



# 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	Ares Capital Corporation - Closed End Fund (ARCC) [ST] FILING STATUS: New SUBHOLDING OF: Neuberger Berman - Beneficiary IRA	S (partial)	08/27/2019	08/31/2019	\$539.47	<input type="checkbox"/>
SP	Autodesk, Inc. (ADSK) [ST] FILING STATUS: New SUBHOLDING OF: Neuberger Berman - Beneficiary IRA	S	08/22/2019	08/29/2019	\$725.59	<input type="checkbox"/>
SP	Berkshire Hathaway Inc. New (BRK.B) [ST] FILING STATUS: New SUBHOLDING OF: Neuberger Berman - Beneficiary IRA	S (partial)	08/16/2019	08/29/2019	\$997.95	<input type="checkbox"/>
SP	BioMarin Pharmaceutical Inc. (BMRN) [ST] FILING STATUS: New SUBHOLDING OF: Neuberger Berman - Beneficiary IRA	S	08/15/2019	08/29/2019	\$506.27	<input type="checkbox"/>
SP	BioMarin Pharmaceutical Inc. (BMRN) [ST] FILING STATUS: New SUBHOLDING OF: Neuberger Berman - Beneficiary IRA	S (partial)	08/14/2019	08/29/2019	\$217.10	<input type="checkbox"/>
SP	Elanco Animal Health Incorporated (ELAN) [ST] FILING STATUS: New SUBHOLDING OF: Neuberger Berman - Beneficiary IRA	S	08/20/2019	08/29/2019	\$1,001 - \$15,000	<input type="checkbox"/>

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
SP	Vistra Energy Corp. (VST) [ST]		S	08/15/2019	08/29/2019	\$247.93	<input type="checkbox"/>
		FILING STATUS: New SUBHOLDING OF: Neuberger Berman - Beneficiary IRA					
SP	Vistra Energy Corp. (VST) [ST]		S (partial)	08/14/2019	08/29/2019	\$428.62	<input type="checkbox"/>
		FILING STATUS: New SUBHOLDING OF: Neuberger Berman - Beneficiary IRA					
SP	Vivint Solar, Inc. (VSLR) [ST]		P	08/14/2019	08/29/2019	\$67.01	<input type="checkbox"/>
		FILING STATUS: New SUBHOLDING OF: Neuberger Berman - Beneficiary IRA					
SP	Vivint Solar, Inc. (VSLR) [ST]		P	08/09/2019	08/29/2019	\$96.96	<input type="checkbox"/>
		FILING STATUS: New SUBHOLDING OF: Neuberger Berman - Beneficiary IRA					
SP	Vivint Solar, Inc. (VSLR) [ST]		P	08/12/2019	08/29/2019	\$60.00	<input type="checkbox"/>
		FILING STATUS: New SUBHOLDING OF: Neuberger Berman - Beneficiary IRA					
SP	Vivint Solar, Inc. (VSLR) [ST]		P	08/13/2019	08/29/2019	\$52.49	<input type="checkbox"/>
		FILING STATUS: New SUBHOLDING OF: Neuberger Berman - Beneficiary IRA					
SP	Vivint Solar, Inc. (VSLR) [ST]		P	08/15/2019	08/29/2019	\$22.04	<input type="checkbox"/>
		FILING STATUS: New SUBHOLDING OF: Neuberger Berman - Beneficiary IRA					

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

## ASSET CLASS DETAILS

- o Neuberger Berman - Beneficiary IRA (Owner: SP)

## INITIAL PUBLIC OFFERINGS

Yes  No

## CERTIFICATION AND SIGNATURE

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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 , 09/01/2019