



Filing ID #20008779

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
SP	Ares Cap Corp	Note	P	01/11/2018	01/19/2018	\$15,001 - \$50,000
		FILING STATUS: New				
		SUBHOLDING OF: Neuberger Berman - Traditional IRA				
		DESCRIPTION: Maturity date is 1/15/2020, % interest rate is 2.983%.				
SP	Autodesk, Inc. (ADSK)		S	01/9/2018	01/17/2018	\$1,001 - \$15,000
		FILING STATUS: New				
		SUBHOLDING OF: Neuberger Berman - Traditional IRA				
SP	BioMarin Pharmaceutical Inc. (BMRN)		P	01/17/2018	01/21/2018	\$1,001 - \$15,000
		FILING STATUS: New				
		SUBHOLDING OF: Neuberger Berman - Traditional IRA				
SP	BioMarin Pharmaceutical Inc. (BMRN)		P	01/18/2018	01/21/2018	\$1,001 - \$15,000
		FILING STATUS: New				
		SUBHOLDING OF: Neuberger Berman - Traditional IRA				
SP	Constellation Brands Inc	Note	P	01/12/2018	01/21/2018	\$15,001 - \$50,000
		FILING STATUS: New				
		SUBHOLDING OF: Neuberger Berman - Traditional IRA				
		DESCRIPTION: Maturity date is 5/01/2022, interest rate is 3.038%.				
SP	CVS Health Corp	Note	P	01/12/2018	01/21/2018	\$15,001 - \$50,000
		FILING STATUS: New				
		SUBHOLDING OF: Neuberger Berman - Traditional IRA				
		DESCRIPTION: Maturity date is 7/20/2020, interest rate is 2.8%.				
SP	HCA Inc	Secd	P	01/17/2018	01/21/2018	\$1,001 - \$15,000

ID	Owner	Asset	Transaction Date Type	Notification Amount Date
		FILING STATUS: New SUBHOLDING OF: Neuberger Berman - Traditional IRA DESCRIPTION: Maturity date is 2/15/2020, interest rate is 6.5%.		

ASSET CLASS DETAILS

- 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 , 01/21/2018