



Filing ID #10035942

FINANCIAL DISCLOSURE REPORT

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

FILER INFORMATION

Name: Dr. Mark Neumann
Status: Congressional Candidate
State/District: WI03

FILING INFORMATION

Filing Type: Candidate Report
Filing Year: 2020
Filing Date: 07/11/2020
Period Covered: 01/01/2019– 05/31/2020

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Altra FCU Checking / Savings Accounts [BA]	JT	\$50,001 - \$100,000	Dividends	\$201 - \$1,000	\$1 - \$200
DESCRIPTION: Household checking and savings accounts					
Ameriprise Brokerage 2931 ⇒ Columbia Strategic Income [MF]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$201 - \$1,000
Ameriprise Brokerage 2931 ⇒ Hologic, Inc. (HOLX) [ST]	JT	\$15,001 - \$50,000	Capital Gains	None	None
Ameriprise Brokerage 2931 ⇒ ISHARES MSCI ACWI LOW CARBON TARGET ETF [EF]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Ameriprise Brokerage 2931 ⇒ ISHARES MSCI KLD 400 SOCIAL ETF [EF]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Ameriprise Brokerage 7020 Mary ⇒ FRANKLIN MANAGED INCOME CL C [MF]	SP	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
Ameriprise SPS ADV 1607 Mary ⇒	SP	\$15,001 - \$50,000	Capital Gains,	\$1,001 - \$2,500	\$1,001 -

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
BLACKROCK MULTI ASSET INCOME INSTL CL [MF]			Dividends		\$2,500
Ameriprise SPS ADV 1607 Mary ⇒ BLACKROCK STRATEGIC INCOME OPPTYS INSTL CL [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
Ameriprise SPS ADV 1607 Mary ⇒ COLUMBIA TOTAL RETURN BOND INSTL CL [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
Ameriprise SPS ADV 1607 Mary ⇒ DELAWARE HEALTHCARE INSTL CL [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Ameriprise SPS ADV 1607 Mary ⇒ EATON VANCE MULTI ASSET CREDIT CL I [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	Not Applicable
Ameriprise SPS ADV 1607 Mary ⇒ FIDELITY ADVISOR TECHNOLOGY CL I [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Ameriprise SPS ADV 1607 Mary ⇒ FIDELITY SMALL CAP INDEX INSTL PREMIUM CL [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Ameriprise SPS ADV 1607 Mary ⇒ INVESCO CORE PLUS BOND CL Y [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
Ameriprise SPS ADV 1607 Mary ⇒ ISHARES CORE S&P U S VALUE ETF [EF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
Ameriprise SPS ADV 1607 Mary ⇒ ISHARES EDGE MSCI MIN VOLATILITY ETF [EF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Ameriprise SPS ADV 1607 Mary ⇒ JOHN HANCOCK REGIONAL BANK CL I [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Ameriprise SPS ADV 1607 Mary ⇒ MFS INTL DIVERSIFICATION CL I [MF]	SP	\$50,001 - \$100,000	Capital Gains, Dividends	\$201 - \$1,000	Not Applicable
Ameriprise SPS ADV 1607 Mary ⇒ MFS MID CAP VALUE CL I [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Ameriprise SPS ADV 1607 Mary ⇒	SP	\$50,001 -	Capital Gains,	\$201 - \$1,000	\$201 -

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
VANGUARD RUSSELL 1000 GROWTH INEX FD ETF SHS [EF]		\$100,000	Dividends		\$1,000
Ameriprise SPS ADV 5667 Mark ⇒ BLACKROCK MULTI ASSET INCOME INSTL CL [MF]		\$50,001 - \$100,000	Capital Gains, Dividends	\$2,501 - \$5,000	\$2,501 - \$5,000
Ameriprise SPS ADV 5667 Mark ⇒ BLACKROCK STRATEGIC INCOME OPPTYS INSTL CL [MF]		\$100,001 - \$250,000	Capital Gains, Dividends	\$2,501 - \$5,000	\$1,001 - \$2,500
Ameriprise SPS ADV 5667 Mark ⇒ COLUMBIA TOTAL RETURN BOND INSTL CL [MF]		\$100,001 - \$250,000	Capital Gains, Dividends	\$2,501 - \$5,000	\$2,501 - \$5,000
Ameriprise SPS ADV 5667 Mark ⇒ DELAWARE HEALTHCARE INSTL CL [MF]		\$15,001 - \$50,000	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
Ameriprise SPS ADV 5667 Mark ⇒ EATON VANCE MULTI ASSET CREDIT CL I [MF]		\$50,001 - \$100,000	Capital Gains, Dividends	\$2,501 - \$5,000	Not Applicable
Ameriprise SPS ADV 5667 Mark ⇒ FIDELITY SMALL CAP INDEX INSTL PREMIUM CL [MF]		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Ameriprise SPS ADV 5667 Mark ⇒ INVESCO CORE PLUS BOND CL Y [MF]		\$100,001 - \$250,000	Capital Gains, Dividends	\$2,501 - \$5,000	\$2,501 - \$5,000
Ameriprise SPS ADV 5667 Mark ⇒ INVESCO QQQ ETF [EF]		\$15,001 - \$50,000	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
Ameriprise SPS ADV 5667 Mark ⇒ ISHARES CORE S&P U S VALUE ETF [EF]		\$100,001 - \$250,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$2,501 - \$5,000
Ameriprise SPS ADV 5667 Mark ⇒ ISHARES EDGE MSCI MIN VOLATILITY ETF [EF]		\$50,001 - \$100,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
Ameriprise SPS ADV 5667 Mark ⇒ JOHN HANCOCK REGIONAL BANK CL I [MF]		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Ameriprise SPS ADV 5667 Mark ⇒ MFA INTL DIVERSIFICATION CL I [MF]		\$100,001 - \$250,000	Capital Gains, Dividends	\$1,001 - \$2,500	Not Applicable

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Ameriprise SPS ADV 5667 Mark ⇒ MFS MID CAP VALUE CL I [MF]		\$50,001 - \$100,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$201 - \$1,000
Ameriprise SPS ADV 5667 Mark ⇒ VANGUARD RUSSELL 1000 GROWTH INDEX FD ETF SHS [EF]		\$100,001 - \$250,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$201 - \$1,000
Ameriprise SPS ADV 5667 Mark ⇒ W. P. Carey Inc. REIT (WPC) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
Edvest WI College Savings Plan ⇒ Edvest Wisconsin College Savings Plan [5P] LOCATION: WI	JT	\$15,001 - \$50,000	Tax-Deferred		
Morgan Stanley Brokerage ⇒ AMERICAN CAP INC BUILDER A [MF]		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Morgan Stanley Brokerage ⇒ AMERICAN WA MUTUAL A [MF]		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Morgan Stanley Brokerage ⇒ CLEARBRIDGE LARGE CAP GWTH A [MF]		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Morgan Stanley Brokerage ⇒ CLEARBRIDGE MID CAP A [MF]		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Tomorrow's Scholar [5P] LOCATION: WI	JT	\$15,001 - \$50,000	Tax-Deferred		

* 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 Current Year to Filing	Amount Preceding Year
Gundersen Lutheran Admin Svce	salary	N/A	\$31,569.00
Waterford Valley Community Association	salary, hours worked	\$100.00	\$3,350.00
County of La Crosse	salary, hours worked	\$2,500.00	\$5,680.10
Mayo Foundation For Medical Education & Research	spouse salary, hourly	N/A	\$19,285.66
Gundersen Lutheran Admin Svce	spouse salary	\$30,000.00	\$6,553.41

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	Altra Federal Credit Union	April, 2010	home mortgage	\$50,001 - \$100,000

SCHEDULE E: POSITIONS

Position	Name of Organization
employee (employed physician)	Gundersen Health System
employee	La Crosse County
member of home owners association	Waterford Valley Community Association
employee	Waterford Valley Community Association

SCHEDULE F: AGREEMENTS

None disclosed.

SCHEDULE J: COMPENSATION IN EXCESS OF \$5,000 PAID BY ONE SOURCE

None disclosed.

SCHEDULE A ASSET CLASS DETAILS

- Ameriprise Brokerage 2931 (Owner: JT) LOCATION: US - Ameriprise Brokerage 7020 Mary (Owner: SP) DESCRIPTION: Qualified retirement account, Roth IRA, held by spouse, managed through Ameriprise Financial - Ameriprise SPS ADV 1607 Mary (Owner: SP) DESCRIPTION: Qualified retirement account, Traditional IRA, owned by spouse and managed through Ameriprise Financial - Ameriprise SPS ADV 5667 Mark DESCRIPTION: Qualified retirement account, Traditional IRA, managed through Ameriprise Financial - Edvest WI College Savings Plan (Owner: JT) LOCATION: WI DESCRIPTION: College savings fund for son, Jacob - Morgan Stanley Brokerage LOCATION: US
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EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

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: Dr. Mark Neumann , 07/11/2020