



# PERIODIC TRANSACTION REPORT

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

## FILER INFORMATION

**Name:** Hon. Josh Gottheimer

**Status:** Member

**State/District:** NJ05

## TRANSACTIONS

ID	Owner Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
JT	Adobe Inc. (ADBE) [ST] FILING STATUS: New SUBHOLDING OF: Morgan Stanley - Select UMA Account # 2	S (partial)	10/17/2018	11/05/2018	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
JT	Advanced Micro Devices, Inc. (AMD) [ST] FILING STATUS: New SUBHOLDING OF: Morgan Stanley - Select UMA Account # 2	P	10/02/2018	11/05/2018	\$1,001 - \$15,000	<input type="checkbox"/>
JT	Advanced Micro Devices, Inc. (AMD) [ST] FILING STATUS: New SUBHOLDING OF: Morgan Stanley - Select UMA Account # 2	S	10/26/2018	11/05/2018	\$1,001 - \$15,000	<input type="checkbox"/>
JT	Alnylam Pharmaceuticals, Inc. (ALNY) [ST] FILING STATUS: New SUBHOLDING OF: Morgan Stanley - Select UMA Account # 2	S	10/18/2018	11/05/2018	\$1,001 - \$15,000	<input type="checkbox"/>
JT	Alphabet Inc. - Class C Capital Stock (GOOG) [ST] FILING STATUS: New SUBHOLDING OF: Morgan Stanley - Select UMA Account # 2	S (partial)	10/12/2018	11/05/2018	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
JT	Biogen Inc. (BIIB) [ST] FILING STATUS: New SUBHOLDING OF: Morgan Stanley - Select UMA Account # 2	S	10/29/2018	11/05/2018	\$1,001 - \$15,000	<input type="checkbox"/>

ID	Owner Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
JT	Charles Schwab Corporation (SCHW) [ST] FILING STATUS: New SUBHOLDING OF: Morgan Stanley - Select UMA Account # 1	S	10/26/2018	11/05/2018	\$1,001 - \$15,000	<input type="checkbox"/>
JT	Costco Wholesale Corporation (COST) [ST] FILING STATUS: New SUBHOLDING OF: Morgan Stanley - Select UMA Account # 2	P	10/11/2018	11/05/2018	\$1,001 - \$15,000	<input type="checkbox"/>
JT	Home Depot, Inc. (HD) [ST] FILING STATUS: New SUBHOLDING OF: Morgan Stanley - Select UMA Account # 2	S	10/17/2018	11/05/2018	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
JT	Illumina, Inc. (ILMN) [ST] FILING STATUS: New SUBHOLDING OF: Morgan Stanley - Select UMA Account # 2	P	10/24/2018	11/05/2018	\$1,001 - \$15,000	<input type="checkbox"/>
JT	Intuitive Surgical, Inc. (ISRG) [ST] FILING STATUS: New SUBHOLDING OF: Morgan Stanley - Select UMA Account # 1	S (partial)	10/01/2018	11/05/2018	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
	KapStone Paper and Packaging Corporation (KS) [ST] FILING STATUS: New SUBHOLDING OF: Morgan Stanley > UMA Active Assets Account	S	10/15/2018	11/05/2018	\$1,001 - \$15,000	<input type="checkbox"/>
JT	lululemon athletica inc. (LULU) [ST] FILING STATUS: New SUBHOLDING OF: Morgan Stanley - Select UMA Account # 2	P	10/29/2018	11/05/2018	\$1,001 - \$15,000	<input type="checkbox"/>
JT	Microsoft Corporation (MSFT) [OP] FILING STATUS: New SUBHOLDING OF: Morgan Stanley - Portfolio Management DESCRIPTION: Call Options; Strike Price \$105, Expires 10/19/18 COMMENTS: Bought 150 call option contracts to close out an existing open position.	P	10/12/2018	10/12/2018	\$50,001 - \$100,000	<input type="checkbox"/>
JT	Microsoft Corporation (MSFT) [OP] FILING STATUS: New SUBHOLDING OF: Morgan Stanley - Portfolio Management	S	10/12/2018	10/12/2018	\$1,001 - \$15,000	<input type="checkbox"/>

ID	Owner Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
	DESCRIPTION: Call Option; Strike Price \$120; Expires 01/18/2019 COMMENTS: Sold covered call option					
JT	Microsoft Corporation (MSFT) [OP]	S	10/12/2018	10/12/2018	\$1,001 - \$15,000	<input type="checkbox"/>
	FILING STATUS: New SUBHOLDING OF: Morgan Stanley - Portfolio Management DESCRIPTION: Call Option; Strike price \$114; Expires 11/09/2018 COMMENTS: Sold covered call option					
JT	Microsoft Corporation (MSFT) [OP]	S	10/12/2018	10/12/2018	\$15,001 - \$50,000	<input type="checkbox"/>
	FILING STATUS: New SUBHOLDING OF: Morgan Stanley - Portfolio Management DESCRIPTION: Call Option; Strike Price \$115; Expires 04/18/2019 COMMENTS: Sold covered call option					
JT	Microsoft Corporation (MSFT) [OP]	S	10/12/2018	10/12/2018	\$1,001 - \$15,000	<input type="checkbox"/>
	FILING STATUS: New SUBHOLDING OF: Morgan Stanley - Portfolio Management DESCRIPTION: Call Option; Strike Price \$113; Expires 11/30/2018 COMMENTS: Sold covered call option					
JT	Microsoft Corporation (MSFT) [OP]	S	10/12/2018	10/12/2018	\$1,001 - \$15,000	<input type="checkbox"/>
	FILING STATUS: New SUBHOLDING OF: Morgan Stanley - Portfolio Management DESCRIPTION: Call Option; Strike Price \$115; Expires 12/21/2018 COMMENTS: Sold covered call option					
JT	Microsoft Corporation (MSFT) [OP]	S	10/12/2018	10/12/2018	\$1,001 - \$15,000	<input type="checkbox"/>
	FILING STATUS: New SUBHOLDING OF: Morgan Stanley - Portfolio Management DESCRIPTION: Call Option; Strike Price \$115; Expires 11/16/2018 COMMENTS: Sold covered call option					
JT	Microsoft Corporation (MSFT) [OP]	S	10/12/2018	10/12/2018	\$1,001 - \$15,000	<input type="checkbox"/>
	FILING STATUS: New SUBHOLDING OF: Morgan Stanley - Portfolio Management DESCRIPTION: Call Option; Strike Price \$112; Expires 11/02/2018 COMMENTS: Sold covered call option					
JT	Microsoft Corporation (MSFT)	S	10/12/2018	10/12/2018	\$1,001 - \$15,000	<input type="checkbox"/>

ID	Owner Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
	[OP] FILING STATUS: New SUBHOLDING OF: Morgan Stanley - Portfolio Management DESCRIPTION: Call Option; Strike Price \$115; Expires 01/18/2019 COMMENTS: Sold covered call option					
JT	Morgan Stanley (MS) [ST] FILING STATUS: New SUBHOLDING OF: Morgan Stanley - Select UMA Account # 2	S (partial)	10/22/2018	11/05/2018	\$1,001 - \$15,000	<input type="checkbox"/>
JT	Norfolk Southern Corporation (NSC) [ST] FILING STATUS: New SUBHOLDING OF: Morgan Stanley - Select UMA Account # 2	S (partial)	10/11/2018	11/05/2018	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
JT	Norfolk Southern Corporation (NSC) [ST] FILING STATUS: New SUBHOLDING OF: Morgan Stanley - Select UMA Account # 2	P	10/29/2018	11/05/2018	\$1,001 - \$15,000	<input type="checkbox"/>
JT	Northrop Grumman Corporation (NOC) [ST] FILING STATUS: New SUBHOLDING OF: Morgan Stanley - Select UMA Account # 1	S	10/29/2018	11/05/2018	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
JT	Novozymes A/S Un-sponsored American Depositary Receipt (NVZMY) [ST] FILING STATUS: New SUBHOLDING OF: Morgan Stanley - Select UMA Account # 2	P	10/11/2018	11/05/2018	\$1,001 - \$15,000	<input type="checkbox"/>
JT	Veeva Systems Inc. Class A (VEEV) [ST] FILING STATUS: New SUBHOLDING OF: Morgan Stanley - Select UMA Account # 2	P	10/17/2018	11/05/2018	\$1,001 - \$15,000	<input type="checkbox"/>
JT	Yandex N.V. - Class A Ordinary Shares (YNDX) [ST] FILING STATUS: New SUBHOLDING OF: Morgan Stanley - Select UMA Account # 2	P	10/23/2018	11/05/2018	\$1,001 - \$15,000	<input type="checkbox"/>

\* For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

## ASSET CLASS DETAILS

- Morgan Stanley  
LOCATION: US
- Morgan Stanley - Portfolio Management (Owner: JT)  
LOCATION: US
- Morgan Stanley - Select UMA Account # 1 (Owner: JT)  
LOCATION: US
- Morgan Stanley - Select UMA Account # 2 (Owner: JT)  
LOCATION: US
- Morgan Stanley ⇒ UMA Active Assets Account  
LOCATION: US

## **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. Josh Gottheimer , 11/16/2018