

## Executive Branch Personnel Public Financial Disclosure Report (OGE Form 278e)

### Filer's Information

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Prouty, David M

Member, National Labor Relations Board

Report Year: 2024

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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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 M [electronically signed on 06/27/2024 by Prouty, David M in Integrity.gov] - Filer received a 45 day filing extension.

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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/ Burow, Kathryn, Certifying Official [electronically signed on 07/24/2024 by Burow, Kathryn in Integrity.gov]

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Other review conducted by

/s/ Hilerio, Celeste H, Ethics Official [electronically signed on 07/23/2024 by Hilerio, Celeste H in Integrity.gov]

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Data Revised 07/30/2024

Data Revised 07/23/2024

Data Revised 07/16/2024

Data Revised 07/11/2024

## 1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Family Trust #1	See Endnote	Bethesda, Maryland	Trust	Trustee	6/2015	9/2023
2	Estate of a Family Member		Bethesda, Maryland		Representative/Executor	9/2022	Present
3	Family Trust #2	See Endnote	Bethesda, Maryland	Trust	Trustee	9/2022	9/2023

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA #1	No			
1.1	Affiliated Managers Group 5.875% JR SUB NTS 30/03/59	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.2	American International Group 5.85%NON CUM PER DEP SHS RE (AIG-A)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3	Blackstone REIT CL I NSA (09499T253)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.4	Brighthouse Financial INC 6.25%JR SUB DEB DUE 2058 (BHFAL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.5	Ready Capital Corp. (RC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.6	Brookfield Property PARTNERS LP 6.375% PFD UNITS CL A SR2 (BPYPO)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.7	Brunswick Corp 6.5%SNR NYS DUE 15/10/48 (BC-A)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.8	Eaton Vance FLOATING RATE INCO COM (EFT)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.9	Equitable Holdings INC 5.25% DEP RP 1/1000 NON A (EQH-A)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.10	Kimco Realty Corp. 5.25% CUM RED DEP SHS CL M (KIM-M)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.11	National Storage Affiliates TR 6% CUM RED PFD SHS BEN INT (NSA-A)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.12	Nuveen Floating Rate Income OP COM SHS (JRO)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.13	Nuveen Quality PFD INCOME FUND COM (JPS)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.14	Priority Income Fund Inc 7% SER D TRM PFD STK DUE 29 (PRIF-D)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.15	Prudential 6.5% PERP PRF USD25 (PUK-A)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.16	Regency Centers Corp. (REG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.17	American Financial GROUP INC NOTE M/W CLBL (BOND) (025932AP9)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.18	Brighthouse Finl INC NOTE M/W CLBL (BOND) (10922NAC7)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.19	Cardinal Health INC NOTE M/W CLBL (BOND) (14149YAW8)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.20	CNA Financial Corp NOTE M/W CLBL (BOND) (126117AU4)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.21	Discover Financial Services NOTE M/W CLBL (BOND) (25472CAU3)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.22	Goldman Sachs Group INC NOTE MTHLY (BOND) (38143C5L1)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.23	Humana Inc NOTE M/W CLBL (BOND) ((44859BK7)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.24	Jefferies Group LLC / JEFFERIE NOTE M/W CLBL (BOND) (47233JBH0)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.25	Jefferies Group LLC / JEFFERIE NOTE CLBL (BOND) (47233JBX5)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.26	MetLife Inc Note M/W CLBL (BOND) (59156RBZ0)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.27	Prudential Financial INC NOTE M/W CLBL (BOND) (74432AYX2)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.28	Unum GroupNOTE M/W CLBL (BOND) (91529YAP1)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.29	Vornado Realty LP NOTE M/W CLBL (BOND) (929043AJ6)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.30	U.S. bank account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.31	OFS CAPITAL CORPORATION 6.25% NTS 31/10/24 USD25 (OFSSZ)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.32	B. RILEY FINANCIAL INC 6% SENIOR NOTES DUE 2028	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.33	Innovative Industrial Properties, Inc. (IIPR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.34	AEGON FUNDING COMPANY LLC	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.35	AMERICAN FINANCIAL GROUP INC 5.625% SUB DEB DUE 01/06/60	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.36	EAGLE POINT CREDIT COMPANY INC 6.5%	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.37	GLADSTONE INVEST CORP 5% NOTES DUE 01/05/26	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.38	Stifel Financial Corp. (SF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.39	BOFA FIN LLC MED TERM NTS BOOK NOTE M/W CLBL INDEX LNKD 0% 07/22/2027	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.40	CITIGRP GLOBAL MKTS HLDGS INC NOTE M/W CLBL INDEX LNKD 0% 01/22/2027	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.41	JPMORGAN CHASE FINL CO LLC NOTE INDEX LNKD 0% 03/12/2027	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.42	UBS AG LONDON NOTE M/W CONV CLBL INDEX LNKD 0% 12/03/2026	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.43	UBS AG LONDON NOTE M/W CONV CLBL INDEX LNKD 0% 03/04/2027	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.44	Athene Holdings 6.325% Series C Preferred (ATH.PRB)		\$1,001 - \$15,000		None (or less than \$201)
1.45	B. Riley Financial 6.375% Senior Notes	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.46	JP Morgan Equity Premium Income ETC	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.47	U.S. bank (cash)	See Endnote	\$15,001 - \$50,000		None (or less than \$201)
1.48	JP Morgan 7% bonds due 10/29/2038	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.49	U.S. bank (cash) See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.50	UBS Structured Note due 11/16/2026	N/A	\$15,001 - \$50,000		None (or less than \$201)
2	IRA #2	No			
2.1	Blackstone Real Estate INCME TRUST CL I NSA (0499T253)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2	Ready Capital Corp. (RC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.3	Brookfield Prop Partners LO 6.375% PFD UNITS CL A SR 2 (BPYPO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.4	Brunswick Corp 6.5%SNR NTS DUE 15/10/48 (BC-A)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.5	Draftkings IncCOM CL A (DKNG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.6	Eaton Vance Floating Rate INCO COM (EFT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.7	National Storage Affiliates TR 6% CUM RED PFD SHS BEN INT (NSA-A)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.8	Nuveen Floating Rate Income OP COM SHS (JRO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.9	Nuveen Quality Pfd Income Fund Com (JPS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.10	OFS Capital Corporation Com (OFS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.11	Pitney Bowes Inc 6.7% PRFUSD25 (07/03/43) (PBI-B)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.12	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)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.13	Rational Funds Tactical Return Inst (HRSTX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.14	JP Morgan Funds Growth Advantage I (JGASX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.15	Mutual Fund SER TR CATALYST/MILLBURN HEDGE STRT I (MBXIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.16	American Funds WA MUTUAL INVESTORS F2(WMFFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.17	U.S. Cash account	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.18	COLUMBIA SLGMN COMM & INFO	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.19	INNOVATIVE INDUSTRIAL PROPERTIES (IIPR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.20	FIDELITY CONTRAFUND INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.21	B.RILEY FINANCIAL INC 6% SENIOR NOTES DUE 2028	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.22	Arch Capital Group Ltd. (ACGL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.23	EVGO INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.24	GLADSTONE INVEST CORP 5% NOTES DUE 01/05/26	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.25	BOFA FIN LLC MED TERM NTS BOOK NOTE M/W CLBL INDEX LNKD 0% 07/22/2027	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.26	SoFi Technologies Inc. Common Stock (SOFI)	N/A	\$1,001 - \$15,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.27	India Fund	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.28	The Arbitrage Fund	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.29	JP Morgan Chase Market Linked Note due 3/12/2027	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	SEIU Local 32BJ Defined Contribution Plan	No			None (or less than \$201)
3.1	John Hancock Funds Disciplined Value Mid Cap Fund Class (JVMRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	Vanguard Institutional Index Fund (VINIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	T. Rowe Price Blue Chip Growth Fund I (TBCIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.4	Vanguard Mid Cap Index Fund (VMCIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5	Vanguard Small Cap Growth Index Fund (VSGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	Consolidated Retirement Plan (ACTWU), defined benefit plan (value not readily ascertainable). Began receiving monthly payments on May 1, 2022	N/A	None (or less than \$1,001)	Pension payment \$6000 per month	None (or less than \$201)
5	SEIU Affiliates Officers and Employees Pension Plan, defined benefit plan (value not readily ascertainable) Began receiving payments effective May 1, 2023.	N/A	None (or less than \$1,001)	Pension payment \$1177 per month	None (or less than \$201)
6	U.S. brokerage money market account (cash) See Endnote	N/A	\$15,001 - \$50,000		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 this defined contribution plan.	8/2018
2	Consolidated Retirement Plan (ACTWU)	New York, New York	I will continue to participate in this defined benefit plan.	9/1986
3	SEIU Affiliates Officers and Employees 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

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

### 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	Ready Capital Corp. (RC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.3	Brookfield Prop Partners (BPYPO)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.4	Brunswick Corp 6.5% SNR NTS DUE 15/10/48 (BC-A)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.5	Eaton Vance Floating Rate INCO COM (EFT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.6	Equitable Hldings Inc. (EQH-A)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.7	Nuveen Floating Rate INCOME OP COM SHS (JRO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	Nuveen Quality PFD INCOME FUND COM (JPS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.9	OFS Capital CORPORATION COM (OFS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.10	Pitney Bowes Inc (PBI-B)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.11	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)
2.12	Prudential 6.5% (PUK-A)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.13	Fidelity Investments Contrafund RETAIL (FCNTX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.14	American Funds Growth Fund of America F1 (GFAFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.15	Rational Funds Tactical Return Inst (HRSTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.16	JP Morgan Funds Growth Advantage I (JGASX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.17	Mutual Fund SER TR Catalyst/Millburn Hedge STRT I (MBXIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.18	Columbia Funds Seligman Comms & Info Inst 2 (SCMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.19	Prudential Financial INC Note M/W CLBL (BOND) (74432AYV6)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.20	U.S. bank account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.21	EVGO INC COM CL A	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.22	INNOVATIVE INDUSTRIAL PROPERTE COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.23	GLADSTONE INVEST CORP 5%NOTESDUE01/05/26	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.24	AT&T INC 5.35%GBL NTS DUE 01/11	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.25	Stifel Financial Corp. (SF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.26	B. Riley Financial, Inc. 6% SENIOR NOTES DUE 2028 (RILY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.27	JP Morgan Chase Market Linked Note due 3/12/2027	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.28	Eagle Point Credit Co. Inc. 6.5%	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.29	Priority Income Fund INC 6.375% PFD	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.30	B. Riley Financial, Inc. 6.375% SENIOR NOTES DUE	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.31	Saratoga Investment Corp 8% Notes 31/10/2027	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.32	JP Morgan Chase Market Linked Note due 3/12/2027	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	\$2,400

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Amer Intl Group INC 5.85%NON CUM PER DEP SHS RE (AIG-A)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2	Blackstone Real Estate Income Trust CL I NSA (0499T253)	N/A	\$15,001 - \$50,000	Partnership distribution	\$1,895
3	Ready Capital Corp. (RC)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
4	Brookfield Property Partners LP 6.375% PFD UNITS CL A SR 2(BPYPO)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
5	Brunswick Corp 6.5% SNR NTS DUE 15/10/48 (BC-A)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
6	DraftKings Inc COM CL A (DKNG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7	Eaton Vance Floating Rate INCO COM (EFT)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
8	General American Investors Co Inc 5.95% PRFSHS SERBUS25 (GAM-B))	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9	National Storage Affiliates Trust 6% CUM RED PFD SHS BEN INT (NSA-A)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10	Nuveen Floating Rate Income OP COM SHS (JRO)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
11	Nuveen Quality Pfd Income Fund Com (JPS)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12	OFS Capital Corporation Com (OFS)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
13	Pitney Bowes Inc 6.7% PRF USD25 (07/03/43) (PBI-B)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
14	Priority Income Fund 7% SER D TRM PFD STK DUE 29 (PRIF-D)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
15	Fidelity Investments Contrafund Retail (FCNTX)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$2,501 - \$5,000
16	Rational Funds Tactical Return Inst (HRSTX)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
17	JP Morgan Funds Growth Advantage I ((JGASX)	N/A	\$15,001 - \$50,000	Capital Gains	None (or less than \$201)
18	Mutual Fund Ser TR CATALYST/MILLBURN HEDGE STRT I (MBXIX)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
19	T Rowe Price Blue Chip Growth Fund (TRBCX)	N/A	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500
20	T Rowe Price Diversified Mid-Cap Growth Fund (PRDMX)	N/A	\$15,001 - \$50,000	Capital Gains	None (or less than \$201)
21	T Rowe Price Dividend Growth Fund (PRDGX)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$201 - \$1,000
22	T Rowe Price Emerging Markets Stock Fund (PRMSX)	Yes	None (or less than \$1,001)		None (or less than \$201)
23	T Rowe Price QM US Small-Cap Growth Equity (PRDSX)	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
24	PAX World Sustainable Allocation Fund (PAXIX)	N/A	\$15,001 - \$50,000	Capital Gains Dividends Interest	\$1,001 - \$2,500
25	Ireland State Savings cash account	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26	U.S. bank account (cash) #1	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
27	Residential Real Estate, Bowdoin, ME	N/A	\$250,001 - \$500,000	Rent or Royalties	\$15,001 - \$50,000
28	U.S. bank account (cash) #2	N/A	\$1,001 - \$15,000		None (or less than \$201)
29	U.S. bank account (cash) #3	N/A	\$1,001 - \$15,000		None (or less than \$201)
30	U.S. bank account (cash) #4	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
31	U.S. bank account (cash) #5	N/A	\$250,001 - \$500,000	Interest	\$2,501 - \$5,000
32	Allied Irish Bank savings account (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
33	EVGO INC COM CL A	N/A	\$1,001 - \$15,000		None (or less than \$201)
34	INNOVATIVE INDUSTRIAL PROPERTY COM	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
35	GLADSTONE INVEST CORP 5%NOTES DUE 01/05/26	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
36	AT&T INC 5.35% GBL NTS DUE 01/11	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
37	UBS AG LONDON NOTE M/W CONV CL BL INDEX LNKD	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
38	FDIC INSURED DEPOSIT ACCOUNT NOT COVERED BY SIPC	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
39	ARCH CAPITAL COM	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
40	COLUMBIA SELIGMAN COMM & INFO INS T2	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
41	T Rowe Price Global Technology Fund (PRGTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
42	B. RILEY FINANCIAL INC 6% SENIOR NOTES DUE 2028	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
43	BOFA FIN LLC MED TERM NTS BOOK NOTE M/W CLBL INDEX LNKD 0% 07/22/2027	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
44	JPMORGAN CHASE FINL CO LLC NOTE INDEX LNKD 0% 03/12/2027	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
45	ALAUNOS THERAPEUTICS INC (TCRT)	N/A	None (or less than \$1,001)		
46	SoFi Technologies Inc. Common Stock (SOFI)	N/A	\$1,001 - \$15,000	Option expiration short position	\$725
47	T Rowe Price Small-Cap Value Fund, Inc (PRSVX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
48	Estate of a family member (value not readily ascertainable)	N/A			None (or less than \$201)
49	India Fund	N/A	\$1,001 - \$15,000		None (or less than \$201)
50	UBS Structured Note due 11/16/2026	N/A	\$1,001 - \$15,000		None (or less than \$201)
51	The Arbitrage Fund	N/A	\$15,001 - \$50,000		None (or less than \$201)

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	SoFi Technologies	Purchase	03/10/2023	\$1,001 - \$15,000



#	DESCRIPTION		TYPE	DATE	AMOUNT
2	SoFi Technologies April 21, 2023 \$6 Call	See Endnote	Sale	03/10/2023	\$1,001 - \$15,000
3	SoFi Technologies		Purchase	03/10/2023	\$1,001 - \$15,000
4	SoFi Technologies April 21, 2023 \$6 Call	See Endnote	Sale	03/10/2023	\$1,001 - \$15,000
5	India Fund	See Endnote	Purchase	04/20/2023	\$1,001 - \$15,000
6	SoFi Technologies April 21, 2023 \$6 Call	See Endnote	Purchase	04/24/2023	\$1,001 - \$15,000
7	SoFi Technologies May 5, 2023 \$6 Call	See Endnote	Sale	04/24/2023	\$1,001 - \$15,000
8	India Fund	See Endnote	Purchase	04/20/2023	\$1,001 - \$15,000
9	SoFi Technologies April 21, 2023 \$6 Call	See Endnote	Purchase	04/24/2023	\$15,001 - \$50,000
10	SoFi Technologies May 5, 2023 \$6 Call	See Endnote	Sale	04/24/2023	\$15,001 - \$50,000
11	SoFi Technologies May 5, 2023 \$6 Call	See Endnote	Purchase	04/24/2023	\$1,001 - \$15,000
12	SoFi Technologies July 21, 2023 \$6 Call	See Endnote	Sale	04/24/2023	\$1,001 - \$15,000
13	SoFi Technologies May 5, 2023 \$6 Call	See Endnote	Purchase	04/24/2023	\$1,001 - \$15,000
14	SoFi Technologies July 21, 2023 \$6 Call	See Endnote	Sale	04/24/2023	\$1,001 - \$15,000
15	India Fund (IFN)	See Endnote	Purchase	06/15/2023	\$1,001 - \$15,000
16	India Fund (IFN)	See Endnote	Purchase	06/15/2023	\$1,001 - \$15,000
17	SOFi Technologies July 21, 2023 \$6 Call	See Endnote	Purchase	07/24/2023	\$1,001 - \$15,000
18	SoFi Technologies	See Endnote	Sale	07/24/2023	\$1,001 - \$15,000
19	SoFi Technologies September 15, 2023 \$13 calls	See Endnote	Sale	07/31/2023	\$1,001 - \$15,000
20	SOFi Technologies July 21, 2023 \$6 Call	See Endnote	Purchase	07/24/2023	\$1,001 - \$15,000
21	SoFi Technologies	See Endnote	Sale	07/24/2023	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
22	SoFi Technologies September 15, 2023 \$13 calls	See Endnote	Sale	07/31/2023	\$1,001 - \$15,000
23	BANK OF NEW YORK MELLON CORP		Sale	08/09/2023	\$1,001 - \$15,000
24	BOEING COMPANY		Sale	08/09/2023	\$1,001 - \$15,000
25	BRISTOL MYERS SQUIBB CO		Sale	08/09/2023	\$1,001 - \$15,000
26	EXXON MOBIL CORP		Sale	08/09/2023	\$1,001 - \$15,000
27	EMERSON ELECTRIC CO		Sale	08/09/2023	\$1,001 - \$15,000
28	DUPONT DE NEMOURS INC		Sale	08/09/2023	\$1,001 - \$15,000
29	GOLDMAN SACHS GROUP INC		Sale	08/09/2023	\$1,001 - \$15,000
30	MERCK & CO INC		Sale	08/09/2023	\$1,001 - \$15,000
31	SOUTHWEST AIRLINES CO		Sale	08/09/2023	\$1,001 - \$15,000
32	GEN ELEC CO	See Endnote	Sale	07/10/2023	\$1,001 - \$15,000
33	ZIMMER BIOMET HOLDINGS INC	See Endnote	Sale	07/10/2023	\$1,001 - \$15,000
34	Apollo Global Management 6.375% Preferred Series B (APO.PRB)	See Endnote	Sale	09/22/2023	\$1,001 - \$15,000
35	Apollo Global Management 6.375% Preferred Series B (APO.PRB)	See Endnote	Sale	09/22/2023	\$1,001 - \$15,000
36	Sofi Technologies \$13 Calls 9/15/23 (SOFI)	See Endnote	Purchase	09/18/2023	\$1,001 - \$15,000
37	SoFi Technologies Inc. Common Stock (SOFI)		Purchase	09/26/2023	\$1,001 - \$15,000
38	Sofi Technologies \$9 Calls 11/17/23 (SOFI)	See Endnote	Sale	09/26/2023	\$1,001 - \$15,000
39	Sofi Technologies \$13 Calls 9/15/23 (SOFI)	See Endnote	Purchase	09/18/2023	\$1,001 - \$15,000
40	SoFi Technologies Inc. Common Stock (SOFI)		Purchase	09/26/2023	\$1,001 - \$15,000
41	Sofi Technologies \$9 Calls 11/17/23 (SOFI)	See Endnote	Sale	09/26/2023	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
42	Athene Holdings 6.325% Series C Preferred (ATH.PRB)		Purchase	09/26/2023	\$1,001 - \$15,000
43	Equitable Holdings 6.25% Series A Preferred (EQH.PRA)		Purchase	09/26/2023	\$1,001 - \$15,000
44	Catalyst Millburn Hedge Strategy Fund	See Endnote	Purchase	10/05/2023	\$15,001 - \$50,000
45	The Arbitrage Fund	See Endnote	Purchase	10/05/2023	\$15,001 - \$50,000
46	Arch Capital Group	See Endnote	Sale	10/31/2023	\$1,001 - \$15,000
47	JP Morgan 7% bonds due 10/29/2038		Purchase	10/30/2023	\$15,001 - \$50,000
48	The Arbitrage Fund	See Endnote	Purchase	10/05/2023	\$15,001 - \$50,000
49	Arch Capital Group	See Endnote	Sale	10/31/2023	\$1,001 - \$15,000
50	Citigroup Fixed to Float Preferred Stock	See Endnote	Sale	11/15/2023	\$1,001 - \$15,000
51	Sofi Technologies 11/19/2023 \$9 Call	See Endnote	Purchase	11/20/2023	\$1,001 - \$15,000
52	UBS Structured Note due 11/16/2026		Purchase	11/10/2023	\$15,001 - \$50,000
53	B. Riley Financial 6.375% Senior Notes	See Endnote	Purchase	11/17/2023	\$1,001 - \$15,000
54	Citigroup Fixed to Float Preferred Stock	See Endnote	Sale	11/15/2023	\$1,001 - \$15,000
55	UBS Structured Note due 11/16/2026		Purchase	11/10/2023	\$1,001 - \$15,000
56	Sofi Technologies 11/19/2023 \$9 Call	See Endnote	Purchase	11/20/2023	\$1,001 - \$15,000
57	SOFi Technologies \$8.50 Calls 1/5/24	See Endnote	Sale	12/01/2023	\$1,001 - \$15,000
58	SOFi Technologies \$11 Calls 1/26/24	See Endnote	Sale	12/19/2023	\$1,001 - \$15,000
59	JP Morgan Equity Premium Income ETC	See Endnote	Purchase	12/19/2023	\$1,001 - \$15,000
60	SOFi Technologies \$8.50 Calls 1/5/24	See Endnote	Sale	12/01/2023	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
61	SOFi Technologies \$11 Calls 1/26/24	See Endnote	Sale	12/19/2023	\$1,001 - \$15,000
62	SOFi Technologies \$8.50 Calls 1/5/24	See Endnote	Sale	12/01/2023	\$1,001 - \$15,000
63	SOFi Technologies \$11 Calls 1/26/24	See Endnote	Sale	12/19/2023	\$1,001 - \$15,000
64	JP Morgan Equity Premium Income ETC	See Endnote	Purchase	12/19/2023	\$1,001 - \$15,000
65	SOFi Technologies \$8.50 Calls 1/5/24	See Endnote	Sale	12/01/2023	\$1,001 - \$15,000
66	SOFi Technologies \$11 Calls 1/26/24	See Endnote	Sale	12/19/2023	\$1,001 - \$15,000
67	Boeing Company (BA)	See Endnote	Sale	10/26/2023	\$1,001 - \$15,000
68	Ford Motor Co, (F)	See Endnote	Sale	10/26/2023	\$1,001 - \$15,000
69	The CIGNA Group (CI)	See Endnote	Sale	10/26/2023	\$1,001 - \$15,000
70	JP Morgan Chase & Co (JPM)	See Endnote	Sale	10/26/2023	\$15,001 - \$50,000
71	Citigroup Series K 6.875% Non-Cum. Preferred Stock (C Pr K)		Purchase	01/03/2023	\$1,001 - \$15,000
72	Innovative Industrial Properties, Inc. (IIPR)		Purchase	01/03/2023	\$1,001 - \$15,000
73	OFS Capital Corporation Common Stock (OFS)		Purchase	01/03/2023	\$1,001 - \$15,000
74	Nuveen Preferred & Income Opportunities Fund (JPC)		Purchase	01/03/2023	\$1,001 - \$15,000
75	Charles Schwab Bank CD		Purchase	01/25/2023	\$15,001 - \$50,000
76	Oak Tree Capital Group Series A Preferred Stock (OAK-A)		Sale	02/10/2023	\$1,001 - \$15,000
77	Southeast Bank CD		Purchase	02/15/2023	\$15,001 - \$50,000
78	Oak Tree Capital Group Series A Preferred Stock (OAK-A)		Sale	02/10/2023	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
79	Oak Tree Capital Group Series A Preferred Stock (OAK-A)	Sale	02/10/2023	\$1,001 - \$15,000

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Amalgamated Bank of New York	Mortgage on Personal Residence	\$100,001 - \$250,000	2022	2.75%	15 year

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
1.	1	I resigned as Trustee effective September 22, 2023. This trust was formally ended on December 31, 2023.
1.	3	I resigned as Trustee effective September 21, 2023.
2.	1.47	This is a CD
2.	1.49	This is a CD
2.	6	I inherited 1/4 of an IRA from my mother's estate. The stocks were sold and the proceeds are in a "Beneficial IRA" and are held in a UBS Money Market account.
7.	2	covered call

PART	#	ENDNOTE
7.	4	covered call
7.	5	Ticker: IFN
7.	6	Expiration of short call option
7.	7	Covered call initiated
7.	8	Ticker: IFN
7.	9	Expiration of short call option
7.	10	Covered call initiated
7.	11	Expiration of short call option
7.	12	Covered call initiated
7.	13	Expiration of short call option
7.	14	Covered call initiated
7.	15	Ticker: IFN
7.	16	Ticker: IFN
7.	17	Call option expired
7.	18	Sale due to option exercised
7.	19	Covered Call option position
7.	20	Call option expired
7.	21	Sale due to option exercised
7.	22	Covered Call option position
7.	32	I received the July 10 notifications by mail when I returned from vacation on August 17.
7.	33	I received the July 10 notifications by mail when I returned from vacation on August 17.
7.	34	Call of AAM-B

PART	#	ENDNOTE
7.	35	Call of AAM-B
7.	36	Expiration of short call option (covered call)
7.	38	Covered Call
7.	39	Expiration of short call option (covered call)
7.	41	Covered Call
7.	44	Ticker: MBXIX
7.	45	Ticker: ARBFX
7.	46	Ticker: ACGL
7.	48	Ticker: ARBFX
7.	49	Ticker: ACGL
7.	50	Ticker: C-K
7.	51	Short option expiration
7.	53	Ticker: RILYM
7.	54	Ticker: C-K
7.	56	Short option expiration
7.	57	Short option for covered call
7.	58	Short option for covered call
7.	59	Ticker: JEPI
7.	60	Short option for covered call
7.	61	Short option for covered call
7.	62	Short option for covered call
7.	63	Short option for covered call

PART	#	ENDNOTE
7.	64	Ticker: JEPI
7.	65	Short option for covered call
7.	66	Short option for covered call
7.	67	In late September 2023, I inherited one-fourth of the balance of an IRA owned by my late mother. A "Beneficial IRA" was established with these funds. I proceeded to sell all of the individual shares in the account on October 26, 2023. The Beneficial IRA now holds only a money market fund.
7.	68	See endnote for Entry #1.
7.	69	See endnote for Entry #1.
7.	70	See endnote for Entry #1.



# 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 \$480 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$480 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 \$192 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

5 U.S.C. § 13101 et seq., 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 5 U.S.C. §§ 13107 and § 13122(b)(1) 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 13989 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.

## Public Burden Information

This collection of information is estimated to take an average of ten hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE) 250 E Street, S.W., Suite 750, Washington, DC 20024-3249.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB (that control number 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).

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