



Filing ID #20011759

# 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             | Cap. Gains > \$200?      |
|----|--|------------------|------------|-------------------|--------------------|--------------------------|
| SP | Activision Blizzard Inc [CS]<br><br>FILING STATUS: New<br>SUBHOLDING OF: Neuberger Berman - Individual<br>DESCRIPTION: Interest rate is 2.6%, maturity date is 6/15/2022 | P                | 05/23/2019 | 05/28/2019        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| SP | Ares Cap Corp [CS]<br><br>FILING STATUS: New<br>SUBHOLDING OF: Neuberger Berman - Individual<br>DESCRIPTION: Interest rate is 3.625%, maturity date is 1/19/2022         | P                | 05/21/2019 | 05/28/2019        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| SP | Citigroup Inc [CS]<br><br>FILING STATUS: New<br>SUBHOLDING OF: Neuberger Berman - Individual<br>DESCRIPTION: Interest rate is 4.050%, maturity date is 7/30/2022         | P                | 05/17/2019 | 05/28/2019        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| SP | IHS Markit Ltd [CS]<br><br>FILING STATUS: New<br>SUBHOLDING OF: Neuberger Berman - Individual<br>DESCRIPTION: Interest rate is 3.625%, maturity date is 5/1/2024         | P                | 05/17/2019 | 05/28/2019        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| SP | iShares Core MSCI Emerging Markets ETF (IEMG) [ST]<br><br>FILING STATUS: New<br>SUBHOLDING OF: Neuberger Berman - Individual   | S                | 05/23/2019 | 05/28/2019        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| SP | Weyerhaeuser Company (WY) [ST]   | S                | 05/21/2019 | 05/28/2019        | \$1,001 - \$15,000 | <input type="checkbox"/> |

| ID   | Owner | Asset | Transaction Date<br>Type | Notification Date | Amount | Cap.<br>Gains ><br>\$200? |
|--|-------|-------|--------------------------|-------------------|--------|---------------------------|
| FILING STATUS: New                           |       |       |                          |                   |        |                           |
| SUBHOLDING OF: Neuberger Berman - Individual |       |       |                          |                   |        |                           |

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

## ASSET CLASS DETAILS

- Neuberger Berman - Individual (Owner: SP)  
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. Alan S. Lowenthal , 05/31/2019