



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

**Name:** Hon. Alan S. Lowenthal  
**Status:** Member  
**State/District:** CA47

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
	SP	Bank Amer Corp MTN Call Make Whole [CS]  FILING STATUS: New SUBHOLDING OF: Neuberger Berman - Individual DESCRIPTION: Maturation Date: 10/01/21; Percentage Yield 2.328%	S	10/01/2020	05/03/2021	\$1,001 - \$15,000	<input type="checkbox"/>
	SP	CBS OUTDOOR AMERS CAP LLC [CS]  FILING STATUS: New SUBHOLDING OF: Neuberger Berman - Traditional IRA DESCRIPTION: Maturity date is 2/15/2024, interest rate is 5.625%	S	07/31/2020	05/06/2021	\$15,001 - \$50,000	<input type="checkbox"/>
	SP	DraftKings Inc. - Class A (DKNG) [ST]  FILING STATUS: New SUBHOLDING OF: Neuberger Berman - Traditional IRA	P	01/21/2020	05/03/2021	\$1,001 - \$15,000	<input type="checkbox"/>
	SP	DraftKings Inc. - Class A (DKNG) [ST]  FILING STATUS: New SUBHOLDING OF: Neuberger Berman - Traditional IRA	P	02/03/2020	05/03/2021	\$1,001 - \$15,000	<input type="checkbox"/>
	SP	Fidelity Natl Information Svcs [CS]  FILING STATUS: New SUBHOLDING OF: Neuberger Berman - Traditional IRA DESCRIPTION: Maturation Date: 08/15/21; Percentage Yield: 2.25%	S	12/03/2019	05/06/2021	\$15,001 - \$50,000	<input type="checkbox"/>

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
SP		Lennar Corp Note Call Make Whole [CS] FILING STATUS: New SUBHOLDING OF: Neuberger Berman - Traditional IRA DESCRIPTION: Maturation Date: 04/01/21; Percentage Yield: 4.75%	S	11/24/2020	05/06/2021	\$15,001 - \$50,000	<input type="checkbox"/>
SP		Limited Brands, Inc. [CS] FILING STATUS: New SUBHOLDING OF: Neuberger Berman - Traditional IRA DESCRIPTION: Maturation: 4/1/21; Yield 6.625%	S	06/20/2019	05/06/2021	\$15,001 - \$50,000	<input type="checkbox"/>
SP		Outfront Media Inc. Ser B Note 5.625%; Due 2/15/2024 [CS] FILING STATUS: New SUBHOLDING OF: Neuberger Berman - Traditional IRA DESCRIPTION: Corporate Bond	P	05/31/2019	05/03/2021	\$15,001 - \$50,000	<input type="checkbox"/>
JT		Service Corp Intl [CS] FILING STATUS: New SUBHOLDING OF: Neuberger Berman - Malumed Lowenthal Rev Trust DESCRIPTION: Maturity date is 12/15/2027, interest rate is 4.62%	P	04/13/2021	04/20/2021	\$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

- o Neuberger Berman - Individual (Owner: SP)  
LOCATION: US
- o Neuberger Berman - Malumed Lowenthal Rev Trust (Owner: JT)
- o 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. Further, I CERTIFY that I have disclosed all transactions as required by the STOCK Act.

**Digitally Signed:** Hon. Alan S. Lowenthal , 05/17/2021