

## 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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U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 08/22/2024 by Granahan, Megan 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 COMPANYINC 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 INDEXLNKD 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 CLBLINDEX 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 CLBLINDEX 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 | N/A                 | \$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 SERBUSD25 (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<br>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<br>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<br>Dividends<br>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.<br>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<br>(OFS)                  |             | Purchase | 01/03/2023 | \$1,001 - \$15,000  |
| 74 | Nuveen Preferred & Income Opportunities<br>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<br>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<br>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

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## 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).