

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Prouty, David M

Member, National Labor Relations Board

Report Year: 2022

Other Federal Government Positions Held During the Preceding 12 Months:

None

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 06/30/2022 by Prouty, David M in Integrity.gov] - Filer received a 45 day filing extension.

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 07/12/2022 by Burow, Kathryn in Integrity.gov]

Other review conducted by

/s/ Dougherty, Matthew, Ethics Official [electronically signed on 07/05/2022 by Dougherty, Matthew in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 07/27/2022 by Granahan, Megan in Integrity.gov]

Data Revised 07/21/2022

Data Revised 07/15/2022

Data Revised 07/12/2022

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	8/2021
2	Family Trust	Bethesda, Maryland	Trust	Trustee	6/2015	7/2021
3	Outstanding and Unique Resources for Upper Nyack Kids, Inc.	Upper Nyack, New York	Non-Profit	Board Member	9/2006	9/2021
4	Major League Baseball Players Association Players Trust	New York, New York	Non-Profit	The Michael Weiner Scholarship Committee Member	7/2014	9/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	SEIU Local 32BJ	N/A		Salary/Bonus	\$124,191
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	Blackstone REIT CL I NSA (09499T253)	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.5	Brighthouse Financial INC 6.25%JR SUB DEB DUE 2058 (BHFAL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.6	Broadmark Realty CAPITAL INC COM (BRMK)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.7	Brookfield Property PARTNERS LP 6.375% PFD UNITS CL A SR2 (BPYPO)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.8	Brunswick Corp 6.5%SNR NYS DUE 15/10/48 (BC-A)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.9	Citigroup Inc DEP SHS REPSTG 1/1000 PFD (C-K)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.10	Eaton Vance FLOATING RATE INCO COM (EFT)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.11	Equitable Holdings INC 5.25% DEP RP 1/1000 NON A (EQH-A)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.12	Gabelli Dividend & Income Trust PFD SER G USD25 (GDV-G)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.13	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)
2.14	Kimco Realty Corp. 5.25% CUM RED DEP SHS CL M (KIM-M)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.15	National Storage Affiliates TR 6% CUM RED PFD SHS BEN INT (NSA-A)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.16	Nuveen Floating Rate Income OP COM SHS (JRO)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.17	Nuveen Quality PFD INCOME FUND COM (JPS)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.18	Oaktree Cap Group LLC 6.625% PRF UNITS SERIES A (OAK-A)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.19	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)
2.20	Prudential 6.5% PERP PRF USD25 (PUK-A)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.21	Urstadt Biddle Properties 5.875% CUM RED PRF STOCK (UBP-K)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.22	American Financial GROUP INC NOTE M/W CLBL (BOND) (025932AP9)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.23	Brighthouse Finl INC NOTE M/W CLBL (BOND) (10922NAC7)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.24	Cardinal Health INC NOTE M/W CLBL (BOND) (14149YAW8)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.25	CNA Financial Corp NOTE M/W CLBL (BOND) (126117AU4)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.26	Discover Financial Services NOTE M/W CLBL (BOND) (25472CAU3)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.27	Goldman Sachs Group INC NOTE MTHLY (BOND) (38143C5L1)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.28	Humana Inc NOTE M/W CLBL (BOND) ((44859BK7)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.29	Jefferies Group LLC / JEFFERIE NOTE M/W CLBL (BOND) (47233JBH0)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.30	Jefferies Group LLC / JEFFERIE NOTE CLBL (BOND) (47233JBX5)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.31	MetLife Inc Note M/W CLBL (BOND) (59156RBZ0)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.32	Prudential Financial INC NOTE M/W CLBL (BOND) (74432AYX2)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.33	SL Green Oper Partnership L P NOTE M/W CLBL (BOND) (78444FAF3)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.34	Unum GroupNOTE M/W CLBL (BOND) (91529YAP1)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.35	Vornado Realty LP NOTE M/W CLBL (BOND) (929043AJ6)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.36	U.S. bank account (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.37	OFS CAPITAL CORPORATION 6.25% NTS 31/10/24 USD25 (OFSSZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.38	Citigroup Series S Preferred Stock (C-S)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.39	B. RILEY FINANCIAL INC 6% SENIOR NOTES DUE 2028	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.40	UBS MARKET LINKED NOTE	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.41	Innovative Industrial Properties, Inc. (IIPR)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.42	AEGON FUNDING COMPANY LLC	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.43	AMERICAN FINANCIAL GRPOUP INC 5.625% SUB DEB DUE 01/06/60	N/A	\$15,001 - \$50,000		
2.44	EAGLE POINT CREDIT COMPANYINC 6.5%	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.45	GLADSTONE INVEST CORP 5% NOTES DUE 01/05/26	N/A	\$15,001 - \$50,000		
2.46	Stifel Financial Corp. (SF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	IRA #2	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1	Blackstone Real Estate INCME TRUST CL I NSA (0499T253)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.2	Broadmark Realty CAPITAL INC COM (BRMK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.3	Brookfield Prop Partners LO 6.375% PFD UNITS CL A SR 2 (BPYPO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.4	Brunswick Corp 6.5%SNR NTS DUE 15/10/48 (BC-A)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5	Corteva Inc COM (CTVA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.6	Dow Inc COM (DOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.7	Draftkings IncCOM CL A (DKNG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.8	Eaton Vance Floating Rate INCO COM (EFT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.9	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)
3.10	National Storage Affiliates TR 6% CUM RED PFD SHS BEN INT (NSA-A)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.11	Nuveen Floating Rate Income OP COM SHS (JRO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.12	Nuveen Quality Pfd Income Fund Com (JPS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.13	Oaktree Cap Group LLC 6.625% PRF UNITS SERIES A (OAK-A)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.14	OFS Capital Corporation Com (OFS)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.15	Pitney Bowes Inc 6.7% PRFUSD25 (07/03/43) (PBI-B)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.16	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)
3.17	Travelers Companies INC COM (TRV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.18	IShares Trust MSCI USA MIN VOL FACTOR ETF (USMV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.19	Rational Funds Tactical Return Inst (HRSTX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.20	JP Morgan Funds Growth Advantage I (JGASX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.21	Mutual Fund SER TR CATALYST/MILLBURN HEDGE STRT I (MBXIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.22	American Funds WA MUTUAL INVESTORS F2(WMFFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.23	U.S. Cash account	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.24	COLUMBIA SLGMN COMM & INFO	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.25	INNOVATIVE INDUSTRIAL PROPERTIES (IIPR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.26	FIDELITY CONTRAFUND INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.27	B.RILEY FINANCIAL INC 6% SENIOR NOTES DUE 2028	N/A	\$1,001 - \$15,000		
3.28	Arch Capital Group Ltd. (ACGL)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.29	EVGO INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.30	POWERSHARES S&p 500 LOW VOLATILITY ETF	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.31	TJX COS INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.32	GLADSTONE INVEST CORP 5% NOTES DUE 01/05/26	N/A	\$1,001 - \$15,000		None (or less than \$201)
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 this defined contribution plan.	8/2018
2	Consolidated Retirement Fund (ACTWU)	New York, New York	I will continue to participate in this defined benefit plan.	9/1986
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

(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	Broadmark Realty (BRMK)	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 6.5% NTS 31/10/24 USD25 (OFSSZ)	N/A	\$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 (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)
2.13	Prudential 6.5% (PUK-A)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.14	Fidelity Investments Contrafund RETAIL (FCNTX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.15	American Funds Growth Fund of America F1 (GFAFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.16	Rational Funds Tactical Return Inst (HRSTX)	Yes	\$1,001 - \$15,000		\$15,001 - \$50,000
2.17	JP Morgan Funds Growth Advantage I (JGASX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.18	Mutual Fund SER TR Catalyst/Millburn Hedge STRT I (MBXIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.19	Columbia Funds Seligman Comms & Info Inst 2 (SCMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.20	American Funds WA Mutual Investors F2 (WMFFX)	Yes	\$1,001 - \$15,000		\$15,001 - \$50,000
2.21	Prudential Financial INC Note M/W CLBL (BOND) (74432AYV6)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.22	U.S. bank account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.23	EVGO INC COM CL A	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.24	INNOVATIVE INDUSTRIAL PROPERTE COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.25	GLADSTONE INVEST CORP 5%NOTESDUE01/05/26	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.26	AT&T INC 5.35%GBL NTS DUE 01/11	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.27	Stifel Financial Corp. (SF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.28	B. Riley Financial, Inc. 6% SENIOR NOTES DUE 2028 (RILY)	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	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		None (or less than \$201)
3	Broadmark Realty Capital INC COM (BRMK)	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	Dividends	\$201 - \$1,000
5	Brunswick Corp 6.5% SNR NTS DUE 15/10/48 (BC-A)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	Corteva Inc COM (CTVA)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7	Dow Inc COM (DOW)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8	DraftKings Inc COM CL A (DKNG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9	Eaton Vance Floating Rate INCO COM (EFT)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
10	General American Investors Co Inc 5.95% PRFSHS SERBUSD25 (GAM-B)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
11	National Storage Affiliates Trust 6% CUM RED PFD SHS BEN INT (NSA-A)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12	New Ireland Fund Com (IRL)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13	Nuveen Floating Rate Income OP COM SHS (JRO)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
14	Nuveen Quality Pfd Income Fund Com (JPS)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
15	Oaktree Cap Group LLC 6.625% PRF UNITS SERIES A (OAK-A)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16	OFS Capital Corporation Com (OFS)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
17	Pitney Bowes Inc 6.7% PRF USD25 (07/03/43) (PBI-B)	N/A	\$1,001 - \$15,000		None (or less than \$201)
18	Priority Income Fund 7% SER D TRM PFD STK DUE 29 (PRIF-D)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
19	ZIOPHARM Oncology Inc COM (ZIOP)	N/A	None (or less than \$1,001)		None (or less than \$201)
20	Ishares Trust MSCI USA MIN VOL FACTOR SELECT ETF (USMV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
21	Fidelity Investments Contrafund Retail (FCNTX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
22	Rational Funds Tactical Return Inst (HRSTX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
23	JP Morgan Funds Growth Advantage I ((JGASX))	Yes	\$15,001 - \$50,000		None (or less than \$201)
24	Mutual Fund Ser TR CATALYST/MILLBURN HEDGE STRT I (MBIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
25	T Rowe Price Blue Chip Growth Fund (TRBCX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
26	T Rowe Price Diversified Mid-Cap Growth Fund (PRDMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
27	T Rowe Price Dividend Growth Fund (PRDGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
28	T Rowe Price Emerging Markets Stock Fund (PRMSX)	Yes	None (or less than \$1,001)		None (or less than \$201)
29	T Rowe Price QM US Small-Cap Growth Equity (PRDSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
30	PAX World Sustainable Allocation Fund (PAXIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
31	Ireland State Savings cash account	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
32	U.S. bank account (cash) #1	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
33	Residential Real Estate, Bowdoin, ME	N/A	\$250,001 - \$500,000	Rent or Royalties	\$15,001 - \$50,000
34	U.S. bank account (cash) #2	N/A	\$1,001 - \$15,000		None (or less than \$201)
35	U.S. bank account (cash) #3	N/A	\$1,001 - \$15,000		None (or less than \$201)
36	U.S. bank account (cash) #4	N/A	\$1,001 - \$15,000		None (or less than \$201)
37	U.S. bank account (cash) #5	N/A	\$1,001 - \$15,000		None (or less than \$201)
38	Allied Irish Bank savings account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
39	EVGO INC COM CL A	N/A	\$1,001 - \$15,000		None (or less than \$201)
40	INNOVATIVE INDUSTRIAL PROPERTY COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
41	POWERSHARES S&P 500 LOW VOLATILITY ETF	N/A	\$1,001 - \$15,000		None (or less than \$201)
42	TJX COS INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
43	THE TRAVELERS COMPANIES INC CO	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
44	GLADSTONE INVEST CORP 5%NOTES DUE 01/05/26	N/A	\$1,001 - \$15,000		None (or less than \$201)
45	AT&T INC 5.35% GBL NTS DUE 01/11	N/A	\$1,001 - \$15,000		None (or less than \$201)
46	UBS AG LONDON NOTE M/W CONV CL BL INDEX LNKD	N/A	\$1,001 - \$15,000		None (or less than \$201)
47	FDIC INSURED DEPOSIT ACCOUNT NOT COVERED BY SIPC	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
48	ARCH CAPITAL COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
49	COLUMBIA SELIGMAN COMM & INFO INS T2	N/A	\$15,001 - \$50,000		
50	T Rowe Price Global Technology Fund (PRGTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
51	T Rowe Price Small-Cap Value Fund (PRSVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
52	B. RILEY FINANCIAL INC 6% SENIOR NOTES DUE 2028	N/A	\$15,001 - \$50,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	INNOVATIVE INDUSTRIAL PROPERTIES	Purchase	09/07/2021	\$1,001 - \$15,000
2	COLUMBIA SLGMN COMM & INFO	Purchase	09/07/2021	\$15,001 - \$50,000
3	VOLKSWAGEN AKTIENGESELLSCHAFT ADR UNSPONSORED	Sale	09/03/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
4	FIDELITY CONTRAFUND INC	Purchase	09/07/2021	\$15,001 - \$50,000
5	APPLE INC	Sale	09/03/2021	\$15,001 - \$50,000
6	JPMORGAN FUNDS GROWTH ADVANTAGE	Purchase	09/07/2021	\$1,001 - \$15,000
7	FACEBOOK INC COM	Sale	09/03/2021	\$1,001 - \$15,000
8	GOOGLE INC CL A	Sale	09/03/2021	\$15,001 - \$50,000
9	SUMMIT HOTEL PPTYS INC PFD SER D	Sale	09/07/2021	\$1,001 - \$15,000
10	SUMMIT HOTEL PPTYS INC PFD SER D	Sale	09/07/2021	\$1,001 - \$15,000
11	AT&T INC	Sale	09/10/2021	\$15,001 - \$50,000
12	INNOVATIVE INDUSTRIAL PROPERTIES	Purchase	09/09/2021	\$1,001 - \$15,000
13	COLUMBIA SLGMN COMM & INFO	Purchase	09/07/2021	\$15,001 - \$50,000
14	GOOGLE INC CL A	Sale	09/03/2021	\$1,001 - \$15,000
15	FIDELITY CONTRAFUND INC	Purchase	09/07/2021	\$1,001 - \$15,000
16	FACEBOOK INC COM	Sale	09/03/2021	\$1,001 - \$15,000
17	VOLKSWAGEN AKTIENGESELLSCHAFT ADR UNSPONSORED	Sale	09/03/2021	\$1,001 - \$15,000
18	APPLE INC	Sale	09/03/2021	\$1,001 - \$15,000
19	AT&T INC	Sale	09/10/2021	\$1,001 - \$15,000
20	SUMMIT HOTEL PPTYS INC PFD SER D	Sale	09/07/2021	\$1,001 - \$15,000
21	Blackstone Real Estate Income Trust	Purchase	10/18/2021	\$15,001 - \$50,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
22	B. Riley Financial 6.875% Senior Note due 9/30/2023	See Endnote	Sale	10/22/2021	\$1,001 - \$15,000
23	B. Riley Financial 6.875% Senior Note due 9/30/2023	See Endnote	Sale	10/22/2021	\$1,001 - \$15,000
24	B. Riley Financial 6.875% Senior Note due 9/30/2023	See Endnote	Sale	10/22/2021	\$15,001 - \$50,000
25	B. Riley Financial 6% Senior Note due 1/31/2028	See Endnote	Purchase	10/22/2021	\$15,001 - \$50,000
26	B. Riley Financial 6% Senior Note due 1/31/2028	See Endnote	Purchase	10/22/2021	\$1,001 - \$15,000
27	B. Riley Financial 6% Senior Note due 1/31/2028	See Endnote	Purchase	10/22/2021	\$1,001 - \$15,000
28	Proshares Ultrashort Euro	See Endnote	Sale	10/25/2021	\$1,001 - \$15,000
29	B. Riley Financial 6% Senior Note due 1/31/2028	See Endnote	Purchase	10/25/2021	\$1,001 - \$15,000
30	B. Riley Financial 6% Senior Note due 1/31/2028	See Endnote	Purchase	10/25/2021	\$15,001 - \$50,000
31	B. Riley Financial 6% Senior Note due 1/31/2028	See Endnote	Purchase	10/25/2021	\$1,001 - \$15,000
32	Western Alliance Bancorp Junior Sub. Notes due 7/1/2056	See Endnote	Sale	11/15/2021	\$1,001 - \$15,000
33	Western Alliance Bancorp Junior Sub. Notes due 7/1/2056	See Endnote	Sale	11/15/2021	\$15,001 - \$50,000
34	OFS Capital Corp. 6.25% Notes due 3/9/2023	See Endnote	Sale	11/01/2021	\$1,001 - \$15,000
35	UBS Market Linked Note	See Endnote	Purchase	12/01/2021	\$1,001 - \$15,000
36	ARCH Capital Group	See Endnote	Purchase	12/23/2021	\$1,001 - \$15,000
37	ARCH Capital Group	See Endnote	Purchase	12/23/2021	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
38	Prudential 6.5% Subordinated Capital Securities	See Endnote	Sale	12/23/2021	\$1,001 - \$15,000
39	UBS Market Linked Note	See Endnote	Purchase	12/01/2021	\$15,001 - \$50,000
40	Prudential 6.5% Subordinated Capital Securities	See Endnote	Sale	12/23/2021	\$1,001 - \$15,000
41	T Rowe Price Global Technology Fund (PRGTX)		Purchase	11/16/2021	\$1,001 - \$15,000
42	T Rowe Price Small Cap Value Fund (PRSVX)		Purchase	11/16/2021	\$1,001 - \$15,000
43	T Rowe Price Emerging Markets Stock Fund (PRMSX)		Sale	11/16/2021	\$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
7.	22	Ticker: RILYI
7.	23	Ticker: RILYI
7.	24	Ticker: RILYI
7.	25	Ticker: RILYT
7.	26	Ticker: RILYT
7.	27	Ticker: RILYT
7.	28	Ticker: EUO
7.	29	Ticker: RILYT
7.	30	Ticker: RILYT
7.	31	Ticker: RILYT
7.	32	Ticker: WALA (security called)
7.	33	Ticker: WALA (security called)
7.	34	Ticker: OFSSG (security called)
7.	35	cusip: 90279DRA6 market linked to the S&P500, Nasdaq 100 and Russell 2000 indexes
7.	36	Ticker: ACGL
7.	37	Ticker: ACGL
7.	38	Ticker: PUK-A (security called)
7.	39	cusip: 90279DRA6; market linked to the S&P500, Nasdaq 100 and Russell 2000 indexes
7.	40	Ticker: PUK-A (security called)

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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