



PERIODIC TRANSACTION REPORT

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

FILER INFORMATION

Name: Hon. Lois Frankel

Status: Member

State/District: FL21

TRANSACTIONS

| ID | Owner Asset | Transaction Type | Date | Notification Date | Amount | Cap. Gains > \$200? |
|----|---|------------------|------------|-------------------|--------------------|--------------------------|
| | Cabot Corporation (CBT) [ST] FILING STATUS: New SUBHOLDING OF: Morgan Stanley IRA - X142 | S (partial) | 12/03/2019 | 12/03/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Cabot Corporation (CBT) [ST] FILING STATUS: New SUBHOLDING OF: Morgan Stanley IRA - X142 | S | 12/04/2019 | 12/04/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Duke Energy Corporation (DUK) [ST] FILING STATUS: New SUBHOLDING OF: Morgan Stanley IRA - X141 | P | 11/21/2019 | 11/21/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Johnson & Johnson (JNJ) [ST] FILING STATUS: New SUBHOLDING OF: Morgan Stanley IRA - X141 | P | 12/05/2019 | 12/05/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | NiSource Inc (NI) [ST] FILING STATUS: New SUBHOLDING OF: Morgan Stanley IRA - X142 | P | 12/06/2019 | 12/06/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | Roche Holdings AG Basel American Depositary Shares (RHHBY) [ST] FILING STATUS: New SUBHOLDING OF: Morgan Stanley IRA - X141 | S (partial) | 12/05/2019 | 12/05/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |

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| | State Street Corporation (STT) [ST] | S (partial) | 11/21/2019 | 11/21/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New SUBHOLDING OF: Morgan Stanley IRA - X141 | | | | | |
| | Ubiquiti Inc. (UI) [ST] | S (partial) | 12/12/2019 | 12/12/2019 | \$1,001 - \$15,000 | <input type="checkbox"/> |
| | FILING STATUS: New SUBHOLDING OF: Morgan Stanley IRA - X142 | | | | | |

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

ASSET CLASS DETAILS

- o Morgan Stanley IRA - X141
DESCRIPTION: Managed by MFS Investment MGMT
- o Morgan Stanley IRA - X142
DESCRIPTION: Managed by Anchor Capital Advisors LLC

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. Lois Frankel , 12/20/2019