



Filing ID #20003003

# PERIODIC TRANSACTION REPORT

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## FILER INFORMATION

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

## TRANSACTIONS

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount
2000001026	SP	Boeing Company (BA) FILING STATUS: Amended SUBHOLDING OF: Neuberger Berman - Traditional IRA	S	03/4/2014	03/8/2014	\$1,001 - \$15,000
2000002341	SP	C.R. Bard, Inc. (BCR) FILING STATUS: Amended SUBHOLDING OF: Neuberger Berman - Traditional IRA	S	06/4/2014	06/10/2014	\$1,001 - \$15,000
2000001578	SP	Crown Castle Intl Corp FILING STATUS: Amended SUBHOLDING OF: Neuberger Berman - Traditional IRA DESCRIPTION: A bond.	P	04/15/2014	04/24/2014	\$15,001 - \$50,000
2000001766	SP	eBay Inc. (EBAY) FILING STATUS: Amended SUBHOLDING OF: Neuberger Berman - Traditional IRA	S	05/5/2014	05/10/2014	\$15,001 - \$50,000
2000000775	SP	Enbridge Energy Management LLC Shares repstg limited liability company interests (EEQ) FILING STATUS: Amended SUBHOLDING OF: Neuberger Berman - Traditional IRA	S	02/14/2014	02/14/2014	\$15,001 - \$50,000
2000003010	SP	Express Scripts Holding Company (ESRX) FILING STATUS: Amended SUBHOLDING OF: Neuberger Berman - Traditional IRA	S	07/17/2014	07/22/2014	\$15,001 - \$50,000
2000003011	SP	Express Scripts Holding Company	S	07/18/2014	07/23/2014	\$1,001 - \$15,000

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		(ESRX) FILING STATUS: Amended SUBHOLDING OF: Neuberger Berman - Traditional IRA				
2000002114	SP	Golub Capital BDC, Inc. (GBDC) FILING STATUS: Amended SUBHOLDING OF: Neuberger Berman - Traditional IRA	S	05/16/2014	05/21/2014	\$15,001 - \$50,000
2000000401	SP	IHS Inc. IHS Inc. Class A (IHS) FILING STATUS: Amended SUBHOLDING OF: Neuberger Berman - Traditional IRA	P	01/15/2014	01/23/2014	\$1,001 - \$15,000
2000000288	SP	Intuit Inc. (INTU) FILING STATUS: Amended SUBHOLDING OF: Neuberger Berman - Traditional IRA	P	01/7/2014	01/10/2014	\$15,001 - \$50,000
2000004433	SP	Intuit Inc. (INTU) FILING STATUS: Amended SUBHOLDING OF: Neuberger Berman - Traditional IRA	S	10/3/2014	10/7/2014	\$15,001 - \$50,000
2000001767	SP	JP Morgan Chase & Co. (JPM) FILING STATUS: Amended SUBHOLDING OF: Neuberger Berman - Traditional IRA	S	05/5/2014	05/10/2014	\$15,001 - \$50,000
2000001025	SP	Kansas City Southern (KSU) FILING STATUS: Amended SUBHOLDING OF: Neuberger Berman - Traditional IRA	S	02/18/2014	02/24/2014	\$1,001 - \$15,000
2000000774	SP	Kinder Morgan Energy Partners, L.P. (KMP) FILING STATUS: Amended SUBHOLDING OF: Neuberger Berman - Traditional IRA	S	02/14/2014	02/14/2014	\$1,001 - \$15,000
2000002113	SP	New Mountain Finance Corporation (NMFC) FILING STATUS: Amended SUBHOLDING OF: Neuberger Berman - Traditional IRA	S	05/16/2014	05/21/2014	\$1,001 - \$15,000
2000001764	SP	Nielsen Fin LLC/Nielsen Fin FILING STATUS: Amended SUBHOLDING OF: Neuberger Berman - Traditional IRA DESCRIPTION: This is a bond.	P	04/30/2014	05/10/2014	\$15,001 - \$50,000
2000001174	SP	Regal Cinemas Corp GTD SR	S	03/11/2014	03/17/2014	\$1,001 - \$15,000

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount
		FILING STATUS: Amended SUBHOLDING OF: Neuberger Berman - Traditional IRA DESCRIPTION: Bond was tendered.				
2000001577	SP	Regency Energy Partners LP	S	04/15/2014	04/24/2014	\$1,001 - \$15,000
		FILING STATUS: Amended SUBHOLDING OF: Neuberger Berman - Traditional IRA DESCRIPTION: A bond				
2000001175	SP	Starwood Waypoint Residential Trust (SWAY)	P	02/3/2014	02/21/2014	\$1,001 - \$15,000
		FILING STATUS: Amended SUBHOLDING OF: Neuberger Berman - Roth IRA				
2000001765	SP	Verisk Analytics, Inc. - Class A (VRSK)	P	05/2/2014	05/10/2014	\$15,001 - \$50,000
		FILING STATUS: Amended SUBHOLDING OF: Neuberger Berman - Traditional IRA				

## ASSET CLASS DETAILS

- Neuberger Berman - Roth IRA (Owner: SP)
- Neuberger Berman - Traditional IRA (Owner: SP)

## INITIAL PUBLIC OFFERINGS

☐ Yes ☒ No

## CERTIFICATION AND SIGNATURE

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

**Digitally Signed:** Hon. Alan S. Lowenthal , 05/5/2015