



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: Annual Report
Filing Year: 2016
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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		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Full transfer from AZL Black Rock Cap Appreciation to AZL Russell 1000 Growth Idx C2 on 10/21/2016					
Allianz 403(b) ⇒ AZL Russell 1000 Value Index C2		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Full transfer from AZL INV Growth and Income to AZL Russell 1000 Value Index C2 on 10/28/2016.					
Allianz 403(b) ⇒ AZL S&P 500 Index Fund		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Full transfer from AZL JP Morgan U.S. Equity Fund to AZL S&P 500 Index Fund on 10/21/2016.					
Allianz 403(b) ⇒ AZL Small Cap Stock Index		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Allianz 403(b) ⇒ Franklin Rising Dividends Sec		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Allianz 403(b) ⇒ PIMCO EqS Pathfinder		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
American General 403(b) ⇒ Fixed Annuity		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
CA Resources Long Beach, Inc., 50% Interest	JT	Undetermined	Oil Well Payments	\$1,001 - \$2,500	<input type="checkbox"/>
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.					
International Business Machines Corporation (IBM)	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
JP Morgan Chase - Individual ⇒ Trans Century Limited (TCL:KN)	SP	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: This is a stock traded on the Kenyan Stock Exchange. This was placed there by the spouse's investor and is the only stock investment or asset in that account					
Long Beach Schools Federal Credit Union		\$100,001 - \$250,000	None		<input type="checkbox"/>
DESCRIPTION: X					
Municipal Bond Account – Desc: ‘Cash Equiv’, JPM Tax Free Money Market Fund	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Actavis Funding	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation: 3/12/18 Yield: 2.35					
Neuberger Berman - Individual ⇒ Bay Area Toll Auth Municipal Bond	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: Maturation Date: 4/1/31; Percentage Yield: 5.0 New "Individual" Asset Class Created for clarity.					
Neuberger Berman - Individual ⇒ CIT Group Inc.	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: Maturation Date: 3/15/2018 ; Percentage Yield: 5.25% Added to a new asset class created for clarity.					
Neuberger Berman - Individual ⇒ Newell Brands, Inc.	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation: 4/1/21 Yield: 3.15%					
Neuberger Berman - Individual ⇒ SPDR S&P 500 (SPY)	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Roth IRA ⇒ Dreyfus Treas. Prime Cash Management INV & SHS	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Adobe Systems Incorporated (ADBE)	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 ⇒ Alphabet Inc. - Class C Capital Stock (GOOG)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ American Tower Corporation (AMT)	SP	\$1 - \$1,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: REIT was sold 5/10/16, still own AMT stock.					
Neuberger Berman - Traditional IRA ⇒ Apple Inc. (AAPL)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Bank of America Corp	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: Maturation Date: 6/17/2019 ; Percentage Yield: 5.125%					
Neuberger Berman - Traditional IRA ⇒ Berkshire Hathaway Inc. (BRK.A)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ BlackRock, Inc. (BLK)	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Brookfield Infrastructure Partners LP Limited Partnership Units (BIP)	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Celgene Corporation (CELG)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Charter Communications, Inc. - Class A (CHTR)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Cisco Systems, Inc. (CSCO)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ CIT Group Inc. - Corporate Bond	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: Maturation Date: 3/15/2018 ; Percentage Yield: 5.25%					
Neuberger Berman - Traditional IRA ⇒ Comcast Corporation - Class A (CMCSA)	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Costco Wholesale Corporation (COST)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Crown Castle International	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: Maturation Date: 4/15/22; Percentage Yield: 4.875%					
Neuberger Berman - Traditional IRA ⇒ DENTSPLY SIRONA Inc. (XRAY)	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Dreyfus Treas. Prime Cash Management INV & SHS	SP	\$50,001 - \$100,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Facebook, Inc. - Class A (FB)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ General Dynamics Corporation (GD)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ General Electric Company (GE)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Goldman Sachs Group, Inc. (GS)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ HCA, Inc.	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation: 2/15/20 Yield: 6.25%					
Neuberger Berman - Traditional IRA ⇒ IHS Markit Ltd. - Common Shares (INFO)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Intercontinental Exchange Inc. (ICE)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ JP Morgan Chase & Co. (JPM)	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Leidos Holdings, Inc. (LDOS)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Lockheed Martin's IT business was acquired by Leidos and the stock was exchanged in August 2016. There was a partial sale of the Leidos on September 30, 2016.					
Neuberger Berman - Traditional IRA ⇒ Level 3 Fing Inc.	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: Maturation Date: 1/15/2021 ; Percentage Yield: 6.125%					
Neuberger Berman - Traditional IRA ⇒ Limited Brands, Inc.	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation: 4/1/21 Yield: 6.625%					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Traditional IRA ⇒ Mastercard Incorporated (MA)	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Merck & Company, Inc. Common Stock (MRK)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Microsoft Corporation (MSFT)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Newell Brands, Inc. DESCRIPTION: Maturation Date:4/1/21 Yield: 3.15	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Nielsen Fin LLC DESCRIPTION: Maturation Date: 10/1/2020 ; Percentage Yield: 4.5%	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Procter & Gamble Company (PG)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Regal Entmt Group DESCRIPTION: Maturation: 3/15/22 Yield: 5.75%	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sealed Air Corporation (SEE)	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Service Corporation International (SCI)	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ SLM Corp - Corporate Bond DESCRIPTION: Maturation Date: 9/25/2017; Percentage Yield: 4.625%	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Starbucks Corporation (SBUX)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ T-Mobile US, Inc. (TMUS)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ UnitedHealth Group Incorporated Common Stock (UNH)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Verisk Analytics Inc. - Corporate Bond DESCRIPTION: Maturation Date: 1/15/2019; Percentage Yield 4.875%					
Neuberger Berman - Traditional IRA ⇒ Verisk Analytics, Inc. - Class A (VRSK)	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Wells Fargo CO DESCRIPTION: Maturation: 2/13/23 Yield: 3.45	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Zimmer Biomet Holdings DESCRIPTION: Maturation Date: Continuously Call-able Yield:1.45%	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Zoetis Inc. Class A (ZTS)	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Savings Plus California State Employee 401(K) ⇒ Bond Fund		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Savings Plus California State Employee 401(K) ⇒ Large Cap Fund		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Savings Plus California State Employee 457 ⇒ Bond Fund		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Savings Plus California State Employee 457 ⇒ Large Cap Fund		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Walt Disney Company (DIS)	SP	\$100,001 - \$250,000	None		<input type="checkbox"/>

* Asset class details available at the bottom of this form.

SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Actavis Fdg Scs DESCRIPTION: Due date is 3/12/2018 2.35%	SP	04/19/2016	P	\$1,001 - \$15,000	
Neuberger Berger Equity Fdsall Cap Core FD Institutional LOCATION: US	SP	08/3/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
DESCRIPTION: This is cash management fund through my broker's company.					
Neuberger Berman - Roth IRA ⇒ American Tower Corporation (AMT)	SP	05/5/2016	S	\$319.00	<input type="checkbox"/>
Neuberger Berman - Roth IRA ⇒ ITC Holdings Corp. (ITC)	SP	02/1/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Roth IRA ⇒ ITC Holdings Corp. (ITC)	SP	02/9/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Adobe Systems Incorporated (ADBE)	SP	01/14/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Allergan plc Ordinary Shares (AGN)	SP	08/26/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Allergan plc Ordinary Shares (AGN)	SP	08/26/2016	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Alphabet Inc. - Class C Capital Stock (GOOG)	SP	01/14/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Apple Inc. (AAPL)	SP	11/9/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Apple Inc. (AAPL)	SP	11/11/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Baidu, Inc. - American Depositary Shares, each representing one tenth Class A ordinary share (BIDU)	SP	01/15/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Berkshire Hathaway Inc. New (BRK.B)	SP	06/29/2016	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Berkshire Hathaway Inc. New (BRK.B)	SP	09/21/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Celgene Corporation (CELG)	SP	01/28/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Celgene Corporation (CELG)	SP	03/7/2016	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Celgene Corporation (CELG)	SP	03/17/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Celgene Corporation (CELG)	SP	10/14/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Celgene Corporation (CELG)	SP	10/14/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Charter Communications, Inc. - Class A (CHTR)	SP	05/25/2016	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Charter Communications, Inc. - Class A (CHTR)	SP	06/29/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Charter Communications, Inc. - Class A (CHTR)	SP	10/11/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Check Point Software Technologies Ltd. - Ordinary Shares (CHKP)	SP	01/19/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Check Point Software Technologies Ltd. - Ordinary Shares (CHKP)	SP	05/25/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Chipotle Mexican Grill, Inc. (CMG)	SP	01/6/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Cisco Systems, Inc. (CSCO)	SP	06/13/2016	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Costco Wholesale Corporation (COST)	SP	09/12/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ CVS Health Corporation (CVS)	SP	08/29/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Delphi Automotive plc Ordinary Shares (DLPH)	SP	01/20/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Delphi Automotive plc Ordinary Shares (DLPH)	SP	02/9/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Delta Air Lines, Inc. (DAL)	SP	04/22/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Delta Air Lines, Inc. (DAL)	SP	05/10/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Delta Air Lines, Inc. (DAL)	SP	06/16/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ DENTSPLY SIRONA Inc. (XRAY)	SP	10/14/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Facebook, Inc. - Class A (FB)	SP	01/14/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Facebook, Inc. - Class A (FB)	SP	02/5/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Facebook, Inc. - Class A (FB)	SP	11/7/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ FedEx Corporation (FDX)	SP	01/15/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Fidelity National Information Services, Inc. (FIS)	SP	03/18/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Fidelity National Information Services, Inc. (FIS)	SP	03/18/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Fidelity National Information Services, Inc. (FIS)	SP	06/16/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Frontier Communications	SP	12/9/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: 8.25% interest 4/15/17 maturation date					
Neuberger Berman - Traditional IRA ⇒ Frontier Communications Corp	SP	03/7/2016	P	\$1,001 - \$15,000	
DESCRIPTION: Communication corporate bond					
Neuberger Berman - Traditional IRA ⇒ General Dynamics Corporation (GD)	SP	11/22/2016	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ General Dynamics Corporation (GD)	SP	12/19/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ General Electric Company (GE)	SP	01/20/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Goldman Sachs Group, Inc. (GS)	SP	01/25/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Goldman Sachs Group, Inc. (GS)	SP	02/22/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Goldman Sachs Group, Inc. (GS)	SP	03/23/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ HCA Inc	SP	05/11/2016	P	\$15,001 - \$50,000	
DESCRIPTION: Due date is 2/15/2020 3.561% interest					
Neuberger Berman - Traditional IRA ⇒ IHS Inc. IHS Inc. Class A (IHS)	SP	12/19/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Intercontinental Exchange Inc. (ICE)	SP	03/9/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Intercontinental Exchange Inc. (ICE)	SP	04/6/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Intuit Inc. (INTU)	SP	04/11/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ ITC Holdings Corp. (ITC)	SP	02/1/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ ITC Holdings Corp. (ITC)	SP	02/9/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ JP Morgan Chase & Co. (JPM)	SP	02/11/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ JP Morgan Chase & Co. (JPM)	SP	02/11/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒	SP	01/20/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Kimberly-Clark Corporation (KMB)			(partial)		
Neuberger Berman - Traditional IRA ⇒ Kimberly-Clark Corporation (KMB)	SP	11/14/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Leidos Holdings, Inc. (LDOS)	SP	09/30/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Lockheed Martin's IT business was acquired by Leidos and the stock was exchanged in August 2016. This is a partial sale of the Lockheed Martin stock that was purchased on August 10, 2016.					
Neuberger Berman - Traditional IRA ⇒ Level 3 Fing	SP	04/21/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: Call of Bond					
Neuberger Berman - Traditional IRA ⇒ Level 3 Fing Inc	SP	05/26/2016	P	\$15,001 - \$50,000	
DESCRIPTION: Due 1/15/21 2.573%					
Neuberger Berman - Traditional IRA ⇒ Limited Brands Incsenior	SP	05/17/2016	P	\$15,001 - \$50,000	
DESCRIPTION: Due date is 4/1/2021. Interest rate is 6.625%					
Neuberger Berman - Traditional IRA ⇒ Lockheed Martin (LMT)	SP	08/16/2016	E	\$15,001 - \$50,000	
LOCATION: US DESCRIPTION: Exchanged for Leidos Holdings, Inc. (LDOS) after acquisition.					
Neuberger Berman - Traditional IRA ⇒ Lockheed Martin Corporation (LMT)	SP	08/10/2016	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Markit Ltd. - Common Shares (MRKT)	SP	07/12/2016	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Markit Ltd. - Common Shares	SP	07/12/2016	E	\$15,001 - \$50,000	
LOCATION: US DESCRIPTION: Exchanged for IHS Markit Ltd. (INFO) after acquisition.					
Neuberger Berman - Traditional IRA ⇒ Merck & Company, Inc. Common Stock (MRK)	SP	01/21/2016	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Merck & Company, Inc. Common Stock (MRK)	SP	01/21/2016	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Microsoft Corporation (MSFT)	SP	06/21/2016	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Newell Rubbermaid	SP	05/12/2016	P	\$15,001 - \$50,000	
DESCRIPTION: Due date is 4/1/2021 3.15%					
Neuberger Berman - Traditional IRA ⇒ Paypal Holdings Inccom	SP	01/7/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Online financial services					
Neuberger Berman - Traditional IRA ⇒ Paypal Holdings Inccom	SP	01/7/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Online financial services					
Neuberger Berman - Traditional IRA ⇒ PayPal Holdings, Inc. (PYPL)	SP	01/7/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ PayPal Holdings, Inc. (PYPL)	SP	08/16/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Perrigo Company plc Ordinary Shares (PRGO)	SP	02/25/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Perrigo Company plc Ordinary Shares (PRGO)	SP	03/4/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Perrigo Company plc Ordinary Shares (PRGO)	SP	03/4/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Perrigo Company plc Ordinary Shares (PRGO)	SP	04/25/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ PPG Industries, Inc. (PPG)	SP	01/20/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Procter & Gamble Company (PG)	SP	04/20/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Regal Entmt Group	SP	06/8/2016	P	\$15,001 - \$50,000	
DESCRIPTION: Interest rate is 5.75% Maturation date is 3/15/22					
Neuberger Berman - Traditional IRA ⇒	SP	11/10/2016	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Sealed Air Corporation (SEE)					
Neuberger Berman - Traditional IRA ⇒ Seaspan Corporation Seaspan Corporation Common Shares (SSW)	SP	04/26/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: This was a bond. Incorrectly reported as a stock sale.					
Neuberger Berman - Traditional IRA ⇒ Sherwin-Williams Company (SHW)	SP	01/20/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ SLM Corp	SP	05/11/2016	P	\$15,001 - \$50,000	
DESCRIPTION: Due date is 9/25/2017. 3.107%					
Neuberger Berman - Traditional IRA ⇒ Starbucks Corporation (SBUX)	SP	07/21/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Starbucks Corporation (SBUX)	SP	07/22/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Synchrony Financial (SYF)	SP	02/3/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ The Priceline Group Inc. (PCLN)	SP	04/7/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ T-Mobile US, Inc. (TMUS)	SP	04/19/2016	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ T-Mobile US, Inc. (TMUS)	SP	05/10/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Union Pacific Corporation (UNP)	SP	01/7/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Union Pacific Corporation (UNP)	SP	01/7/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ United Parcel Service, Inc. (UPS)	SP	02/24/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ United Parcel Service, Inc. (UPS)	SP	10/26/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ UnitedHealth Group Incorporated Common Stock (UNH)	SP	01/19/2016	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Verisk Analytics, Inc. (VRSK)	SP	01/29/2016	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Verisk Analytics, Inc. (VRSK)	SP	10/14/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Verizon Communications Inc. (VZ)	SP	06/15/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Verizon Communications Inc. (VZ)	SP	11/14/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Wells Fargo & Co DESCRIPTION: Due date is 2/13//2023 2.894%	SP	05/11/2016	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Willis Towers Watson Public Limited Company - Ordinary Shares (WLTW)	SP	09/30/2016	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Willis Towers Watson Public Limited Company - Ordinary Shares (WLTW)	SP	11/4/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Zimmer Holdings INCSR DESCRIPTION: Medical technology and devices	SP	01/7/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Zoetis Inc. Class A (ZTS)	SP	01/14/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Zoetis Inc. Class A (ZTS)	SP	03/1/2016	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Zoetis Inc. Class A (ZTS)	SP	08/22/2016	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Newell Rubbermaid Inc DESCRIPTION: Due date is 4/1/2021. 3.15% interest.	SP	05/12/2016	P	\$1,001 - \$15,000	
SPDR S&P 500 (SPY)	SP	08/4/2016	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
LOCATION: US					
DESCRIPTION: Exchange Traded Funds					
SPDR S&P 500 (SPY)	SP	08/8/2016	P	\$439.99	
LOCATION: US					
DESCRIPTION: Exchange Traded Funds					

* Asset class details available at the bottom of this form.

SCHEDULE C: EARNED INCOME

Source	Type	Amount
Southern California Permanente Medical Group	Spouse Salary	N/A
Mid-Atlantic States Permanente Medical Group	Spouse Salary	N/A
California Public Employees Retirement System	University Pension	\$50,311.00
American General	Required Minimum Distribution from 403(b)	\$13,328.00
Savings Plus 457 (AON Hewitt BPS)	Required Minimum Distribution from 457 Account	\$3,282.00
Savings Plus 401(k) (AON Hewitt BPS)	Required Minimum Distribution from 401(k)	\$6,645.00
Allianz	Required Minimum Distribution from Allianz 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

Source	Trip Details				Inclusions		
	Start Date	End Date	Itinerary	Days at Own Exp.	Lodging?	Food?	Family?
Progressive Congress	02/4/2016	02/6/2016	Washington, DC - Baltimore, MD - Washington, DC	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Center for Democracy in the Americas	02/12/2016	02/16/2016	Washington, DC - Havana, Cuba - Long Beach, CA	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Southern Utah Wilderness Alliance	11/9/2016	11/12/2016	Los Angeles, CA - Salt Lake City, UT - Los Angeles, CA	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input 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 - 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 , 05/15/2017