



Filing ID #10040137

FINANCIAL DISCLOSURE REPORT

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

FILER INFORMATION

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

FILING INFORMATION

Filing Type: Amendment Report
Filing Year: 2019
Filing Date: 06/21/2021

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

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

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|---|-------|-----------------------|----------------|-------------|-------------------------------------|
| \$2,500 | | | | | |
| DESCRIPTION: Name Changed: Formerly Oxy Long Beach, CA This is the mineral rights on the Congressman's primary residence in Long Beach, CA. This is a 50% share with the Congressman's former spouse. | | | | | |
| California Public Retirement System [DB] | | Undetermined | Tax-Deferred | | <input type="checkbox"/> |
| JP Morgan Chase - Individual ⇒ International Business Machines Corporation (IBM) [ST] | SP | \$1,001 - \$15,000 | None | | <input type="checkbox"/> |
| JP Morgan Chase - Individual ⇒ Trans Century Limited (TCL:KN [PS] | SP | \$1 - \$1,000 | None | | <input type="checkbox"/> |
| DESCRIPTION: This is a stock traded on the Kenyan Stock Exchange. | | | | | |
| JP Morgan Chase - Individual ⇒ Walt Disney Company (DIS) [ST] | SP | \$100,001 - \$250,000 | None | | <input type="checkbox"/> |
| Long Beach Schools Federal Credit Union [BA] | | \$100,001 - \$250,000 | None | | <input type="checkbox"/> |
| Neuberger Berman - Bonds ⇒ American Express Co Note [CS] | SP | \$1,001 - \$15,000 | Interest | \$1 - \$200 | <input type="checkbox"/> |
| DESCRIPTION: Maturation Date: 08/03/23; Percentage Yield: 3.7% | | | | | |
| Neuberger Berman - Bonds ⇒ Ball Corp Note Call Make Whole [CS] | SP | \$1,001 - \$15,000 | Interest | \$1 - \$200 | <input type="checkbox"/> |
| DESCRIPTION: Maturation Date: 12/15/20; Percentage Yield: 4.375% | | | | | |
| Neuberger Berman - Bonds ⇒ CHARTER COMMUNICATIONS OPER [CS] | SP | \$1,001 - \$15,000 | Interest | \$1 - \$200 | <input type="checkbox"/> |
| DESCRIPTION: Maturation Date: 02/01/24; Percentage Yield: 4.5% | | | | | |
| Neuberger Berman - Bonds ⇒ CINEMARK USA INC NOTE CALL MAKE WHOLE [CS] | SP | \$1,001 - \$15,000 | Interest | \$1 - \$200 | <input type="checkbox"/> |
| DESCRIPTION: Maturation Date: 12/15/22; Percentage Yield: 5.125% | | | | | |
| Neuberger Berman - Bonds ⇒ DREYFUS TREASURY SEC CASH MGMT ADMIN [BA] | SP | \$1,001 - \$15,000 | None | | <input type="checkbox"/> |
| Neuberger Berman - Bonds ⇒ ELANCO ANIMAL HEALTH INC NOTE [CS] | SP | \$1,001 - \$15,000 | Interest | \$1 - \$200 | <input checked="" type="checkbox"/> |
| DESCRIPTION: Maturation Date: 08/28/23; Percentage Yield: 4.272% | | | | | |
| Neuberger Berman - Bonds ⇒ EQUINIX INC NOTE CALL MAKE WHOLE [CS] | SP | \$1,001 - \$15,000 | Interest | \$1 - \$200 | <input checked="" type="checkbox"/> |

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

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

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

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|-------|--------------------|----------------|-------------|-------------------------------------|
| Neuberger Berman - Beneficiary IRA ⇒ Semptra Energy (SRE) [ST] | SP | \$1,001 - \$15,000 | Tax-Deferred | | <input 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 [EF] | SP | \$1,001 - \$15,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST] | SP | \$1 - \$1,000 | Tax-Deferred | | <input type="checkbox"/> |
| DESCRIPTION: Under \$1,000. | | | | | |
| Neuberger Berman - Beneficiary IRA ⇒ Universal Display Corporation (OLED) [ST] | SP | \$1 - \$1,000 | Tax-Deferred | | <input type="checkbox"/> |
| DESCRIPTION: Was under \$1k | | | | | |
| Neuberger Berman - Beneficiary IRA ⇒ Virgin Galactic Holdings, Inc. (SPCE) [ST] | SP | \$1 - \$1,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| DESCRIPTION: Not over \$1,000. | | | | | |
| Neuberger Berman - Beneficiary IRA ⇒ Vivint Solar, Inc. (VSLR) [ST] | SP | \$1 - \$1,000 | Tax-Deferred | | <input type="checkbox"/> |
| DESCRIPTION: Not over \$1,000. | | | | | |
| Neuberger Berman - Beneficiary IRA ⇒ Waste Connections, Inc. Common Shares (WCN) [ST] | SP | \$1 - \$1,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| DESCRIPTION: Not over \$1,000. | | | | | |
| Neuberger Berman - Beneficiary IRA ⇒ Zimmer Biomet Hldgs Inc Note [CS] | SP | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| DESCRIPTION: Maturation Date: 03/19/21; Percentage Yield: 2.6525% | | | | | |
| 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 ⇒ 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"/> |

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

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

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

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

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

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

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

* 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"/> |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|---|-------|------------|-------------|--------------------|--------------------------|
| Neuberger Berman - Beneficiary IRA ⇒ Amazon.com, Inc. (AMZN) [ST] | SP | 10/29/2019 | P | \$1,001 - \$15,000 | |
| Neuberger Berman - Beneficiary IRA ⇒ Ares Capital Corporation - Closed End Fund (ARCC) [ST] | SP | 08/27/2019 | S (partial) | \$539.47 | <input type="checkbox"/> |
| Neuberger Berman - Beneficiary IRA ⇒ Ares Capital Corporation - Closed End Fund (ARCC) [ST] | SP | 08/28/2019 | S (partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Neuberger Berman - Beneficiary IRA ⇒ Ares Capital Corporation - Closed End Fund (ARCC) [ST] 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 | |

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

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|-------------|--------------------|--------------------------|
| Neuberger Berman - Beneficiary IRA ⇒ Elanco Animal Health Incorporated (ELAN) [ST] | SP | 08/20/2019 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Neuberger Berman - Beneficiary IRA ⇒ Eli Lilly and Company (LLY) [ST] | SP | 02/28/2019 | P | \$1,001 - \$15,000 | |
| Neuberger Berman - Beneficiary IRA ⇒ Expedia Inc [CS] 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"/> |

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

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

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

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|-------------|--------------------|-------------------------------------|
| Neuberger Berman - Individual ⇒ Activision Blizzard Inc [CS] DESCRIPTION: Interest rate is 2.6%, maturity date is 6/15/2022 | SP | 05/23/2019 | P | \$1,001 - \$15,000 | |
| 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 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|---|-------|------------|-------------|--------------------|--------------------------|
| Neuberger Berman - Individual ⇒ Black Knight, Inc. (BKI) [ST] | SP | 03/4/2019 | P | \$524.19 | |
| Neuberger Berman - Individual ⇒ Black Knight, Inc. (BKI) [ST] | SP | 03/5/2019 | P | \$261.37 | |
| Neuberger Berman - Individual ⇒ Black Knight, Inc. (BKI) [ST] | SP | 05/1/2019 | P | \$821.14 | |
| Neuberger Berman - Individual ⇒ Black Knight, Inc. (BKI) [ST] 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 ⇒ | SP | 08/21/2019 | P | \$1,001 - \$15,000 | |

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

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

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

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|-------------|---------------------|--------------------------|
| Neuberger Berman - Traditional IRA ⇒ Amazon.com, Inc. (AMZN) [ST] | SP | 10/31/2019 | P | \$15,001 - \$50,000 | |
| Neuberger Berman - Traditional IRA ⇒ Amazon.com, Inc. (AMZN) [ST] | SP | 11/19/2019 | P | \$1,001 - \$15,000 | |
| 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 | |

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

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|-------------|---------------------|--------------------------|
| Neuberger Berman - Traditional IRA ⇒ Ecolab Inc. (ECL) [ST] | SP | 10/29/2019 | P | \$1,001 - \$15,000 | |
| Neuberger Berman - Traditional IRA ⇒ Ecolab Inc. (ECL) [ST] | SP | 11/4/2019 | P | \$1,001 - \$15,000 | |
| 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 ⇒ Fidelity Natl Information Svcs [CS] | SP | 12/3/2019 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| DESCRIPTION: Maturation Date: 08/15/21; Percentage Yield: 2.25% | | | | | |
| Neuberger Berman - Traditional IRA ⇒ Goldman Sachs Group, Inc. (GS) [ST] | SP | 04/15/2019 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Neuberger Berman - Traditional IRA ⇒ IHS Markit Ltd [CS] | SP | 05/23/2019 | P | \$15,001 - \$50,000 | |
| DESCRIPTION: Interest rate is 3.429%, maturity date is 4/1/2024 | | | | | |

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

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|-------------|---------------------|--------------------------|
| ProShares Short S&P500 (SH) [ST] | | | | | |
| Neuberger Berman - Traditional IRA ⇒ Qiagen N.V. Common Shares (QGEN) [ST] | SP | 09/12/2019 | P | \$1,001 - \$15,000 | |
| 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"/> |
| 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"/> |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|-------------|---------------------|--------------------------|
| Neuberger Berman - Traditional IRA ⇒ Universal Display Corporation (OLED) [ST] | SP | 02/25/2019 | S (partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Neuberger Berman - Traditional IRA ⇒ Universal Display Corporation (OLED) [ST] 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 | |
| Neuberger Berman - Traditional IRA ⇒ Vistra Energy Corp. (VST) [ST] | SP | 03/13/2019 | P | \$1,001 - \$15,000 | |
| Neuberger Berman - Traditional IRA ⇒ Vistra Energy Corp. (VST) [ST] | SP | 08/14/2019 | S (partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Neuberger Berman - Traditional IRA ⇒ Vistra Energy Corp. (VST) [ST] | SP | 08/15/2019 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Neuberger Berman - Traditional IRA ⇒ Vivint Solar, Inc. (VSLR) [ST] | SP | 08/9/2019 | P | \$1,001 - \$15,000 | |
| Neuberger Berman - Traditional IRA ⇒ Vivint Solar, Inc. (VSLR) [ST] | SP | 08/12/2019 | P | \$1,001 - \$15,000 | |
| Neuberger Berman - Traditional IRA ⇒ Vivint Solar, Inc. (VSLR) [ST] | SP | 08/13/2019 | P | \$1,001 - \$15,000 | |
| Neuberger Berman - Traditional IRA ⇒ Vivint Solar, Inc. (VSLR) [ST] | SP | 08/14/2019 | P | \$1,001 - \$15,000 | |
| Neuberger Berman - Traditional IRA ⇒ Vivint Solar, Inc. (VSLR) [ST] | SP | 08/15/2019 | P | \$367.41 | |
| Neuberger Berman - Traditional IRA ⇒ | SP | 09/30/2019 | P | \$1,001 - \$15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|---|-------|------------|-------------|--------------------|--------------------------|
| Vivint Solar, Inc. (VSLR) [ST] | | | | | |
| 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"/> |
| 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 (AON Hewitt BPS) | Required Minimum Distribution from 457 Account | \$3,273.00 |
| Savings Plus 401(k) (AON Hewitt BPS) | Required Minimum Distribution from 401(k) Account | \$6,629.00 |
| Allianz 403(b) | Required Minimum Distribution from 403(b) | \$19,125.00 |
| Southern California Permanente Medical Group | Spouse Salary | N/A |
| Mid-Atlantic Permanente Medical Group | Spouse Salary | N/A |

SCHEDULE D: LIABILITIES

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

SCHEDULE E: POSITIONS

None disclosed.

SCHEDULE F: AGREEMENTS

| Date | Parties To | Terms of Agreement |
|---------------|---|--|
| 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

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

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

SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

SCHEDULE A AND B ASSET CLASS DETAILS

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

EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

CERTIFICATION AND SIGNATURE

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

Digitally Signed: Hon. Alan S. Lowenthal , 06/21/2021