



FINANCIAL DISCLOSURE REPORT

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

FILER INFORMATION

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

FILING INFORMATION

Filing Type: Candidate Report
Filing Year: 2022
Filing Date: 07/8/2022

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 Account [BA]	JT	\$15,001 - \$50,000	Interest	\$1 - \$200	\$1,001 - \$2,500
Ameriprise Brokerage 7020 Mary ⇒ FRANKLIN MANAGED INCOME CL A [MF] DESCRIPTION: TAXED DEFERRED IRA	SP	\$1,001 - \$15,000	Tax-Deferred		
Ameriprise Brokerage 7020 Mary ⇒ FRANKLIN MANAGED INCOME CL C [MF] DESCRIPTION: TAXED DEFERRED IRA	SP	\$1,001 - \$15,000	Tax-Deferred		
Ameriprise Brokerage 8865 ⇒ Hologic, Inc. (HOLX) [ST] DESCRIPTION: NO GAINS/LOSSES REALIZED	JT	\$15,001 - \$50,000	None		
Ameriprise SPS ADV 1607 Mary ⇒ BLACKROCK STRATEGIC INCOME OPPTYS INSTL CL [MF] DESCRIPTION: TAXED DEFERRED IRA	SP	\$50,001 - \$100,000	Tax-Deferred		
Ameriprise SPS ADV 1607 Mary ⇒ BLACKROCK SYSTEMATIC MULTI STRATEGY INSTL CL [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
DESCRIPTION: TAXED DEFERRED IRA					
Ameriprise SPS ADV 1607 Mary ⇒ CALVERT GLOBAL WATER CL I [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		
DESCRIPTION: TAXED DEFERRED IRA					
Ameriprise SPS ADV 1607 Mary ⇒ COLUMBIA TOTAL RETURN BOND INSTL CL [MF]	SP	\$50,001 - \$100,000	Tax-Deferred		
DESCRIPTION: TAXED DEFERRED IRA					
Ameriprise SPS ADV 1607 Mary ⇒ EATON VANCE MULTI ASSET CREDIT CL I [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		
DESCRIPTION: TAXED DEFERRED IRA					
Ameriprise SPS ADV 1607 Mary ⇒ FIDELITY ADVISOR TECHNOLOGY CL I [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		
DESCRIPTION: TAXED DEFERRED IRA					
Ameriprise SPS ADV 1607 Mary ⇒ FIDELITY SMALL CAP INDEX INSTL PREMIUM CL [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		
DESCRIPTION: TAXED DEFERRED IRA					
Ameriprise SPS ADV 1607 Mary ⇒ FIRST EAGLE GLOBAL CL I [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		
DESCRIPTION: TAXED DEFERRED IRA					
Ameriprise SPS ADV 1607 Mary ⇒ INVESCO CORE PLUS BOND CL Y [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		
DESCRIPTION: TAXED DEFERRED IRA					
Ameriprise SPS ADV 1607 Mary ⇒ ISHARES CORE S&P U S VALUE ETF [EF]	SP	\$50,001 - \$100,000	Tax-Deferred		
DESCRIPTION: TAXED DEFERRED IRA					
Ameriprise SPS ADV 1607 Mary ⇒ JOHN HANCOCK INFRASTRUCTURE CL I [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		
DESCRIPTION: TAXED DEFERRED IRA					
Ameriprise SPS ADV 1607 Mary ⇒ MFS INTL DIVERSIFICATION CL I [MF]	SP	\$50,001 - \$100,000	Tax-Deferred		
DESCRIPTION: TAXED DEFERRED IRA					
Ameriprise SPS ADV 1607 Mary ⇒ MFS MID CAP VALUE CL I [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
DESCRIPTION: TAXED DEFERRED IRA					
Ameriprise SPS ADV 1607 Mary ⇒ VANGUARD RUSSELL 1000 GROWTH INDEX FD ETF SHS [EF]	SP	\$50,001 - \$100,000	Tax-Deferred		
DESCRIPTION: TAXED DEFERRED IRA					
Ameriprise SPS ADV 2931 ⇒ CALVERT U S LARGE CAP VALUE RESPONSIBLE INDEX CL [MF]	JT	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	None
Ameriprise SPS ADV 2931 ⇒ COLUMBIA U S SOCIAL BOND INSTL CL [MF]	JT	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	None
Ameriprise SPS ADV 2931 ⇒ EATON VANCE NATIONAL ULTRA SHORT MUN INCOME CL [MF]	JT	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
Ameriprise SPS ADV 2931 ⇒ ISHARES MSCI ACWI LOW CARBON TARGET ETF [EF]	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$1 - \$200
Ameriprise SPS ADV 2931 ⇒ ISHARES MSCI KLD 400 Social ETF [EF]	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$1 - \$200
Ameriprise SPS ADV 2931 ⇒ SPDR SSGA GENDER DIVERSITY INDEX ETF [EF]	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$1 - \$200
Ameriprise SPS ADV 5667 Mark ⇒ BLACKROCK STRATEGIC INCOME OPPTYS INSTL CL [MF]		\$100,001 - \$250,000	Tax-Deferred		
DESCRIPTION: TAXED DEFERRED IRA					
Ameriprise SPS ADV 5667 Mark ⇒ BLACKROCK SYSTEMATIC MULTI STRATEGY INSTL CL [MF]		\$50,001 - \$100,000	Tax-Deferred		
DESCRIPTION: TAXED DEFERRED IRA					
Ameriprise SPS ADV 5667 Mark ⇒ CALVERT GLOBAL WATER CL I [MF]		\$15,001 - \$50,000	Tax-Deferred		
DESCRIPTION: TAXED DEFERRED IRA					
Ameriprise SPS ADV 5667 Mark ⇒ COLUMBIA TOTAL RETURN BOND INSTL CL [MF]		\$100,001 - \$250,000	Tax-Deferred		
DESCRIPTION: TAXED DEFERRED IRA					

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Ameriprise SPS ADV 5667 Mark ⇒ EATON VANCE MULTI ASSET CREDIT CL I [MF] DESCRIPTION: TAXED DEFERRED IRA		\$15,001 - \$50,000	Tax-Deferred		
Ameriprise SPS ADV 5667 Mark ⇒ FIDELITY SMALL CAP INDEX INSTL PREMIUM CL [MF] DESCRIPTION: TAXED DEFERRED IRA		\$50,001 - \$100,000	Tax-Deferred		
Ameriprise SPS ADV 5667 Mark ⇒ FIRST EAGLE GLOBAL CL I [MF] DESCRIPTION: TAXED DEFERRED IRA		\$15,001 - \$50,000	Tax-Deferred		
Ameriprise SPS ADV 5667 Mark ⇒ INVESCO CORE PLUS BOND CL Y [MF] DESCRIPTION: TAXED DEFERRED IRA		\$50,001 - \$100,000	Tax-Deferred		
Ameriprise SPS ADV 5667 Mark ⇒ INVESCO QQQ ETF [EF] DESCRIPTION: TAXED DEFERRED IRA		\$15,001 - \$50,000	Tax-Deferred		
Ameriprise SPS ADV 5667 Mark ⇒ ISHARES CORE S&P U S VALUE ETF [EF] DESCRIPTION: TAXED DEFERRED IRA		\$100,001 - \$250,000	Tax-Deferred		
Ameriprise SPS ADV 5667 Mark ⇒ JOHN HANCOCK INFRASTRUCTURE CL I [MF] DESCRIPTION: TAXED DEFERRED IRA		\$15,001 - \$50,000	Tax-Deferred		
Ameriprise SPS ADV 5667 Mark ⇒ MFS INTL DIVERSIFICATION CL I [MF] DESCRIPTION: TAXED DEFERRED IRA		\$100,001 - \$250,000	Tax-Deferred		
Ameriprise SPS ADV 5667 Mark ⇒ MFS MID CAP VALUE CL I [MF] DESCRIPTION: TAXED DEFERRED IRA		\$50,001 - \$100,000	Tax-Deferred		
Ameriprise SPS ADV 5667 Mark ⇒ VANGUARD RUSSELL 1000 GROWTH INDEX FD ETF SHS [EF] DESCRIPTION: TAXED DEFERRED IRA		\$100,001 - \$250,000	Tax-Deferred		
Edvest WI College Savings Plan ⇒ Edvest WI College Savings Plan [5P]	JT	\$15,001 - \$50,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
LOCATION: WI DESCRIPTION: 529 COLLEGE SAVINGS ACCNT					
Morgan Stanley Brokerage 7568 ⇒ AMERICAN CAP INC BUILDER A [MF]	JT	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Morgan Stanley Brokerage 7568 ⇒ AMERICAN WA MUTUAL A [MF]	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Morgan Stanley Brokerage 7568 ⇒ CLEARBRIDGE LARGE CAP GWTH A [MF]	JT	\$1,001 - \$15,000	Dividends	None	None
Morgan Stanley Brokerage 7568 ⇒ CLEARBRIDGE MID CAP A [MF]	JT	\$1,001 - \$15,000	Dividends	None	None
Morgan Stanley Brokerage 7568 ⇒ UNIT AAM AEGON SUSTAINABLE EQUITY CDA [OT] DESCRIPTION: UNIT INVESTMENT TRUST	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	None
Morgan Stanley Brokerage 7568 ⇒ UNIT AAM COHEN & STEERS DYNAMIC INCOME [OT] DESCRIPTION: UNIT INVESTMENT TRUST	JT	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	None
Tomorrow's Scholar 529 Plan ⇒ Tomorrow's Scholar [5P] LOCATION: WI DESCRIPTION: 529 COLLEGE SAVINGS ACCNT	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
City of La Crosse	Service on City Common Council as Member	\$4,072.00	\$8,143.00
WATERFORD VALLEY COMMUNITY ASSOCIATION	Part-time hourly wage job serving neighborhood homeowners association	N/A	\$7,068.00
Gundersen Health System	spouse salary	N/A	N/A

SCHEDULE D: LIABILITIES

None disclosed.

SCHEDULE E: POSITIONS

None disclosed.

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 7020 Mary (Owner: SP)
DESCRIPTION: Qualified retirement account, Roth IRA, held by spouse, managed through Ameriprise Financial
- Ameriprise Brokerage 8865 (Owner: JT)
LOCATION: US
- Ameriprise SPS ADV 1607 Mary (Owner: SP)
DESCRIPTION: Qualified retirement account, Traditional IRA, owned by spouse and managed through Ameriprise Financial
- Ameriprise SPS ADV 2931 (Owner: JT)
LOCATION: US
- 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 7568 (Owner: JT)
LOCATION: US
- Tomorrow's Scholar 529 Plan (Owner: JT)
LOCATION: WI
DESCRIPTION: College savings plan for son, Jacob

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

COMMENTS

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 Allen Neumann , 07/8/2022