BA]		\$100,001 - \$250,000	None		<input type="checkbox"/>
Neuberger Berman - Bonds ⇒ American Express Co Note [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 08/03/23; Percentage Yield: 3.7%					
Neuberger Berman - Bonds ⇒ Ares Cap Corp Note Call Make Whole [CS]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 01/15/20; Percentage Yield: 3.875% Called 11/8/19					
Neuberger Berman - Bonds ⇒ AT&T Inc Note Call Make Whole [CS]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 02/17/21; Percentage Yield: 2.8% Sold All 10/08/19					
Neuberger Berman - Bonds ⇒ Ball Corp Note Call Make Whole [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 12/15/20; Percentage Yield: 4.375%					
Neuberger Berman - Bonds ⇒ Bank Amer Corp Bond [CS]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 06/17/19; Percentage Yield: 5.125% Bond Called 1/28/19					
Neuberger Berman - Bonds ⇒ CHARTER COMMUNICATIONS OPER [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 02/01/24; Percentage Yield: 4.5%					
Neuberger Berman - Bonds ⇒ CINEMARK USA INC NOTE CALL MAKE WHOLE [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 12/15/22; Percentage Yield: 5.125%					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Bonds ⇒ Citigroup Inc Note [CS]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturity Date: 06/7/19; Percentage Yield: 2.05% Called 6/7/19.					
Neuberger Berman - Bonds ⇒ CRS Outdoor Amers Cap LLC [CS]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturity Date: 02/15/22; Percentage Yield: 5.25% Called 7/8/19.					
Neuberger Berman - Bonds ⇒ DREYFUS TREASURY SEC CASH MGMT ADMIN [BA]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Bonds ⇒ ELANCO ANIMAL HEALTH INC NOTE [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Maturity Date: 08/28/23; Percentage Yield: 4.272%					
Neuberger Berman - Bonds ⇒ EQUINIX INC NOTE CALL MAKE WHOLE [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Maturity Date: 11/18/24; Percentage Yield: 2.625%					
Neuberger Berman - Bonds ⇒ FIDELITY NATL INFORMATION SVCS [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Maturity Date: 6/5/24; Percentage Yield: 3.875%					
Neuberger Berman - Bonds ⇒ GENERAL MLS INC NOTE CALL MAKE WHOLE [CS]	SP	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Maturity Date: 04/16/21; Percentage Yield: 3.2%					
Neuberger Berman - Bonds ⇒ Interpublic Group Cos Inc Note [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Maturity Date: 10/01/20; Percentage Yield: 3.5%					
Neuberger Berman - Bonds ⇒ MORGAN STANLEY NOTE [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Maturity Date: 01/27/20; Percentage Yield: 2.65%					
Neuberger Berman - Bonds ⇒ Nielsen Fin LLC/Nielsen Fin [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Maturity Date: 10/01/20; Percentage Yield: 4.5%					
Neuberger Berman - Bonds ⇒ Priceline Grp Inc Note Call Make Whole [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Maturity Date: 03/15/23; Percentage Yield: 2.75%					
Neuberger Berman - Bonds ⇒ VERIZON COMMUNICATIONS INC [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: Maturation Date: 3/16/22; Percentage Yield: 3.125%					
Neuberger Berman - Bonds ⇒ WELLS FARGO CO MTN BE [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 1/30/20; Percentage Yield: 2.15%					
Neuberger Berman - Beneficiary IRA ⇒ Activision Blizzard, Inc (ATVI) [ST]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017. Full Sale 2/28.					
Neuberger Berman - Beneficiary IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Alphabet Inc. - Class C Capital Stock (GOOG) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Amazon.com, Inc. (AMZN) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ American Tower Corporation (AMT) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Apple Inc. (AAPL) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Ares Capital Corporation - Closed End Fund (ARCC) [ST]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017. Sold on 9/3/19. Not over \$1,000.					
Neuberger Berman - Beneficiary IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017. Full sell in 2019 in two transactions. Under \$1,000.					
Neuberger Berman - Beneficiary IRA ⇒ Berkshire Hathaway Inc. (BRK.A) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ BioMarin Pharmaceutical Inc. (BMRN) [ST]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: Was under \$1K Full sell in 2019 in two transactions. Under \$1,000.					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Beneficiary IRA ⇒ Black Knight, Inc. (BKI) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ BlackRock, Inc. (BLK) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Boeing Company (BA) [ST]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: Not over \$1,000					
Neuberger Berman - Beneficiary IRA ⇒ Boston Scientific Corporation (BSX) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Charter Communications, Inc. - Class A (CHTR) [ST]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017. Full sell in 2019 in two transactions. Less than \$1,000.					
Neuberger Berman - Beneficiary IRA ⇒ Cisco Systems, Inc. (CSCO) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017. Not over \$1,000.					
Neuberger Berman - Beneficiary IRA ⇒ CIT GROUP INC NOTE CALL MAKE WHOLE [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Maturity Date: 08/15/22; Percentage Yield: 5%					
Neuberger Berman - Beneficiary IRA ⇒ Crown Castle International Corp. (CCI) [ST]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ CVS Health Corp Note Call Make Whole [CS]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturity Date: 03/09/20; Percentage Yield: 3.125% Called 8/15/19					
Neuberger Berman - Beneficiary IRA ⇒ Dover Corporation (DOV) [ST]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: Was under \$1k Full sell in 2019.					
Neuberger Berman - Beneficiary IRA ⇒ DREYUS TREASURY SEC MGMT ADMIN [BA]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Ecolab Inc. (ECL) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Beneficiary IRA ⇒ EXPEDIA GROUP INC NOTE CALL MAKE WHOLE [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 08/15/24; Percentage Yield: 4.5%					
Neuberger Berman - Beneficiary IRA ⇒ Facebook, Inc. - Class A (FB) [ST]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: Not over \$1,000.					
Neuberger Berman - Beneficiary IRA ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Goldman Sachs Group, Inc. (GS) [ST]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017. Full sell in 2019. Less than \$1,000.					
Neuberger Berman - Beneficiary IRA ⇒ HCA Inc Note Call Make Whole [CS]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 02/15/20; Percentage Yield: 6.5% Called 7/5/19					
Neuberger Berman - Beneficiary IRA ⇒ Home Depot, Inc. (HD) [ST]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ IHS MARKIT LTD NOTE CALL MAKE WHOLE [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 05/01/24; Percentage Yield: 3.625%					
Neuberger Berman - Beneficiary IRA ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: Was under \$1k Full sell in 2019. In two transactions.					
Neuberger Berman - Beneficiary IRA ⇒ Intercontinental Exchange Inc. (ICE) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ iShares Inc Core MSCI Emerging Mkts ETF [EF]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Full sell in 2019					
Neuberger Berman - Beneficiary IRA ⇒ Johnson & Johnson (JNJ) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ JP Morgan Chase & Co. (JPM) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Beneficiary IRA ⇒ Level 3 Fing inc Note Call Make Whole [CS]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 01/15/21; Percentage Yield: 6.125% Called 10/25/19					
Neuberger Berman - Beneficiary IRA ⇒ Mastercard Incorporated (MA) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Microsoft Corporation (MSFT) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ NETFLIX INC NOTE CALL MAKE WHOLE [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 12/15/22; Percentage Yield: 5.5%					
Neuberger Berman - Beneficiary IRA ⇒ Novartis AG (NVS) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: Not over \$1,000.					
Neuberger Berman - Beneficiary IRA ⇒ Qiagen N.V. Common Shares (QGEN) [ST]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017. Bought and full sell in 2019. Less than \$1,000.					
Neuberger Berman - Beneficiary IRA ⇒ Red Hat, Inc. (RHT) [ST]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Full sell in 2019.					
Neuberger Berman - Beneficiary IRA ⇒ Sempra Energy (SRE) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Service Corporation International (SCI) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ SPDR GOLD TR GOLD SHS [EF]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: Under \$1,000.					
Neuberger Berman - Beneficiary IRA ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]	SP	None	None		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: This asset was inherited in 2017. Full sell in 2019.					
Neuberger Berman - Beneficiary IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: Was under \$1k					
Neuberger Berman - Beneficiary IRA ⇒ Virgin Galactic Holdings, Inc. (SPCE) [ST]	SP	\$1 - \$1,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Not over \$1,000.					
Neuberger Berman - Beneficiary IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: Not over \$1,000.					
Neuberger Berman - Beneficiary IRA ⇒ Waste Connections, Inc. Common Shares (WCN) [ST]	SP	\$1 - \$1,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Not over \$1,000.					
Neuberger Berman - Beneficiary IRA ⇒ Zimmer Biomet Hldgs Inc Note [CS]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: Maturation Date: 03/19/21; Percentage Yield: 2.6525%					
Neuberger Berman - Individual ⇒ ACTIVISION BLIZZARD INC NOTE 2 [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 06/15/22; Percentage Yield: 2.6%					
Neuberger Berman - Individual ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018. Full sell in 2019. In two transactions.					
Neuberger Berman - Individual ⇒ Alphabet Inc. - Class C Capital Stock (GOOG) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ Amazon.com, Inc. (AMZN) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ ARES CAP CORP NOTE CALL MAKE WHOLE [CS]	SP	None	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 01/19/22; Percentage Yield: 3.625%					
Neuberger Berman - Individual ⇒ BANK AMER CORP MTN CALL MAKE WHOLE [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 10/01/21; Percentage Yield: 2.328%					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Individual ⇒ Berkshire Hathaway Inc. New (BRK.B) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ Black Knight, Inc. (BKI) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ BlackRock, Inc. (BLK) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ Blackstone Mortgage Trust, Inc. (BXMT) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ Boeing Company (BA) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ Brookfield Infrastructure Partners LP Limited Partnership Units (BIP) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ CHARTER COMMUNICATIONS OPER [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 02/01/24; Percentage Yield: 4.5%					
Neuberger Berman - Individual ⇒ Cigna Corporation (CI) [ST]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Full sell on 3/7/19.					
Neuberger Berman - Individual ⇒ Cisco Systems, Inc. (CSCO) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ CITIGROUP INC NOTE [CS]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 07/30/22; Percentage Yield: 4.05%					
Neuberger Berman - Individual ⇒ Crown Castle International Corp. (CCI) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ DREYFUS TREASURY SEC CASH MGMT ADMIN [BA]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Easterly Government Properties, Inc. (DEA) [ST]	SP	None	None		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018. Full sell in 2019.					
Neuberger Berman - Individual ⇒ Ecolab Inc. (ECL) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ Home Depot, Inc. (HD) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ IHS Inc. IHS Inc. Class A (IHS) [ST]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018. Full sell in 2019. In two transactions.					
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 Inc Core MSCI Emerging Mkts ETF [EF]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018 Full sell in 2019					
Neuberger Berman - Individual ⇒ Johnson & Johnson (JNJ) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ JP Morgan Chase & Co. (JPM) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ Microsoft Corporation (MSFT) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ NextEra Energy, Inc. (NEE) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ Novartis AG (NVS) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Individual ⇒ PROSHARES TR SHORT S&P 500 NE [EF]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Individual ⇒	SP	None	None		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Sempra Energy (SRE) [ST] DESCRIPTION: Full sell in 2019.					
Neuberger Berman - Individual ⇒ SPDR GOLD TR GOLD SHS [EF]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ SPDR S&P 500 EFT TRUST UNIT SER 1 S&P [EF]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Individual ⇒ STARWOOD PROPERTY TRUST, INC. Starwood Property Trust Inc. (STWD) [ST] DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Individual ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST] DESCRIPTION: Full sell in 2019. In two transactions.	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] DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Roth IRA ⇒ American Tower Corporation (AMT) [ST]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
Neuberger Berman - Roth IRA ⇒ Dreyfus Treas. Prime Cash Management INV & SHS [BA]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
Neuberger Berman - Roth IRA ⇒ SPDR S&P 500 ETF TRUST UNIT SER 1 S&P [EF]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ ACTIVISION BLIZZARD INC NOTE [CS] DESCRIPTION: Interest rate is 2.6%, maturity date is 6/15/2022	SP	\$15,001 - \$50,000	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Activision Blizzard, Inc (ATVI) [ST] DESCRIPTION: Full stock sold on 2/28. A bond later purchased on 5/23.	SP	None	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: Partial sell in 2019.					
Neuberger Berman - Traditional IRA ⇒ Alphabet Inc. - Class C Capital Stock (GOOG) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Amazon.com, Inc. (AMZN) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ American Express Co Note [CS]	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 03/27/23; Percentage Yield: 3.7%					
Neuberger Berman - Traditional IRA ⇒ American Tower Corporation (AMT) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Americold Realty Trust Common Shares (COLD) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Apple Inc. (AAPL) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Ares Cap Corp Note Call Make Whole [CS]	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 01/15/20; Percentage Yield: 3.875%					
Neuberger Berman - Traditional IRA ⇒ AT&T INC NOTE CALL MAKE WHOLE [CS]	SP	None	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 2/14/23; Percentage Yield: 2.85% Called early on 4/23/18					
Neuberger Berman - Traditional IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Full sell in 2019. In two transactions.					
Neuberger Berman - Traditional IRA ⇒ Ball Corp Note Call Make Whole [CS]	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 12/15/20; Percentage Yield: 4.375%					
Neuberger Berman - Traditional IRA ⇒ BANK AMER CORP MTN [CS]	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Interest rate is 4%, maturity date is 1/22/2025					
Neuberger Berman - Traditional IRA ⇒ Bank of America Corp [CS]	SP	None	Interest	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 6/17/2019 ; Percentage Yield: 5.125% Full sell on 1/24					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Traditional IRA ⇒ Berkshire Hathaway Inc. (BRK.A) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ BioMarin Pharmaceutical Inc. (BMRN) [ST]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Full sell in 2019.					
Neuberger Berman - Traditional IRA ⇒ Black Knight, Inc. (BKI) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ BlackRock, Inc. (BLK) [ST]	SP	\$15,001 - \$50,000	Dividends	None	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Boeing Company (BA) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Boston Scientific Corporation (BSX) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Brookfield Infrastructure Partners LP Limited Partnership Units (BIP) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ CBS OUTDOOR AMERS CAP LLC [CS]	SP	\$15,001 - \$50,000	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Maturity date is 2/15/2024, interest rate is 5.625%					
Neuberger Berman - Traditional IRA ⇒ CDW LLC/CDW FIN CORP [CS]	SP	\$15,001 - \$50,000	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Maturity date is 12/1/2024, interest rate is 5.5%					
Neuberger Berman - Traditional IRA ⇒ Celgene Corp Note Call Make Whole [CS]	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 02/19/21; Percentage Yield: 2.875%					
Neuberger Berman - Traditional IRA ⇒ CHARTER COMMUNICATIONS OPER [CS]	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Maturity date is 2/1/2024, interest rate is 4.5%					
Neuberger Berman - Traditional IRA ⇒ Charter Communications, Inc. - Class A (CHTR) [ST]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Full sell in 2019. In two transactions.					
Neuberger Berman - Traditional IRA ⇒ Cisco Systems, Inc. (CSCO) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Traditional IRA ⇒ CIT Group Inc Note Call Make Whole [CS]	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 08/01/23; Percentage Yield: 5%					
Neuberger Berman - Traditional IRA ⇒ CIT GROUP NOTE CALL MAKE WHOLE [CS]	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 7/29/19; Percentage Yield: 2.5%					
Neuberger Berman - Traditional IRA ⇒ Constellation Brands Inc Note [CS]	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 11/17/19; Percentage Yield: 2% Redeemed 11/7/19					
Neuberger Berman - Traditional IRA ⇒ Crown Castle International [CS]	SP	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 4/15/22; Percentage Yield: 4.875%					
Neuberger Berman - Traditional IRA ⇒ CVS Health Corp Note Call Make Whole [CS]	SP	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 07/20/20; Percentage Yield: 2.8%					
Neuberger Berman - Traditional IRA ⇒ Dover Corporation (DOV) [ST]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Full sell in 2019.					
Neuberger Berman - Traditional IRA ⇒ Dreyfus Treas. Prime Cash Management INV & SHS [BA]	SP	\$100,001 - \$250,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Ecolab Inc. (ECL) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ ELANCO ANIMAL HEALTH INC NOTE [CS]	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 8/28/23; Percentage Yield: 4.272%					
Neuberger Berman - Traditional IRA ⇒ Facebook, Inc. - Class A (FB) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Fidelity Natl Information Svcs [CS]	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 08/15/21; Percentage Yield: 2.25%					
Neuberger Berman - Traditional IRA ⇒ Goldman Sachs Group, Inc. (GS) [ST]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Full sell in 2019.					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Traditional IRA ⇒ HCA, Inc. [CS] DESCRIPTION: Maturation: 2/15/20 Yield: 6.5%	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ IHS MARKIT LTD NOTE CALL MAKE WHOLE [CS] DESCRIPTION: Maturity date is 5/1/2024, interest rate is 3.625%	SP	\$15,001 - \$50,000	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Intercontinental Exchange Inc. (ICE) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ IRON MTN INC NOTE CALL MAKE WHOLE [CS] DESCRIPTION: Maturation Date: 8/15/23; Percentage Yield: 6%	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ iShares Inc Core MSCI Emerging Mkts ETF [EF]	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Johnson & Johnson (JNJ) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ JP Morgan Chase & Co. (JPM) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Lennar Corp Note Call Make Whole [BA] DESCRIPTION: Maturation Date: 04/01/21; Percentage Yield: 4.75%	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Level 3 Fing Inc. [CS] DESCRIPTION: Maturation Date: 1/15/2021 ; Percentage Yield: 6.125% Full sell on 5/23/19	SP	None	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Limited Brands, Inc. [CS] DESCRIPTION: Maturation: 4/1/21; Yield: 6.625%	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Mastercard Incorporated (MA) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Microsoft Corporation (MSFT) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Traditional IRA ⇒ NETFLIX INC NOTE CALL MAKE WHOLE [CS]	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest rate is 5.5%, maturity date is 2/15/2022					
Neuberger Berman - Traditional IRA ⇒ Nielsen Fin LLC [CS]	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 10/1/2020 ; Percentage Yield: 4.5%					
Neuberger Berman - Traditional IRA ⇒ Novartis AG (NVS) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ PROSHARES TR SHORT S&P 500 NE [EF]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Qiagen N.V. Common Shares (QGEN) [ST]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: Full sell in 2019.					
Neuberger Berman - Traditional IRA ⇒ Red Hat, Inc. (RHT) [ST]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Full see in 2019					
Neuberger Berman - Traditional IRA ⇒ Regal Entmt Group [CS]	SP	None	Interest	None	<input type="checkbox"/>
DESCRIPTION: Maturation: 3/15/22 Yield: 5.75% Call of bond on 3/30/18 Full sell in 2019.					
Neuberger Berman - Traditional IRA ⇒ Sempra Energy (SRE) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Service Corporation International (SCI) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ SPDR GOLD TR GOLD SHS [EF]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ UnitedHealth Group Inc Note [CS]	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 07/15/20; Percentage Yield: 2.7%					
Neuberger Berman - Traditional IRA ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]	SP	None	None		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: Full sell in 2019.					
Neuberger Berman - Traditional IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Verisk Analytics Inc. - Corporate Bond [CS]	SP	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 1/15/2019; Percentage Yield 4.875%					
Neuberger Berman - Traditional IRA ⇒ Verizon Communications Inc. [CS]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 11/01/21; Percentage Yield: 3% Bond Called 3/29/					
Neuberger Berman - Traditional IRA ⇒ Virgin Galactic Holdings, Inc. (SPCE) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Waste Connections, Inc. Common Shares (WCN) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Wells Fargo CO [CS]	SP	\$15,001 - \$50,000	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Maturation: 2/13/23; Yield: 3.45%					
Neuberger Berman - Traditional IRA ⇒ Zimmer Biomet Hldgs Inc. Note [CS]	SP	\$15,001 - \$50,000	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 03/19/21; Percentage Yield: 2.65250%					
Savings Plus California State Employee 401(K) ⇒ Bond Fund [MF]		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Savings Plus California State Employee 401(K) ⇒ Large Cap Fund [MF]		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Savings Plus California State Employee 457 ⇒ Bond Fund [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Savings Plus California State Employee 457 ⇒ Large Cap Fund [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>

* 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 ⇒ Ares Cap Corp Note Call Make Whole [CS] DESCRIPTION: Maturation Date: 01/15/20; Percentage Yield: 3.875% Called 11/8/19	SP	11/8/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Bonds ⇒ AT&T [CS] DESCRIPTION: 2.8% interest, maturity date 2/17/21	SP	10/8/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Bonds ⇒ Bank Amer Corp Bond [CS] DESCRIPTION: New TH Addition	SP	01/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Bonds ⇒ Citigroup Inc Note [CS] DESCRIPTION: Maturation Date: 06/7/19; Percentage Yield: 2.05% Called 6/7/19	SP	06/7/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Bonds ⇒ CRS Outdoor Amers Cap LLC [CS] DESCRIPTION: Maturation Date: 02/15/22; Percentage Yield: 5.25% Called 7/8/19	SP	07/8/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Bonds ⇒ Elanco Animal Health [CS] DESCRIPTION: 4.272% interest, maturity date is 8/28/23	SP	10/8/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Bonds ⇒ General Mls Inc [CS] DESCRIPTION: Maturity date is 4/16/2021, interest rate is 3.2%	SP	06/19/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Beneficiary IRA ⇒ Activision Blizzard, Inc (ATVI) [ST]	SP	02/28/2019	S	\$757.25	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST] DESCRIPTION: I still own some of this stock.	SP	06/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Alcon Inc. Ordinary Shares (ALC) [ST]	SP	04/15/2019	S	\$164.93	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Amazon.com, Inc. (AMZN) [ST]	SP	10/29/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Beneficiary IRA ⇒ Ares Capital Corporation - Closed End Fund (ARCC) [ST]	SP	08/27/2019	S (partial)	\$539.47	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Beneficiary IRA ⇒ Ares Capital Corporation - Closed End Fund (ARCC) [ST]	SP	08/28/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Ares Capital Corporation - Closed End Fund (ARCC) [ST] DESCRIPTION: I still own three shares.	SP	08/29/2019	S (partial)	\$56.18	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	02/15/2019	S (partial)	\$160.17	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	08/22/2019	S	\$725.59	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Berkshire Hathaway Inc. New (BRK.B) [ST]	SP	08/16/2019	S (partial)	\$997.95	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ BioMarin Pharmaceutical Inc. (BMRN) [ST]	SP	08/14/2019	S (partial)	\$217.10	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ BioMarin Pharmaceutical Inc. (BMRN) [ST]	SP	08/15/2019	S	\$506.27	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Black Knight, Inc. (BKI) [ST]	SP	03/1/2019	P	\$210.06	
Neuberger Berman - Beneficiary IRA ⇒ Black Knight, Inc. (BKI) [ST]	SP	03/4/2019	P	\$157.26	
Neuberger Berman - Beneficiary IRA ⇒ Black Knight, Inc. (BKI) [ST]	SP	03/5/2019	P	\$104.55	
Neuberger Berman - Beneficiary IRA ⇒ Black Knight, Inc. (BKI) [ST]	SP	05/1/2019	P	\$218.97	
Neuberger Berman - Beneficiary IRA ⇒ Black Knight, Inc. (BKI) [ST] DESCRIPTION: I bought some on 5/1/19	SP	05/2/2019	P	\$109.86	
Neuberger Berman - Beneficiary IRA ⇒ Black Knight, Inc. (BKI) [ST] DESCRIPTION: I bought some on 5/1 and 5/2 also.	SP	05/3/2019	P	\$109.92	
Neuberger Berman - Beneficiary IRA ⇒	SP	11/4/2019	P	\$701.19	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Boeing Company (BA) [ST]					
Neuberger Berman - Beneficiary IRA ⇒ Charter Communications, Inc. - Class A (CHTR) [ST]	SP	02/19/2019	S (partial)	\$700.12	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Charter Communications, Inc. - Class A (CHTR) [ST]	SP	02/20/2019	S	\$350.01	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Cigna Corporation (CI) [ST]	SP	02/4/2019	P	\$767.05	
Neuberger Berman - Beneficiary IRA ⇒ Cigna Corporation (CI) [ST]	SP	03/5/2019	S	\$681.76	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Cisco Systems, Inc. (CSCO) [ST]	SP	10/9/2019	P	\$328.23	
Neuberger Berman - Beneficiary IRA ⇒ CIT group inc [CS]	SP	04/5/2019	P	\$1,001 - \$15,000	
DESCRIPTION: Maturity date is 8/15/2022, interest rate is 5.0%					
Neuberger Berman - Beneficiary IRA ⇒ CVS Health Corp Note Call Make Whole [CS]	SP	08/15/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 03/09/20; Percentage Yield: 3.125% Called 8/15/19					
Neuberger Berman - Beneficiary IRA ⇒ Dover Corporation (DOV) [ST]	SP	02/13/2019	S	\$722.02	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Ecolab Inc. (ECL) [ST]	SP	10/29/2019	P	\$581.15	
Neuberger Berman - Beneficiary IRA ⇒ Ecolab Inc. (ECL) [ST]	SP	11/4/2019	P	\$572.16	
Neuberger Berman - Beneficiary IRA ⇒ Elanco Animal Health Incorporated (ELAN) [ST]	SP	03/6/2019	E	\$58.41	
DESCRIPTION: My Eli Lilly shares became Elanco. It was an internal corporate action.					
Neuberger Berman - Beneficiary IRA ⇒ Elanco Animal Health Incorporated (ELAN) [ST]	SP	08/20/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Eli Lilly and Company (LLY) [ST]	SP	02/28/2019	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Beneficiary IRA ⇒ Expedia Inc [CS] DESCRIPTION: Interest rate is 4.5%, maturity date is 8/15/2024	SP	09/9/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Beneficiary IRA ⇒ Facebook, Inc. - Class A (FB) [ST]	SP	02/1/2019	P	\$833.47	
Neuberger Berman - Beneficiary IRA ⇒ Facebook, Inc. - Class A (FB) [ST] DESCRIPTION: I still own some of this stock.	SP	06/4/2019	S (partial)	\$165.29	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	07/3/2019	P	\$378.24	
Neuberger Berman - Beneficiary IRA ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	07/5/2019	P	\$251.70	
Neuberger Berman - Beneficiary IRA ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	09/12/2019	P	\$534.75	
Neuberger Berman - Beneficiary IRA ⇒ Goldman Sachs Group, Inc. (GS) [ST]	SP	04/15/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ HCA Inc Not Call Make Whole [CS] DESCRIPTION: Maturation Date: 02/15/20; Percentage Yield: 6.5% Called 7/5/19	SP	07/5/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ IHS Markit Ltd [CS] DESCRIPTION: Maturity date is 5/01/2024, interest rate is 3.625%	SP	11/14/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Beneficiary IRA ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST] DESCRIPTION: The rest of this stock was sold on 3/28/19.	SP	03/27/2019	S (partial)	\$368.78	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST] DESCRIPTION: It was all sold today.	SP	03/28/2019	S	\$266.92	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [ST]	SP	05/23/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Level 3 Fing inc Note Call Make Whole [CS]	SP	10/25/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
DESCRIPTION: Maturation Date: 1/15/2021 ; Percentage Yield: 6.125% Called 10/25/20.					
Neuberger Berman - Beneficiary IRA ⇒ Microsoft Corporation (MSFT) [ST]	SP	02/14/2019	P	\$107.06	
Neuberger Berman - Beneficiary IRA ⇒ Netflix Inc [CS]	SP	07/8/2019	P	\$1,001 - \$15,000	
DESCRIPTION: Maturity date is 02/15/2022, interest rate is 5.50%					
Neuberger Berman - Beneficiary IRA ⇒ Novartis AG (NVS) [ST]	SP	02/15/2019	P	\$268.98	
Neuberger Berman - Beneficiary IRA ⇒ Nutanix, Inc. - Class A (NTNX) [ST]	SP	03/21/2019	P	\$378.74	
Neuberger Berman - Beneficiary IRA ⇒ Nutanix, Inc. - Class A (NTNX) [ST]	SP	05/29/2019	S	\$96.86	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Nutanix, Inc. - Class A (NTNX) [ST]	SP	05/28/2019	S (partial)	\$188.70	<input type="checkbox"/>
DESCRIPTION: The rest of this stock was sold the next day, 5/29/19.					
Neuberger Berman - Beneficiary IRA ⇒ Qiagen N.V. Common Shares (QGEN) [ST]	SP	09/12/2019	P	\$168.81	
Neuberger Berman - Beneficiary IRA ⇒ Qiagen N.V. Common Shares (QGEN) [ST]	SP	09/13/2019	P	\$135.55	
Neuberger Berman - Beneficiary IRA ⇒ Qiagen N.V. Common Shares (QGEN) [ST]	SP	10/8/2019	S	\$737.20	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Red Hat, Inc. (RHT) [ST]	SP	02/26/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sempra Energy (SRE) [ST]	SP	03/27/2019	S (partial)	\$250.41	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sempra Energy (SRE) [ST]	SP	03/27/2019	S (partial)	\$125.20	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sempra Energy (SRE) [ST]	SP	03/27/2019	S (partial)	\$125.20	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒	SP	03/27/2019	S	\$250.40	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Sempra Energy (SRE) [ST]			(partial)		
DESCRIPTION: I still own some of this stock.					
Neuberger Berman - Beneficiary IRA ⇒ Sempra Energy (SRE) [ST]	SP	12/10/2019	S (partial)	\$587.26	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Service Corporation International (SCI) [ST]	SP	02/13/2019	S (partial)	\$224.01	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ SPDR Gold Trust (GLD) [ST]	SP	09/4/2019	P	\$584.56	
Neuberger Berman - Beneficiary IRA ⇒ SPDR Gold Trust (GLD) [ST]	SP	09/12/2019	P	\$424.33	
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	11/14/2019	P	\$71.29	
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	11/15/2019	P	\$117.67	
Neuberger Berman - Beneficiary IRA ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]	SP	03/5/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	02/25/2019	S (partial)	\$147.24	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	05/23/2019	S	\$152.74	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Vistra Energy Corp. (VST) [ST]	SP	03/12/2019	P	\$412.57	
Neuberger Berman - Beneficiary IRA ⇒ Vistra Energy Corp. (VST) [ST]	SP	03/13/2019	P	\$366.08	
DESCRIPTION: I bought some of this on 3/12/19 too.					
Neuberger Berman - Beneficiary IRA ⇒ Vistra Energy Corp. (VST) [ST]	SP	08/14/2019	S (partial)	\$428.62	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Vistra Energy Corp. (VST) [ST]	SP	08/15/2019	S	\$247.93	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Beneficiary IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	08/9/2019	P	\$96.96	
Neuberger Berman - Beneficiary IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	08/12/2019	P	\$60.00	
Neuberger Berman - Beneficiary IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	08/13/2019	P	\$52.49	
Neuberger Berman - Beneficiary IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	08/14/2019	P	\$67.01	
Neuberger Berman - Beneficiary IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	08/15/2019	P	\$22.04	
Neuberger Berman - Beneficiary IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	09/30/2019	P	\$52.05	
Neuberger Berman - Beneficiary IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	10/1/2019	P	\$84.68	
Neuberger Berman - Beneficiary IRA ⇒ Waste Connections, Inc. Common Shares (WCN) [ST]	SP	12/10/2019	P	\$455.71	
Neuberger Berman - Beneficiary IRA ⇒ Waste Connections, Inc. Common Shares (WCN) [ST]	SP	12/11/2019	P	\$543.71	
Neuberger Berman - Beneficiary IRA ⇒ Weyerhaeuser Company (WY) [ST]	SP	04/16/2019	P	\$321.80	
Neuberger Berman - Beneficiary IRA ⇒ Weyerhaeuser Company (WY) [ST]	SP	04/17/2019	P	\$633.47	
Neuberger Berman - Beneficiary IRA ⇒ Weyerhaeuser Company (WY) [ST] DESCRIPTION: I still own some of this stock.	SP	05/22/2019	S (partial)	\$510.72	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Weyerhaeuser Company (WY) [ST]	SP	05/23/2019	S	\$317.81	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Activision Blizzard Inc [CS] DESCRIPTION: Interest rate is 2.6%, maturity date is 6/15/2022	SP	05/23/2019	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Individual ⇒ Air Products and Chemicals, Inc. (APD) [ST] DESCRIPTION: I still own some of this stock.	SP	06/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	10/2/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ Alcon Inc. Ordinary Shares (ALC) [ST]	SP	04/15/2019	S	\$494.80	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Alphabet Inc. - Class C Capital Stock (GOOG) [ST] DESCRIPTION: I still own some of this stock.	SP	06/3/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Amazon.com, Inc. (AMZN) [ST]	SP	10/31/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Ares Cap Corp [CS] DESCRIPTION: Interest rate is 3.625%, maturity date is 1/19/2022	SP	05/21/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Ares Cap Corp [CS] DESCRIPTION: Maturity date is 1/15/2020, interest rate is 3.875%	SP	11/6/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Bank America Corp [CS] DESCRIPTION: Maturity date is 10/01/2021, interest rate is 2.328%	SP	06/12/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Bank of America [CS] DESCRIPTION: Interest is 5.125%, matures 12/31/2049	SP	01/24/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Berkshire Hathaway Inc. New (BRK.B) [ST]	SP	06/6/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Black Knight, Inc. (BKI) [ST]	SP	03/1/2019	P	\$525.16	
Neuberger Berman - Individual ⇒ Black Knight, Inc. (BKI) [ST]	SP	03/4/2019	P	\$524.19	
Neuberger Berman - Individual ⇒ Black Knight, Inc. (BKI) [ST]	SP	03/5/2019	P	\$261.37	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Individual ⇒ Black Knight, Inc. (BKI) [ST]	SP	05/1/2019	P	\$821.14	
Neuberger Berman - Individual ⇒ Black Knight, Inc. (BKI) [ST] DESCRIPTION: I bought some on 5/1/19 also.	SP	05/2/2019	P	\$274.66	
Neuberger Berman - Individual ⇒ Black Knight, Inc. (BKI) [ST] DESCRIPTION: I bought some on 5/1 and 5/2 also.	SP	05/3/2019	P	\$274.80	
Neuberger Berman - Individual ⇒ Boeing Company (BA) [ST]	SP	11/4/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ CBS Outdoor Amers Cap [CS] DESCRIPTION: Maturity date 2/15/2022, 5.25%	SP	07/3/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Charter Communications [CS] DESCRIPTION: Maturity date 2/1/2024, interest is 4.5%	SP	07/3/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Charter Communications [CS] DESCRIPTION: Maturity date is 2/1/2024, interest rate is 4.5%	SP	07/31/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Cigna Corporation (CI) [ST]	SP	03/5/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Cigna Corporation (CI) [ST] DESCRIPTION: Full sell on 3/7/19.	SP	03/7/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Cinemark [CS] DESCRIPTION: Maturity date is 12/15/2022, interest rate is 5.125%	SP	03/27/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Cisco Systems, Inc. (CSCO) [ST]	SP	08/21/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Citigroup Inc [CS] DESCRIPTION: Maturity date is 7/30/2022, interest rate is 4.05%	SP	05/17/2019	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Individual ⇒ Citigroup Inc [CS] DESCRIPTION: Interest rate is 4.050%, maturity date is 7/30/2022	SP	05/17/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Easterly Government Properties, Inc. (DEA) [ST]	SP	03/1/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Ecolab Inc. (ECL) [ST]	SP	10/29/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Ecolab Inc. (ECL) [ST]	SP	11/4/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Equinix Inc [CS] DESCRIPTION: Maturity date is 11/18/2024, interest rate is 2.625%	SP	11/6/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	07/3/2019	P	\$756.48	
Neuberger Berman - Individual ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	07/5/2019	P	\$503.40	
Neuberger Berman - Individual ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	09/13/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Home Depot, Inc. (HD) [ST]	SP	03/25/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ IHS Markit Ltd [CS] DESCRIPTION: Interest rate is 3.625%, maturity date is 5/1/2024	SP	05/17/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST]	SP	03/27/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST] DESCRIPTION: The other part of this was sold on 3/27/19.	SP	03/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ INS Markit [CS] DESCRIPTION: Maturity date is 5/1/2024, interest rate is 3.625%	SP	05/17/2019	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Individual ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [ST]	SP	05/23/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Microsoft Corporation (MSFT) [ST]	SP	09/20/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Morgan Stanley [CS]	SP	01/29/2019	P	\$1,001 - \$15,000	
DESCRIPTION: Interest is 2.65%, maturity date is 1/27/2020					
Neuberger Berman - Individual ⇒ Novartis AG (NVS) [ST]	SP	02/15/2019	P	\$896.59	
Neuberger Berman - Individual ⇒ ProShares Short S&P500 (SH) [ST]	SP	10/2/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Qiagen N.V. Common Shares (QGEN) [ST]	SP	09/13/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Qiagen N.V. Common Shares (QGEN) [ST]	SP	10/8/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Sempra Energy (SRE) [ST]	SP	10/31/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ SPDR Gold Trust (GLD) [ST]	SP	09/4/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ SPDR Gold Trust (GLD) [ST]	SP	09/13/2019	P	\$848.91	
Neuberger Berman - Individual ⇒ SPDR S&P 500 (SPY) [ST]	SP	09/13/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ SPDR S&P 500 (SPY) [ST]	SP	09/16/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ SPDR S&P 500 (SPY) [ST]	SP	09/20/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: I believe that I still own 3 shares.					
Neuberger Berman - Individual ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]	SP	03/5/2019	S (partial)	\$478.27	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Individual ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]	SP	04/16/2019	S	\$663.86	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	09/30/2019	P	\$889.99	
Neuberger Berman - Individual ⇒ Waste Connections, Inc. Common Shares (WCN) [ST]	SP	12/11/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Weyerhaeuser Company (WY) [ST]	SP	04/11/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Weyerhaeuser Company (WY) [ST] DESCRIPTION: The rest of this stock was sold 5/22/2019	SP	05/21/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Roth IRA ⇒ SPDR S&P 500 (SPY) [ST]	SP	06/20/2019	P	\$295.26	
Neuberger Berman - Traditional IRA ⇒ Activision Blizzard Inc [CS] DESCRIPTION: Interest rate is 2.6%, maturity date is 6/15/2022	SP	05/23/2019	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Activision Blizzard, Inc (ATVI) [ST]	SP	02/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST] DESCRIPTION: I still own some of this stock.	SP	06/4/2019	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Alcon Inc. Ordinary Shares (ALC) [ST]	SP	04/15/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Alphabet Inc. - Class C Capital Stock (GOOG) [ST] DESCRIPTION: I still own some of this stock.	SP	06/3/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Amazon.com, Inc. (AMZN) [ST]	SP	10/31/2019	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Amazon.com, Inc. (AMZN) [ST]	SP	11/19/2019	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Americold Realty Trust Common Shares (COLD) [ST]	SP	12/11/2019	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	02/15/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	08/22/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Bank Amer Corp Mtn [CS] DESCRIPTION: Interest rate is 4.0%, maturity date is 1/22/2025	SP	05/21/2019	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Bank of America [CS] DESCRIPTION: Interest rate is 5.125%, maturity date is 6/17/19	SP	01/24/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Berkshire Hathaway Inc. New (BRK.B) [ST]	SP	08/16/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ BioMarin Pharmaceutical Inc. (BMRN) [ST]	SP	08/14/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ BioMarin Pharmaceutical Inc. (BMRN) [ST]	SP	08/15/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Black Knight, Inc. (BKI) [ST]	SP	03/1/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Black Knight, Inc. (BKI) [ST]	SP	03/4/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Black Knight, Inc. (BKI) [ST]	SP	03/5/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Black Knight, Inc. (BKI) [ST]	SP	05/1/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Black Knight, Inc. (BKI) [ST] DESCRIPTION: I also bought some on 5/1/19.	SP	05/2/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Black Knight, Inc. (BKI) [ST]	SP	05/3/2019	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
DESCRIPTION: I also bought some on 5/1 and 5/2.					
Neuberger Berman - Traditional IRA ⇒ Boeing Company (BA) [ST]	SP	11/4/2019	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ CBS Outdoor Amers [CS]	SP	05/31/2019	P	\$15,001 - \$50,000	
DESCRIPTION: Maturity date is 2/15/2024, interest rate is 5.625%					
Neuberger Berman - Traditional IRA ⇒ CDW LLC/CDW FIN [CS]	SP	08/5/2019	P	\$15,001 - \$50,000	
DESCRIPTION: Maturity date is 9/1/2023, interest rate is 5.0%					
Neuberger Berman - Traditional IRA ⇒ CDW LLC/CDW FIN [CS]	SP	10/24/2019	P	\$15,001 - \$50,000	
DESCRIPTION: 5.5% interest, maturity date is 12/01/2024					
Neuberger Berman - Traditional IRA ⇒ Charter Communications [CS]	SP	07/31/2019	P	\$15,001 - \$50,000	
DESCRIPTION: Maturity date is 2/1/2024, interest rate is 4.5%					
Neuberger Berman - Traditional IRA ⇒ Charter Communications, Inc. - Class A (CHTR) [ST]	SP	02/19/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Charter Communications, Inc. - Class A (CHTR) [ST]	SP	02/20/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Cigna Corporation (CI) [ST]	SP	02/4/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Cigna Corporation (CI) [ST]	SP	03/5/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Cisco Systems, Inc. (CSCO) [ST]	SP	10/9/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Dover Corporation (DOV) [ST]	SP	02/13/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Ecolab Inc. (ECL) [ST]	SP	10/29/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Ecolab Inc. (ECL) [ST]	SP	11/4/2019	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Elanco Animal Health Inc [CS]	SP	11/1/2019	P	\$15,001 - \$50,000	
DESCRIPTION: Maturity date is 8/28/2023, interest rate is 4.272%					
Neuberger Berman - Traditional IRA ⇒ Elanco Animal Health Incorporated (ELAN) [ST]	SP	03/6/2019	E	\$1,001 - \$15,000	
DESCRIPTION: My Eli Lilly became Elanco. It was an internal corporate action.					
Neuberger Berman - Traditional IRA ⇒ Elanco Animal Health Incorporated (ELAN) [ST]	SP	08/20/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Eli Lilly and Company (LLY) [ST]	SP	02/28/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Facebook, Inc. - Class A (FB) [ST]	SP	06/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: I still own some of this stock.					
Neuberger Berman - Traditional IRA ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	07/3/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	07/5/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	09/12/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Goldman Sachs Group, Inc. (GS) [ST]	SP	04/15/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ IHS Markit Ltd [CS]	SP	05/23/2019	P	\$15,001 - \$50,000	
DESCRIPTION: Interest rate is 3.429%, maturity date is 4/1/2024					
Neuberger Berman - Traditional IRA ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST]	SP	03/27/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: The rest was sold on 3/28/19.					
Neuberger Berman - Traditional IRA ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST]	SP	03/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Intercontinental Exchange Inc. (ICE) [ST]	SP	04/15/2019	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [ST]	SP	05/23/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Microsoft Corporation (MSFT) [ST]	SP	02/14/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Netflix Inc [CS]	SP	07/12/2019	P	\$15,001 - \$50,000	
DESCRIPTION: Maturity date is 02/15/2022, interest rate is 5.50%					
Neuberger Berman - Traditional IRA ⇒ Novartis AG (NVS) [ST]	SP	02/15/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Nutanix, Inc. - Class A (NTNX) [ST]	SP	03/21/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Nutanix, Inc. - Class A (NTNX) [ST]	SP	05/29/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Some of this stock was also sold on 5/28. Settlement date for that one was 5/30.					
Neuberger Berman - Traditional IRA ⇒ Nutanix, Inc. - Class A (NTNX) [ST]	SP	05/28/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: I sold the rest of this stock the next day, 5/29/19.					
Neuberger Berman - Traditional IRA ⇒ ProShares Short S&P500 (SH) [ST]	SP	12/13/2019	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Qiagen N.V. Common Shares (QGEN) [ST]	SP	09/12/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Qiagen N.V. Common Shares (QGEN) [ST]	SP	09/13/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Qiagen N.V. Common Shares (QGEN) [ST]	SP	10/8/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Red Hat, Inc. (RHT) [ST]	SP	06/3/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sempra Energy (SRE) [ST]	SP	03/27/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sempra Energy (SRE) [ST]	SP	03/27/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Sempra Energy (SRE) [ST]	SP	03/27/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sempra Energy (SRE) [ST]	SP	03/27/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Service Corporation International (SCI) [ST]	SP	02/13/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ SPDR Gold Trust (GLD) [ST]	SP	09/4/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ SPDR Gold Trust (GLD) [ST]	SP	09/12/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	11/14/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	11/15/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]	SP	03/5/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	02/25/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Universal Display Corporation (OLED) [ST] DESCRIPTION: I sold some of this stock later the same day.	SP	05/23/2019	S (partial)	\$458.23	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Universal Display Corporation (OLED) [ST] DESCRIPTION: I sold some of this stock earlier the same day.	SP	05/23/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Verizon [CS] DESCRIPTION: This was a Call of Bond, interest rate 3.0%, maturity date 11/1/21	SP	03/29/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Vistra Energy Corp. (VST) [ST]	SP	03/12/2019	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Vistra Energy Corp. (VST) [ST]	SP	03/13/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Vistra Energy Corp. (VST) [ST]	SP	08/14/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Vistra Energy Corp. (VST) [ST]	SP	08/15/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	08/9/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	08/12/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	08/13/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	08/14/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	08/15/2019	P	\$367.41	
Neuberger Berman - Traditional IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	09/30/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Vivint Solar, Inc. (VSLR) [ST]	SP	10/1/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Waste Connections, Inc. Common Shares (WCN) [ST]	SP	12/10/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Waste Connections, Inc. Common Shares (WCN) [ST]	SP	12/11/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Weyerhaeuser Company (WY) [ST]	SP	04/16/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Weyerhaeuser Company (WY) [ST]	SP	04/17/2019	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Weyerhaeuser Company (WY) [ST]	SP	05/22/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
DESCRIPTION: I still own some of this stock.					
Neuberger Berman - Traditional IRA ⇒ Weyerhaeuser Company (WY) [ST]	SP	05/23/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>

* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE C: EARNED INCOME

Source	Type	Amount
California Public Retirement System	University Pension	\$53,420.00
American General	Required Minimum Distribution from 403(b) Account	\$986.00
Savings Plus 457 (AOH Hewitt BPS)	Required Minimum Distribution from 457 Account	\$3,273.00
Savings Plus 401(k) (AON Hewitt BPS)	Required Minimum Distribution from 401(k) Account	\$6,629.00
Allianz 403(b)	Required Minimum Distribution from 403(b)	\$19,125.00

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	Chase Mortgage	June 2005	Mortgage on 2809 East First Street Long Beach CA	\$250,001 - \$500,000

SCHEDULE E: POSITIONS

None disclosed.

SCHEDULE F: AGREEMENTS

None disclosed.

SCHEDULE G: GIFTS

None disclosed.

SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

Trip Details					Inclusions		
Source	Start Date	End Date	Itinerary	Days at Own Exp.	Lodging?	Food?	Family?
J Street Education Fund	02/15/2019	07/22/2020	Washington, DC - Tel Aviv, Israel - Washington, DC	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Aspen Institute, Inc. (Congressional Program)	03/15/2019	07/17/2020	Washington, DC - San Diego, CA - N/A	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
The Humpty Dumpty Institute; Antwerp Chamber of Commerce	04/4/2019	04/8/2019	Washington, DC - Antwerp, Belgium - Washington, DC	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Bipartisan Policy Center	05/10/2019	05/12/2020	Washington, DC - New Orleans, LA - Galliano, LA - Fort Fourchon, LA - Washington, DC	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Chinese People's Institute of Foreign Affairs (CPIFA)	08/19/2019	08/28/2019	Washington, DC - Beijing, China - Hong Kong - Chengdu, China - Washington, DC	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

SCHEDULE A AND B ASSET CLASS DETAILS

- o Allianz 403(b)
- o American General 403(b)
- o JP Morgan Chase - Individual (Owner: SP)
LOCATION: US
- o Neuberger Berman - Bonds (Owner: SP)
LOCATION: US
- o Neuberger Berman - Beneficiary IRA (Owner: SP)
- o Neuberger Berman - Individual (Owner: SP)
LOCATION: US
- o Neuberger Berman - Roth IRA (Owner: SP)
- o Neuberger Berman - Traditional IRA (Owner: SP)
- o Savings Plus California State Employee 401(K)
- o Savings Plus California State Employee 457

EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

IPO: Did you purchase any shares that were allocated as a part of an Initial Public Offering?

☐ Yes ☒ No

Trusts: Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?

☐ Yes ☒ No

Exemption: Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?

☐ Yes ☒ No

CERTIFICATION AND SIGNATURE

☒ I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

Digitally Signed: Hon. Alan S. Lowenthal , 08/11/2020