Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Prouty, David

Member, National Labor Relations Board

Other Federal Government Positions Held During the Preceding 12 Months:
None

Names of Congressional Committees Considering Nomination:

- Committee on Health, Education, Labor, and Pensions

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Prouty, David [electronically signed on 02/08/2021 by Prouty, David in Integrity.gov]

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).
/s/ Ketcham, Lori W, Certifying Official [electronically signed on 06/24/2021 by Ketcham, Lori W in Integrity.gov]

Other review conducted by
/s/ Burow, Kathryn, Ethics Official [electronically signed on 06/24/2021 by Burow, Kathryn in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 06/24/2021 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	SEIU Local 32BJ	New York, New York	Labor Organization	General Counsel	8/2018	Present
2	Family Trust	Bethesda, Maryland	Trust	Trustee	6/2015	Present
3	Outstanding and Unique Resources for Upper Nyack Kids, Inc.	Upper Nyack, New York	Non-Profit	Board Member	9/2006	Present
4	Major League Baseball Players Association Players Trust	New York, New York	Non-Profit	The Michael Weiner Scholarship Committee Member	7/2014	Present

2. Filer's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	SEIU Local 32BJ	N/A		Salary/Bonus	$180,986
2	IRA #1	No			
2.1	Affiliated Managers Group 5.875% JR SUB NTS 30/03/59	N/A	$15,001 - $50,000		None (or less than $201)
2.2	American International Group 5.85%NON CUM PER DEP SHS RE (AIG-A)	N/A	$15,001 - $50,000		None (or less than $201)
2.3	Apollo Global Management INC 6.375% PFD STK SER B USD25 (APO-B)	N/A	$1,001 - $15,000		None (or less than $201)
2.4	B Riley Financial INC 6.875%SR NTS DUE30/09/2023 (RILYI)	N/A	$15,001 - $50,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.5	Blackstone REIT CL I NSA (09499T253)	N/A	$15,001 - $50,000		None (or less than $201)
2.6	Brighthouse Financial INC 6.25%JR SUB DEB DUE 2058 (BHFAL)	N/A	$15,001 - $50,000		None (or less than $201)
2.7	Broadmark Realty CAPITAL INC COM (BRMK)	N/A	$15,001 - $50,000		None (or less than $201)
2.8	Brookfield Property PARTNERS LP 6.375% PFD UNITS CL A SR2 (BPYPO)	N/A	$15,001 - $50,000		None (or less than $201)
2.9	Brunswick Corp 6.5%SNR NYS DUE 15/10/48 (BC-A)	N/A	$15,001 - $50,000		None (or less than $201)
2.10	Citigroup Inc DEP SHS REPSTG 1/1000 PFD (C-K)	N/A	$1,001 - $15,000		None (or less than $201)
2.11	Cowen Inc. 7.35% SR NT DUE 15/12/27 (COWNZ)	N/A	$1,001 - $15,000		None (or less than $201)
2.12	Digital Realty Trust Inc 6.625% CUM RED PFD C USD25 (DLR-C)	N/A	$1,001 - $15,000		None (or less than $201)
2.13	Eaton Vance FLOATING RATE INCO COM (EFT)	Yes	$15,001 - $50,000		None (or less than $201)
2.14	EBay Inc REDEMPTION 25.00/SH 3/1/21 (EBAYL)	N/A	$15,001 - $50,000		None (or less than $201)
2.15	Equitable Holdings INC 5.25% DEP RP 1/1000 NON A (EQH-A)	N/A	$15,001 - $50,000		None (or less than $201)
2.16	Gabelli Dividend & Income Trust PFD SER G USD25 (GDV-G)	Yes	$15,001 - $50,000		None (or less than $201)
2.17	Hersha Hospitality Trust 6.5% PFD CUM RED 31/12/49 D (HT-D)	N/A	$1,001 - $15,000		None (or less than $201)
2.18	JP Morgan Chase & CO DEP SHS REPSTG 1/400TH INT (JPM-H)	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.19	Kimco Realty Corp. 5.25% CUM RED DEP SHS CL M (KIM-M)	N/A	$1,001 - $15,000		None (or less than $201)
2.20	KKR & Co INC 6.75% PRF STK SER A USD25 (KKR-A)	N/A	$1,001 - $15,000		None (or less than $201)
2.21	National Storage Affiliates TR 6% CUM RED PFD SHS BEN INT (NSA-A)	N/A	$1,001 - $15,000		None (or less than $201)
2.22	Nuveen Floating Rate Income OP COM SHS (JRO)	Yes	$15,001 - $50,000		None (or less than $201)
2.23	Nuveen Quality PFD INCOME FUND COM (JPS)	Yes	$15,001 - $50,000		None (or less than $201)
2.24	Oaktree Cap Group LLC 6.625% PRF UNITS SERIES A (OAK-A)	N/A	$15,001 - $50,000		None (or less than $201)
2.25	OFS Capital Corporation Com (OFS)	N/A	$15,001 - $50,000		None (or less than $201)
2.26	Priority Income Fund Inc 7% SER D TRM PFD STK DUE 29 (PRIF-D)	N/A	$1,001 - $15,000		None (or less than $201)
2.27	Prudential 6.5% PERP PRF USD25 (PUK-A)	N/A	$15,001 - $50,000		None (or less than $201)
2.28	Schwab (Charles) Corp Dep SHS RPSTG PERPETUAL PFD (SCHW-C)	N/A	$15,001 - $50,000		None (or less than $201)
2.29	Summit Hotel Properties INC RED PFD SER D USD25 (INN-D)	N/A	$1,001 - $15,000		None (or less than $201)
2.30	Urstadt Biddle Properties 5.875% CUM RED PRF STOCK (UBP-K)	N/A	$1,001 - $15,000		None (or less than $201)
2.31	Western Alliance Bancorp 6.25% NTS 01/07/56 USD25(WALA)	N/A	$15,001 - $50,000		None (or less than $201)
2.32	American Financial GROUP INC NOTE M/W CLBL (BOND) (025932AP9)	N/A	$15,001 - $50,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.33	Brighthouse Finl INC NOTE M/W CLBL (BOND) (10922NAC7)	N/A	$15,001 - $50,000		None (or less than $201)
2.34	Cardinal Health INC NOTE M/W CLBL (BOND) (14149YAW8)	N/A	$15,001 - $50,000		None (or less than $201)
2.35	CNA Financial Corp NOTE M/W CLBL (BOND) (126117AU4)	N/A	$1,001 - $15,000		None (or less than $201)
2.36	Discover Financial Services NOTE M/W CLBL (BOND) (25472CAU3)	N/A	$15,001 - $50,000		None (or less than $201)
2.37	DXC Technology Co NOTE M/W CLBL (BOND) (23355LAA4)	N/A	$1,001 - $15,000		None (or less than $201)
2.38	Goldman Sachs Group INC NOTE MTHLY (BOND) (38143C5L1)	N/A	$1,001 - $15,000		None (or less than $201)
2.39	Humana Inc NOTE M/W CLBL (BOND) ((44859BK7)	N/A	$1,001 - $15,000		None (or less than $201)
2.40	Jefferies Group LLC / JEFFERIE NOTE M/W CLBL (BOND) (47233JBH0)	N/A	$15,001 - $50,000		None (or less than $201)
2.41	Jefferies Group LLC / JEFFERIE NOTE CLBL (BOND) (47233JBX5)	N/A	$1,001 - $15,000		None (or less than $201)
2.42	MetLife Inc Note M/W CLBL (BOND) (59156RBZ0)	N/A	$15,001 - $50,000		None (or less than $201)
2.43	Prudential Financial INC NOTE M/W CLBL (BOND) (74432AYX2)	N/A	$15,001 - $50,000		None (or less than $201)
2.44	SL Green Oper Partnership L P NOTE M/W CLBL (BOND) (78444FAF3)	N/A	$15,001 - $50,000		None (or less than $201)
2.45	Unum GroupNOTE M/W CLBL (BOND) (91529YAP1)	N/A	$1,001 - $15,000		None (or less than $201)
2.46	Verizon Communications NOTE M/W CLBL (BOND) (92346MAN1)	N/A	$15,001 - $50,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.47	Vornado Realty LP NOTE M/W CLBL (BOND) (929043AJ6)	N/A	$1,001 - $15,000		None (or less than $201)
2.48	U.S. bank account (cash)	N/A	$15,001 - $50,000		None (or less than $201)
2.49	OFS CAPITAL CORPORATION 6.25% NOTES 30/09/23 USD 25 (OFSSG)	N/A	$1,001 - $15,000		None (or less than $201)
2.50	OFS CAPITAL CORPORATION 6.25% NTS 31/10/24 USD25 (OFSSZ)	N/A	$1,001 - $15,000		None (or less than $201)
2.51	Citigroup Series S Preferred Stock (C-S)	N/A	$1,001 - $15,000		None (or less than $201)
3	IRA #2	No			
3.1	Alphabet Inc COM CL A (GOOGL)	N/A	$1,001 - $15,000		None (or less than $201)
3.2	Apple Inc COM (AAPL)	N/A	$1,001 - $15,000		None (or less than $201)
3.3	B Riley Financial INC 6.875% SR NTS DUE 30/09/2023 (RILYI)	N/A	$1,001 - $15,000		None (or less than $201)
3.4	Blackstone Real Estate INCME TRUST CL I NSA (0499T253)	N/A	$1,001 - $15,000		None (or less than $201)
3.5	Broadmark Realty CAPITAL INC COM (BRMK)	N/A	$1,001 - $15,000		None (or less than $201)
3.6	Brookfield Prop Partners LO 6.375% PFD UNITS CL A SR 2 (BPYPO)	N/A	$1,001 - $15,000		None (or less than $201)
3.7	Brunswick Corp 6.5%SNR NTS DUE 15/10/48 (BC-A)	N/A	$1,001 - $15,000		None (or less than $201)
3.8	Corteva Inc COM (CTVA)	N/A	$1,001 - $15,000		None (or less than $201)
3.9	Cowen Inc 7.35% SR NT DUE 15/12/27 (COWNZ)	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.10	Dow Inc COM (DOW)	N/A	$1,001 - $15,000		None (or less than $201)
3.11	Draftkings IncCOM CL A (DKNG)	N/A	$1,001 - $15,000		None (or less than $201)
3.12	Eaton Vance Floating Rate INCO COM (EFT)	Yes	$1,001 - $15,000		None (or less than $201)
3.13	EBay INC REDEMPTION 425.00/SH 3/1/21 (EBAYL)	N/A	$1,001 - $15,000		None (or less than $201)
3.14	Facebook Inc COM CL A (FB)	N/A	$1,001 - $15,000		None (or less than $201)
3.15	Hersha Hospitality TRUST 6.5% PFD CUM RED 31/12/49 D (HT-D)	N/A	$1,001 - $15,000		None (or less than $201)
3.16	National Storage Affiliates TR 6% CUM RED PFD SHS BEN INT (NSA-A)	N/A	$1,001 - $15,000		None (or less than $201)
3.17	Nuveen Floating Rate Income OP COM SHS (JRO)	Yes	$1,001 - $15,000		None (or less than $201)
3.18	Nuveen Quality Pfd Income Fund Com (JPS)	Yes	$1,001 - $15,000		None (or less than $201)
3.19	Oaktree Cap Group LLC 6.625% PRF UNITS SERIES A (OAK-A)	N/A	$1,001 - $15,000		None (or less than $201)
3.20	OFS Capital Corporation Com (OFS)	N/A	$1,001 - $15,000		None (or less than $201)
3.21	Pitney Bowes Inc 6.7% PRFUSD25 (07/03/43) (PBI-B)	N/A	$1,001 - $15,000		None (or less than $201)
3.22	Priority Income Fund Inc 7% SER D TRM PFD STK DUE 29 (PRIF-D)	N/A	$1,001 - $15,000		None (or less than $201)
3.23	Revance Therepeutics INC COM (RVNC)	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.24	Travelers Companies INC COM (TRV)	N/A	$1,001 - $15,000		None (or less than $201)
3.25	Volkswagen AG ADR UNSPONSORED (VWAGY)	N/A	$1,001 - $15,000		None (or less than $201)
3.26	Western Alliance BANCORP 6.25% NTS 01/07/56 USD25 (WALA)	N/A	$1,001 - $15,000		None (or less than $201)
3.27	ETF Managers Trust ETFMG ALTR HRVST (MJ)	Yes	$1,001 - $15,000		None (or less than $201)
3.28	Invesco Exchange Traded Fund T S&P 500 LOW VOLATILITY ETF (SPLV)	Yes	$1,001 - $15,000		None (or less than $201)
3.29	IShares Trust MSCI USA MIN VOL FACTOR ETF (USMV)	Yes	$1,001 - $15,000		None (or less than $201)
3.30	Select Sector SPDR TRUST AMEX INDUSTRIAL SELECT ETF (XLI)	Yes	$1,001 - $15,000		None (or less than $201)
3.31	Rational Funds Tactical Return Inst (HRSTX)	Yes	$15,001 - $50,000		None (or less than $201)
3.32	JP Morgan Funds Growth Advantage I (JGASX)	Yes	$1,001 - $15,000		None (or less than $201)
3.33	Mutual Fund SER TR CATALYST/MILLBURN HEDGE STRT I (MBXIX)	Yes	$15,001 - $50,000		None (or less than $201)
3.34	American Funds WA MUTUAL INVESTORS F2(WMFFX)	Yes	$15,001 - $50,000		None (or less than $201)
3.35	Barclays Bank PLC Note M/W CONV CLBL INDEX LNKD (BOND) (06747MUV6)	N/A	$1,001 - $15,000		None (or less than $201)
3.36	U.S. Cash account	N/A	$1,001 - $15,000		None (or less than $201)
3.37	Citigroup Series S Preferred Stock (C-S)	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	SEIU Local 32BJ Defined Contribution Plan	No			None (or less than $201)
4.1	John Hancock Funds Disciplined Value Mid Cap Fund Class (JVMRX)	Yes	$1,001 - $15,000		None (or less than $201)
4.2	Vanguard Institutional Index Fund (VINIX)	Yes	$1,001 - $15,000		None (or less than $201)
4.3	T. Rowe Price Blue Chip Growth Fund I (TBCIX)	Yes	$50,001 - $100,000		None (or less than $201)
4.4	Vanguard Mid Cap Index Fund (VMCIX)	Yes	$1,001 - $15,000		None (or less than $201)
4.5	Vanguard Small Cap Growth Index Fund (VSGIX)	Yes	$1,001 - $15,000		None (or less than $201)
5	Consolidated Retirement Fund (ACTWU), defined benefit plan (value not readily ascertainable) Eligible for $6000/month at age 65.	N/A			None (or less than $201)
6	SEIU Affiliates Staff Pension Plan, defined benefit plan (value not readily ascertainable) Eligible for $1100/month at age 65.	N/A			None (or less than $201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	SEIU Local 32BJ	New York, NY, New York	I will continue to participate in the defined contribution plan but the plan sponsor will not make further contributions to the plan after my separation.	8/2018
2	Consolidated Retirement Fund (ACTWU)	New York, New York	I will continue to participate in this defined benefit plan.	9/1986

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
3	SEIU Affiliates Staff Pension Plan	Washington, District of Columbia	I will continue to participate in this defined benefit plan.	8/2018

4. Filer's Sources of Compensation Exceeding $5,000 in a Year

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	SEIU Local 32BJ	New York, New York	As General Counsel, I provide legal and strategic advice to the Union's officers. I supervise a staff of fifteen lawyers and four support staff who provide legal representation to the union for collective bargaining, arbitrations and federal and state litigation. I am also responsible for the general institutional legal needs of the union in areas such as human resources, real estate, banking, and federal, state and local government filings.

5. Spouse's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Refuah Health Center Inc. (Hospital and Clinic)	N/A		salary	
2	IRA #1	No			
2.1	Athene Holding LTD (ATH-C)	N/A	$1,001 - $15,000		None (or less than $201)
2.2	B Riley Financial INC 6.875%SR NTS DUE30/09/2023 (RILYI)	N/A	$1,001 - $15,000		None (or less than $201)
2.3	Broadmark Realty (BRMK)	N/A	$1,001 - $15,000		None (or less than $201)
2.4	Brookfiled Prop Partners (BPYPO)	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.5	Brunswick Corp 6.5% SNR NTS DUE 15/10/48 (BC-A)	N/A	$1,001 - $15,000		None (or less than $201)
2.6	Digital Realty Trust (DLR-C)	N/A	$1,001 - $15,000		None (or less than $201)
2.7	Eaton Vance Floating Rate INCO COM (EFT)	Yes	$1,001 - $15,000		None (or less than $201)
2.8	Equitable Hldings Inc. (EQH-A)	N/A	$1,001 - $15,000		None (or less than $201)
2.9	Hancock Whitney Corp (HWCPL)	N/A	$1,001 - $15,000		None (or less than $201)
2.10	Nuveen Floating Rate INCOME OP COM SHS (JRO)	Yes	$1,001 - $15,000		None (or less than $201)
2.11	Nuveen Quality PFD INCOME FUND COM (JPS)	Yes	$1,001 - $15,000		None (or less than $201)
2.12	OFS Capital CORPORATION 6.5% NTS 31/10/24 USD25 (OFSSZ)	N/A	$1,001 - $15,000		None (or less than $201)
2.13	OFS Capital CORPORATION COM (OFS)	N/A	$1,001 - $15,000		None (or less than $201)
2.14	Pitney Bowes Inc (PBI-B)	N/A	$1,001 - $15,000		None (or less than $201)
2.15	Priority Income Fund INC 7% SER D TRM PFD STK DUE 29 (PRIF-D)	N/A	$1,001 - $15,000		None (or less than $201)
2.16	Prudential 6.5% (PUK-A)	N/A	$1,001 - $15,000		None (or less than $201)
2.17	Summit Hotel Properties (INN-D)	N/A	$1,001 - $15,000		None (or less than $201)
2.18	Western Alliance Bancorp (WALA)	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.19	Fidelity Investments Contrafund RETAIL (FCNTX)	Yes	$15,001 - $50,000		None (or less than $201)
2.20	American Funds Growth Fund of America F1 (GFAFX)	Yes	$1,001 - $15,000		None (or less than $201)
2.21	Rational Funds Tactical Return Inst (HRSTX)	Yes	$1,001 - $15,000		None (or less than $201)
2.22	JP Morgan Funds Growth Advantage I (JGASX)	Yes	$1,001 - $15,000		None (or less than $201)
2.23	Mutual Fund SER TR Catalyst/Millburn Hedge STRT I (MBXIX)	Yes	$1,001 - $15,000		None (or less than $201)
2.24	Columbia Funds Seligman Comms & Info Inst 2 (SCMIX)	Yes	$1,001 - $15,000		None (or less than $201)
2.25	American Funds WA Mutual Investors F2 (WMFFX)	Yes	$1,001 - $15,000		None (or less than $201)
2.26	Barclays Bank Note M/W CONV CLBL INDEX LNKD (BOND) (06747MUV6)	N/A	$1,001 - $15,000		None (or less than $201)
2.27	Prudential Financial INC Note M/W CLBL (BOND) (74432AYV6)	N/A	$1,001 - $15,000		None (or less than $201)
2.28	U.S. bank account (cash)	N/A	$1,001 - $15,000		None (or less than $201)
3	NYU Medical Center, defined benefit plan (value not readily ascertainable)	N/A		Retirement Payments	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Alphabet Inc COM CL A (GOOGL)	N/A	$15,001 - $50,000	Capital Gains	$5,001 - $15,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	Amer Intl Group INC 5.85%NON CUM PER DEP SHS RE (AIG-A)		N/A	$1,001 - $15,000	Dividends	$201 - $1,000
3	Apple Inc Com (AAPL)		N/A	$15,001 - $50,000	Capital Gains	$5,001 - $15,000
4	B. Riley Financial Inc 6.875% SR NTS DUE 30/09/2023 (RILYI)		N/A	$1,001 - $15,000		None (or less than $201)
5	Blackstone Real Estate Income Trust CL I NSA (0499T253)		N/A	$1,001 - $15,000		None (or less than $201)
6	Broadmark Realty Capital INC COM (BRMK)		N/A	$15,001 - $50,000	Dividends	$1,001 - $2,500
7	Brookfield Property Partners LP 6.375% PFD UNITS CL A SR 2(BPYPO)		N/A	$1,001 - $15,000	Dividends	$201 - $1,000
8	Brunswick Corp 6.5% SNR NTS DUE 15/10/48 (BC-A)		N/A	$1,001 - $15,000		None (or less than $201)
9	Corteva Inc COM (CTVA)		N/A	$1,001 - $15,000	Dividends	$201 - $1,000
10	Cowen Inc 7.35% SR NT DUE 15/12/27 (COWNZ)		N/A	$1,001 - $15,000		None (or less than $201)
11	Dow Inc COM (DOW)		N/A	$1,001 - $15,000	Dividends	$201 - $1,000
12	DraftKings Inc COM CL A (DKNG)		N/A	$1,001 - $15,000		None (or less than $201)
13	Eaton Vance Floating Rate INCO COM (EFT)		Yes	$15,001 - $50,000		$1,001 - $2,500
14	Ebay INC Senior Note (EBAYL)	See Endnote	N/A	$15,001 - $50,000	Interest	$1,001 - $2,500
15	Facebook Inc COM CL A (FB)		N/A	$1,001 - $15,000		None (or less than $201)
16	General American Investors Co Inc 5.95% PRFSHS SERBUSD25 (GAM-B))		N/A	$1,001 - $15,000	Dividends	$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17	Hersha Hospitality Trust 6.5% PFD CUM RED 31/12/49 D (HT-D)	N/A	$1,001 - $15,000		None (or less than $201)
18	KKR & Co Inc 6.75%PRF STK SER A USD25 (KKR-A)	N/A	$1,001 - $15,000		$201 - $1,000
19	National Storage Affiliates Trust 6% CUM RED PFD SHS BEN INT (NSA-A)	N/A	$15,001 - $50,000	Dividends	$1,001 - $2,500
20	New Ireland Fund Com (IRL)	Yes	$1,001 - $15,000		None (or less than $201)
21	Nuveen Floating Rate Income OP COM SHS (JRO)	Yes	$15,001 - $50,000		$1,001 - $2,500
22	Nuveen Quality Pfd Income Fund Com (JPS)	Yes	$15,001 - $50,000		$1,001 - $2,500
23	Oaktree Cap Group LLC 6.625% PRF UNITS SERIES A (OAK-A)	N/A	$1,001 - $15,000	Dividends	$201 - $1,000
24	OFS Capital Corporation Com (OFS)	N/A	$1,001 - $15,000	Dividends	$1,001 - $2,500
25	Pitney Bowes Inc 6.7% PRF USD25 (07/03/43) (PBI-B)	N/A	$1,001 - $15,000		None (or less than $201)
26	Priority Income Fund 7% SER D TRM PFD STK DUE 29 (PRIF-D)	N/A	$1,001 - $15,000	Dividends	$201 - $1,000
27	Prudential 6.5% Perp Prf USD25 (PUK-A)	N/A	$1,001 - $15,000		None (or less than $201)
28	Revance Therapeutics Inc Com (RVNC)	N/A	$1,001 - $15,000	Capital Gains	$1,001 - $2,500
29	Schwab (Charles) Corp Dep SHS RPSTG Perpetual PFD (SCHW-C)	N/A	$1,001 - $15,000	Dividends	$201 - $1,000
30	Summit Hotel Properties Inc RED PFD SER D USD25 (INN=D)	N/A	$1,001 - $15,000	Dividends	$1,001 - $2,500
31	Travelers Companies Inc COM (TRV)	N/A	$1,001 - $15,000	Dividends	$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
32	Volkswagen AG ADR UNSPONSORED (VWAGY)	N/A	$1,001 - $15,000	Dividends	$201 - $1,000
33	Western Alliance Bancorp 6.25% NTS 01/07/56 USD25 (WALA)	N/A	$15,001 - $50,000	Capital Gains	$201 - $1,000
34	ZIOPHARM Oncology Inc COM (ZIOP)	N/A	$1,001 - $15,000		None (or less than $201)
35	ETF MANAGERS TRUST ETFMG ALTR HRVST (MJ)	Yes	$1,001 - $15,000		None (or less than $201)
36	INVESCO EXCHANGE TRADED FUND T S&P 500 LOW VOLATILITY ETF (SPLV)	Yes	$15,001 - $50,000		$201 - $1,000
37	Ishares Trust MSCI USA MIN VOL FACTOR SELECT ETF (USMV)	Yes	$1,001 - $15,000		$201 - $1,000
38	Select Sector SPDR TRUST AMEX INDUSTRIAL SELECT ETF (XLI)	Yes	$1,001 - $15,000		None (or less than $201)
39	Fidelity Investments Contrafund Retail (FCNTX)	Yes	$15,001 - $50,000		None (or less than $201)
40	Rational Funds Tactical Return Inst (HRSTX)	Yes	$15,001 - $50,000		None (or less than $201)
41	JP Morgan Funds Growth Advantage I ((JGASX)	Yes	$15,001 - $50,000		None (or less than $201)
42	Mutual Fund Ser TR CATALYST/MILLBURN HEDGE STRT I (MBXIX)	Yes	$15,001 - $50,000		None (or less than $201)
43	Barclays Bank PLC Note M/W CONV CLBL INDEX LNKD (Bond) (06747MUV6)	N/A	$15,001 - $50,000		None (or less than $201)
44	T Rowe Price Blue Chip Growth Fund (TRBCX)	Yes	$15,001 - $50,000		None (or less than $201)
45	T Rowe Price Diversified Mid-Cap Growth Fund (PRDMX)	Yes	$15,001 - $50,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
46	T Rowe Price Dividend Growth Fund (PRDGX)	Yes	$1,001 - $15,000		None (or less than $201)
47	T Rowe Price Emerging Markets Stock Fund (PRMSX)	Yes	$15,001 - $50,000		None (or less than $201)
48	T Rowe Price QM US Small-Cap Growth Equity (PRDSX)	Yes	$15,001 - $50,000		None (or less than $201)
49	PAX World Sustainable Allocation Fund (PAXIX)	Yes	$15,001 - $50,000		None (or less than $201)
50	Blackstone Alternative Multi-Strategy Fund (BXMIX)	Yes	$100,001 - $250,000		None (or less than $201)
51	Ireland State Savings cash account	N/A	$15,001 - $50,000	Interest	$201 - $1,000
52	U.S. bank account (cash) #1	N/A	$1,001 - $15,000	Interest	None (or less than $201)
53	Residential Real Estate, Bowdoin, ME	N/A	$250,001 - $500,000	Rent or Royalties	$15,001 - $50,000
54	U.S. bank account (cash) #2	N/A	$1,001 - $15,000		None (or less than $201)
55	U.S. bank account (cash) #3	N/A	$1,001 - $15,000		None (or less than $201)
56	U.S. bank account (cash) #4	N/A	$1,001 - $15,000		None (or less than $201)
57	U.S. bank account (cash) #5	N/A	$1,001 - $15,000		None (or less than $201)
58	Allied Irish Bank savings account (cash)	N/A	$1,001 - $15,000		None (or less than $201)
59	Citigroup Series S Preferred Stock	N/A	$1,001 - $15,000	Capital Gains Dividends	$5,001 - $15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
60	Dunkin' Brands Group, Inc. (DNKN)	N/A	None (or less than $1,001)	Capital Gains	$201 - $1,000
61	Stryker Corp. (SYK)	N/A	None (or less than $1,001)	Capital Gains	$1,001 - $2,500
62	Arbitrage FDS (ARBFX)	Yes	None (or less than $1,001)		$201 - $1,000

7. Transactions

(N/A) - Not required for this type of report

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Amalgamated Bank of New York	Mortgage on Personal Residence	$100,001 - $250,000	2018	3.625%	30 year

9. Gifts and Travel Reimbursements

(N/A) - Not required for this type of report

Endnotes

PART	#	ENDNOTE
6.	14	Note was redeemed on 3/1/21.

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

2. Filer's Employment Assets & Income and Retirement Accounts

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than $200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities (1) that ended the reporting period with a value greater than $1,000 or (2) from which more than $200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is $0 - $200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

4. Filer's Sources of Compensation Exceeding $5,000 in a Year

Part 4 discloses sources (except the United States Government) that paid more than $5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

5. Spouse's Employment Assets & Income and Retirement Accounts

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than $1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than $200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities (1) that ended the reporting period with a value greater than $1,000 or (2) from which more than $200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is $0 - $200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, (1) that ended the reporting period with a value greater than $1,000 or (2) from which more than $200 in investment income was received during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of $5,000 or less (unless more than $200 in income was received). Additional exceptions apply. Note: The type of income is not required if the amount of income is $0 - $200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of $1,000 made on behalf of the filer, the filer's spouse or dependent child during the reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over $10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed $10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than $415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than $415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of $166 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. Failure to provide the requested information may result in separation, disciplinary action, or civil action. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (4) to the National Archives and Records Administration or the General Services Administration in records management inspections; (5) to the Office of Management and Budget during legislative coordination on private relief legislation; (6) when the disclosing agency determines that the records are arguably relevant to a proceeding before a court, grand jury, or administrative or adjudicative body, or in a proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding; (7) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another, a public financial disclosure report and any accompanying documents, including statements notifying an employee's supervising ethics office of the commencement of negotiations for future employment or compensation or of an agreement for future employment or compensation; (8) to a Member of Congress or a congressional office in response to an inquiry made on behalf of and at the request of an individual who is the subject of the record; (9) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to this system of records; (10) on the OGE Website and to any person, department or agency, any written ethics agreement, including certifications of ethics agreement compliance, filed with OGE by an individual nominated by the President to a position requiring Senate confirmation; (11) on the OGE Website and to any person, department or agency, any certificate of divestiture issued by OGE; (12) on the OGE Website and to any person, department or agency, any waiver of the restrictions contained in Executive Order 13770 or any superseding executive order; (13) to appropriate agencies, entities and persons when there has been a suspected or confirmed breach of the system of records, the agency maintaining the records has determined that there is a risk of harm to individuals, the agency, the Federal Government, or national security, and the disclosure is reasonably necessary to assist in connection with the agency's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and (14) to another Federal agency or Federal entity, when the agency maintaining the record determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in responding to a suspected or confirmed breach or in preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity, the Federal Government, or national security. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

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