

Report Type: Annual Report

Year (Annual Report only): 2025

Date of Appointment: 09/2021

Date of Termination:

Appointment Type: PAS

## 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: 2025

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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 06/12/2025 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/ Garcia, Monica L, Certifying Official [electronically signed on 08/05/2025 by Garcia, Monica L in Integrity.gov]

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Other review conducted by

/s/ Burow, Kathryn, Ethics Official [electronically signed on 06/17/2025 by Burow, Kathryn in Integrity.gov]

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U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 09/12/2025 by Granahan, Megan in Integrity.gov]

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Data Revised 07/15/2025

Data Revised 07/14/2025

Data Revised 07/07/2025

Data Revised 06/20/2025

Data Revised 06/17/2025

Data Revised 06/13/2025

Data Revised 06/12/2025

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

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Estate of a Family Member	See Endnote	Bethesda, Maryland		Representative/Executor	9/2022	Present

## 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	Blackstone REIT CL I NSA (09499T253)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3	Brighthouse Financial INC 6.25%JR SUB DEB DUE 2058 (BHFAL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.4	Ready Capital Corp. (RC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.5	Brookfield Property PARTNERS LP 6.375% PFD UNITS CL A SR2 (BPYPO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.6	Brunswick Corp 6.5%SNR NYS DUE 15/10/48 (BC-A)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.7	Eaton Vance FLOATING RATE INCO COM (EFT)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.8	Equitable Holdings INC 5.25% DEP RP 1/1000 NON A (EQH-A)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.9	Kimco Realty Corp. 5.25% CUM RED DEP SHS CL M (KIM-M)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.10	National Storage Affiliates TR 6% CUM RED PFD SHS BEN INT (NSA-A)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.11	Nuveen Floating Rate Income Opportunity Fund (JRO)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.12	Nuveen Quality PFD INCOME FUND COM (JPS)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.13	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)
1.14	Prudential 6.5% PERP PRF USD25 (PUK-A)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.15	Regency Centers Corp. (REG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.16	American Financial GROUP INC NOTE M/W CLBL (BOND) (025932AP9)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.17	Brighthouse Finl INC NOTE M/W CLBL (BOND) (10922NAC7)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.18	Cardinal Health INC NOTE M/W CLBL (BOND) (14149YAW8)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.19	CNA Financial Corp NOTE M/W CLBL (BOND) (126117AU4)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.20	Discover Financial Services NOTE M/W CLBL (BOND) (25472CAU3)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.21	Goldman Sachs Group INC NOTE MTHLY (BOND) (38143C5L1)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.22	Humana Inc NOTE M/W CLBL (BOND) ((44859BK7)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.23	Jefferies Group LLC / JEFFERIE NOTE M/W CLBL (BOND) (47233JBH0)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.24	Jefferies Group LLC / JEFFERIE NOTE CLBL (BOND) (47233JBX5)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.25	MetLife Inc Note M/W CLBL (BOND) (59156RBZ0)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.26	Prudential Financial INC NOTE M/W CLBL (BOND) (74432AYX2)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.27	Unum GroupNOTE M/W CLBL (BOND) (91529YAP1)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.28	Vornado Realty LP NOTE M/W CLBL (BOND) (929043AJ6)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.29	U.S. bank account (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.30	OFS CAPITAL CORPORATION 6.25% NTS 31/10/24 USD25 (OFSSZ)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.31	B. RILEY FINANCIAL INC 6% SENIOR NOTES DUE 2028	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.32	Innovative Industrial Properties, Inc. (IIPR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.33	AEGON FUNDING COMPANY LLC	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.34	AMERICAN FINANCIAL GROUP INC 5.625% SUB DEB DUE 01/06/60	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.35	EAGLE POINT CREDIT COMPANYINC 6.5%	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.36	GLADSTONE INVEST CORP 5% NOTES DUE 01/05/26	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.37	Stifel Financial Corp. (SF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.38	Athene Holdings 6.325% Series C Preferred (ATH.PRB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.39	B. Riley Financial 6.375% Senior Notes	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.40	JP Morgan Equity Premium Income ETC	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.41	U.S. bank account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.42	JP Morgan 7% bonds due 10/29/2038	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.43	Blackstone Secured Lending Fund Common Shares of Beneficial Interest (BXSL)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.44	Bank of America 9.3% Mkt Linked Note 6/12/2028	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.45	Jefferies Financial 6% Bond due 9/16/2036	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.46	Jefferies Financial 6% Note due 12/13/2034	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.47	F&G Life Senior Note due 12/15/2053	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.48	Lincoln National 5.852% Bond due 3/15/2034	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.49	Saratoga Investment (SAJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.50	Goldman Sachs 10% Structured Note due 8/12/2027	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.51	JPMorgan Chase Series EE 6% Preferred Stock	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.52	JP Morgan Chase 5.5% Note due 11/29/2039	N/A	\$1,001 - \$15,000		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. bank account (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.18	Columbia Seligman Communications & Information Fund	Yes	\$15,001 - \$50,000		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	GLADSTONE INVEST CORP 5% NOTES DUE 01/05/26	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.24	SoFi Technologies Inc. Common Stock (SOFI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.25	India Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.26	JP Morgan Chase Market Linked Note due 3/12/2027	N/A	\$1,001 - \$15,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.27	Bank of America 9.3% Mkt Linked Note 6/12/2028	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.28	AltShares Merger Arbitrage ETF AltShares Merger Arbitrage ETF (ARB)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.29	Proshares VIX Short-Term Futures ETF (VIXY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.30	UBS AG London Note M/W Conv CL BL Index Linked	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.31	Goldman Sachs 10% Structured Note due 8/12/2027	N/A	\$50,001 - \$100,000		None (or less than \$201)
3	SEIU Local 32BJ Defined Contribution Plan	No			
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)	N/A	None (or less than \$1,001)	Pension	\$76,920
5	SEIU Affiliates Officers and Employees Pension Plan, defined benefit plan (value not readily ascertainable)	N/A	None (or less than \$1,001)	Pension	\$14,124
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 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	\$15,001 - \$50,000		None (or less than \$201)
2.21	Innovative Industrial Properties, Inc. (IIPR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.22	GLADSTONE INVEST CORP 5%NOTESDUE01/05/26	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.23	AT&T INC 5.35%GBL NTS DUE 01/11	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.24	Stifel Financial Corp. (SF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.25	B. Riley Financial, Inc. 6% SENIOR NOTES DUE 2028 (RILY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.26	Eagle Point Credit Co. Inc. 6.5%	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.27	Priority Income Fund INC 6.375% PFD	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.28	B. Riley Financial, Inc. 6.375% SENIOR NOTES DUE	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.29	Saratoga Investment Corp 8% Notes 31/10/2027	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.30	Bank of America 9.3% Mkt Linked Note 6/12/2028	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.31	UBS 9.15% Structured Note due 8/10/2029	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	NYU Medical Center, defined benefit plan (value not readily ascertainable)	N/A		Monthly Retirement Payments	\$2,400

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Blackstone Real Estate Income Trust CL I NSA	N/A	\$15,001 - \$50,000	Distributions	\$1,895
2	Ready Capital Corp. (RC)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
3	Brookfield Property Partners LP 6.375% PFD UNITS CL A SR 2(BPYPO)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
4	Brunswick Corp 6.5% SNR NTS DUE 15/10/48 (BC-A)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
5	DraftKings Inc COM CL A (DKNG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	Eaton Vance Floating Rate INCO COM (EFT)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
7	General American Investors Co Inc 5.95% PRFSHS SERBUSD25 (GAM-B))	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8	National Storage Affiliates Trust 6% CUM RED PFD SHS BEN INT (NSA-A)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9	Nuveen Floating Rate Income Opportunity Fund (JRO)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10	Nuveen Quality Pfd Income Fund Com (JPS)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
11	OFS Capital Corporation Com (OFS)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12	Pitney Bowes Inc 6.7% PRF USD25 (07/03/43) (PBI-B)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
13	Priority Income Fund 7% SER D TRM PFD STK DUE 29 (PRIF-D)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
14	Fidelity Investments Contrafund Retail (FCNTX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
15	Rational Funds Tactical Return Inst (HRSTX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
16	JP Morgan Funds Growth Advantage I ((JGASX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
17	Catalyst/Millburn Hedge Strategy Fund Class I Shares (MBXIX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
18	T Rowe Price Blue Chip Growth Fund (TRBCX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
19	T Rowe Price Diversified Mid-Cap Growth Fund (PRDMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
20	T Rowe Price Dividend Growth Fund (PRDGX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
21	T Rowe Price Emerging Markets Stock Fund (PRMSX)	Yes	None (or less than \$1,001)		None (or less than \$201)
22	T Rowe Price QM US Small-Cap Growth Equity (PRDSX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
23	PAX World Sustainable Allocation Fund (PAXIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
24	Ireland State Savings cash account	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
25	U.S. bank account (cash) #1	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26	Residential Real Estate, Bowdoin, ME	N/A	\$250,001 - \$500,000	Rent or Royalties	\$15,001 - \$50,000
27	U.S. bank account (cash and CDs) #2	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
28	U.S. bank account (cash) #3	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
29	U.S. bank account (cash) #4	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
30	U.S. bank account (cash) #5	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
31	Allied Irish Bank savings account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
32	INNOVATIVE INDUSTRIAL PROPERTY COM	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
33	GLADSTONE INVEST CORP 5%NOTES DUE 01/05/26	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
34	AT&T INC 5.35% GBL NTS DUE 01/11	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
35	UBS AG LONDON NOTE M/W CONV CL BL INDEX LNKD	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
36	FDIC INSURED DEPOSIT ACCOUNT NOT COVERED BY SIPC	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
37	ARCH CAPITAL COM	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
38	Columbia SeligmanGlobal Technology Fund Institutional 2 Class Shares (SGTTX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
39	T Rowe Price Global Technology Fund (PRGTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
40	B. RILEY FINANCIAL INC 6% SENIOR NOTES DUE 2028	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
41	SoFi Technologies Inc. Common Stock (SOFI)	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
42	T Rowe Price Small-Cap Value Fund, Inc (PRSVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
43	Estate of a family member (value not readily ascertainable)	N/A			None (or less than \$201)
44	India Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
45	UBS 9.15% Structured Note due 08/10/29	N/A	\$1,001 - \$15,000		None (or less than \$201)
46	Proshares VIX Short-Term Futures ETF (VIXY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
47	Fidelity Blue Chip Growth Fund (FBGRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
48	AltShares Merger Arbitrage ETF AltShares Merger Arbitrage ETF (ARB)	Yes	\$15,001 - \$50,000		None (or less than \$201)
49	Bank of America 9.3% Mkt Linked Note 6/12/2028	N/A	\$15,001 - \$50,000		None (or less than \$201)
50	Goldman Sachs 10% Structured Note due 8/12/2027	N/A	\$15,001 - \$50,000		None (or less than \$201)

## 7. Transactions

#	DESCRIPTION		TYPE	DATE	AMOUNT
1	SOFi Technologies \$8.50 Calls 1/5/24	See Endnote	Purchase	01/08/2024	\$1,001 - \$15,000
2	SOFi Technologies \$9.50 Calls 2/2/2024	See Endnote	Sale	01/08/2024	\$1,001 - \$15,000
3	SOFi Technologies \$11 Calls 3/15/2024	See Endnote	Sale	01/29/2024	\$1,001 - \$15,000
4	SOFi Technologies \$8.50 Calls 1/5/24	See Endnote	Purchase	01/08/2024	\$1,001 - \$15,000
5	SOFi Technologies \$9.50 Calls 2/2/2024	See Endnote	Sale	01/08/2024	\$1,001 - \$15,000



#	DESCRIPTION		TYPE	DATE	AMOUNT
6	SOFi Technologies \$11 Calls 3/15/2024	See Endnote	Sale	01/29/2024	\$1,001 - \$15,000
7	JPMorgan Chase & Co. (JPM) CD	See Endnote	Sale	02/09/2024	\$1,001 - \$15,000
8	SoFi Technologies Inc. Common Stock (SOFI)	See Endnote	Purchase	02/05/2024	\$1,001 - \$15,000
9	SoFi Technologies Inc. Common Stock (SOFI)	See Endnote	Sale	02/27/2024	\$1,001 - \$15,000
10	Blackstone Secured Lending Fund Common Shares of Beneficial Interest (BXSL)	See Endnote	Purchase	02/01/2024	\$1,001 - \$15,000
11	Saratoga Investment (SAJ)	See Endnote	Purchase	02/09/2024	\$1,001 - \$15,000
12	The Charles Schwab Corp. (SCHW) CD	See Endnote	Sale	02/02/2024	\$15,001 - \$50,000
13	SoFi Technologies Inc. Common Stock (SOFI)	See Endnote	Purchase	02/05/2024	\$1,001 - \$15,000
14	SoFi Technologies Inc. Common Stock (SOFI)	See Endnote	Sale	02/27/2024	\$1,001 - \$15,000
15	AMERICAN FUNDS GROWTH FUND OF AMERICA	See Endnote	Exchange	03/15/2024	\$1,001 - \$15,000
16	AMERICAN FUNDS GROWTH FUND OF AMERICA	See Endnote	Exchange	03/15/2024	\$1,001 - \$15,000
17	SoFi Technologies Inc. Common Stock (SOFI)	See Endnote	Purchase	03/15/2024	\$1,001 - \$15,000
18	American International Group, Inc. (AIG)	See Endnote	Sale	03/15/2024	\$15,001 - \$50,000
19	SoFi Technologies Inc. Common Stock (SOFI)	See Endnote	Purchase	03/15/2024	\$1,001 - \$15,000
20	American International Group, Inc. (AIG)	See Endnote	Sale	03/15/2024	\$1,001 - \$15,000
21	SOFi Technologies \$10 Calls expire 4/19/24	See Endnote	Purchase	04/19/2024	\$1,001 - \$15,000
22	F&G Life Senior Note due 12/15/2053		Purchase	04/05/2024	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
23	Blackstone Secured Lending Fund	See Endnote	Purchase	04/05/2024	\$15,001 - \$50,000
24	SOFi Technologies \$10 Calls expire 4/19/24	See Endnote	Purchase	04/19/2024	\$1,001 - \$15,000
25	India Fund Rights (IFN)		Sale	05/13/2024	\$1,001 - \$15,000
26	India Fund Rights (IFN)		Sale	05/13/2024	\$1,001 - \$15,000
27	SoFi Technologies (SOFI) July 19, 2024 \$9 Calls	See Endnote	Sale	05/14/2024	\$1,001 - \$15,000
28	SoFi Technologies (SOFI) July 19, 2024 \$9 Calls	See Endnote	Sale	05/14/2024	\$1,001 - \$15,000
29	JPMorgan Chase Series EE 6% Preferred Stock		Purchase	05/24/2024	\$15,001 - \$50,000
30	Lincoln National 5.852% Bond due 3/15/2034		Purchase	05/28/2024	\$15,001 - \$50,000
31	UBS 9% Structured Note due 11/16/2026	See Endnote	Sale	05/15/2024	\$15,001 - \$50,000
32	UBS 9% Structured Note due 11/16/2026	See Endnote	Sale	05/15/2024	\$1,001 - \$15,000
33	Bank of America 9.3% Mkt Linked Note 6/12/2028	See Endnote	Purchase	06/08/2024	\$1,001 - \$15,000
34	Bank of America 9.3% Mkt Linked Note 6/12/2028	See Endnote	Purchase	06/08/2024	\$1,001 - \$15,000
35	Bank of America 9.3% Mkt Linked Note 6/12/2028	See Endnote	Purchase	06/08/2024	\$15,001 - \$50,000
36	Bank of America 9.3% Mkt Linked Note 6/12/2028	See Endnote	Purchase	06/08/2024	\$15,001 - \$50,000
37	EVGO (EVGO)	See Endnote	Sale	07/03/2024	\$1,001 - \$15,000
38	Sofi Technologies (SOFI)	See Endnote	Purchase	07/23/2024	\$1,001 - \$15,000
39	EVGO (EVGO)	See Endnote	Sale	07/25/2024	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
40	Bank of America 9.1% Market Linked Note	See Endnote	Sale	07/25/2024	\$1,001 - \$15,000
41	SoFi Technologies Inc. Common Stock (SOFI)	See Endnote	Sale	07/31/2024	\$1,001 - \$15,000
42	Citigroup 7% Market Linked Note	See Endnote	Sale	07/24/2024	\$15,001 - \$50,000
43	Bank of America 9.1% Market Linked Note	See Endnote	Sale	07/25/2024	\$15,001 - \$50,000
44	SoFi Technologies Inc. Common Stock (SOFI)	See Endnote	Purchase	07/23/2024	\$1,001 - \$15,000
45	EVGO (EVGO)	See Endnote	Sale	07/25/2024	\$1,001 - \$15,000
46	Bank of America 9.1% Market Linked Note	See Endnote	Sale	07/25/2024	\$1,001 - \$15,000
47	SoFi Technologies Inc. Common Stock (SOFI)	See Endnote	Sale	07/31/2024	\$1,001 - \$15,000
48	UBS 9.15% Structured Note due 8/10/2029	See Endnote	Purchase	08/09/2024	\$1,001 - \$15,000
49	UBS 9.15% Structured Note due 8/10/2029	See Endnote	Purchase	08/09/2024	\$1,001 - \$15,000
50	Goldman Sachs 10% Structured Note due 8/12/2027	See Endnote	Purchase	08/10/2024	\$50,001 - \$100,000
51	UBS 9.15% Structured Note due 8/10/2029	See Endnote	Purchase	08/09/2024	\$1,001 - \$15,000
52	Goldman Sachs 10% Structured Note due 8/12/2027	See Endnote	Purchase	08/10/2024	\$15,001 - \$50,000
53	JP Morgan Market Linked Note	See Endnote	Sale	09/13/2024	\$1,001 - \$15,000
54	JP Morgan Market Linked Note	See Endnote	Sale	09/13/2024	\$1,001 - \$15,000
55	Arbitrage Fund Class R Shares (ARBFX)	See Endnote	Sale	09/05/2024	\$15,001 - \$50,000
56	AltShares Arbitrage ETF (ARB)	See Endnote	Purchase	09/06/2024	\$15,001 - \$50,000
57	JP Morgan Market Linked Note	See Endnote	Sale	09/13/2024	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
58	Jefferies Financial 6% Bond due 9/16/2036	See Endnote	Purchase	09/18/2024	\$1,001 - \$15,000
59	JP Morgan Market Linked Note	See Endnote	Sale	09/13/2024	\$15,001 - \$50,000
60	Arbitrage Fund Class R Shares (ARBFX)	See Endnote	Sale	09/05/2024	\$15,001 - \$50,000
61	AltShares Arbitrage ETF (ARB)	See Endnote	Purchase	09/06/2024	\$15,001 - \$50,000
62	SoFi Technologies Inc. Common Stock (SOFI)	See Endnote	Purchase	10/21/2024	\$1,001 - \$15,000
63	SoFi Technologies Inc. Common Stock (SOFI)	See Endnote	Sale	10/21/2024	\$1,001 - \$15,000
64	SoFi Technologies Inc. Common Stock (SOFI)	See Endnote	Purchase	10/21/2024	\$1,001 - \$15,000
65	SoFi Technologies Inc. Common Stock (SOFI)	See Endnote	Sale	10/21/2024	\$1,001 - \$15,000
66	Proshares VIX Short Term Futures ETF	See Endnote	Purchase	11/06/2024	\$1,001 - \$15,000
67	Proshares VIX Short Term Futures ETF \$15 Calls Exp: 1/17/2025	See Endnote	Sale	11/06/2024	\$1,001 - \$15,000
68	SOFi Technologies \$19 Call Exp. : 1/17/2025	See Endnote	Sale	11/21/2024	\$1,001 - \$15,000
69	Proshares VIX Short Term Futures ETF	See Endnote	Purchase	11/06/2024	\$1,001 - \$15,000
70	Proshares VIX Short Term Futures ETF \$15 Calls Exp: 1/17/2025	See Endnote	Sale	11/06/2024	\$1,001 - \$15,000
71	SOFi Technologies \$19 Call Exp. : 1/17/2025	See Endnote	Sale	11/21/2024	\$1,001 - \$15,000
72	JP Morgan Chase 5.5% Note due 11/29/2039	See Endnote	Purchase	12/05/2024	\$1,001 - \$15,000
73	Jefferies Financial 6% Note due 12/13/2034	See Endnote	Purchase	12/11/2024	\$1,001 - \$15,000
74	UBS 7.25% Market Linked Note	See Endnote	Sale	12/04/2024	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
75	Fidelity Blue Chip Growth Fund (FBGRX)	Purchase	10/16/2024	\$1,001 - \$15,000

## 8. Liabilities

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

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
1.	1	All of the assets of the estate except for a family cottage in Maine were distributed by the end of 2023. The estate will be dissolved in 2025 after an LLC takes ownership of the Maine cottage.
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.	1	Short call option expired
7.	2	Covered Call
7.	3	Covered Call
7.	4	Short call option expired

PART	#	ENDNOTE
7.	5	Covered Call
7.	6	Covered Call
7.	7	CD Matured
7.	8	Option Expired (covered short)
7.	9	New covered call position
7.	10	Ticker: BXSL
7.	11	Ticker: SAJ
7.	12	CD Matured
7.	13	Option Expired (covered short)
7.	14	New covered call position
7.	15	Share conversion from F1 to F2
7.	16	Share conversion from F1 to F2
7.	17	covered call expiration
7.	18	security called by issuer
7.	19	covered call expiration
7.	20	security called by issuer
7.	21	expiration of covered call
7.	23	Ticker: BXSL
7.	24	expiration of covered call
7.	27	Covered Call
7.	28	Covered Call
7.	31	Bond called

PART	#	ENDNOTE
7.	32	Bond called
7.	33	cusip: 09711DUT7
7.	34	cusip: 09711DUT7
7.	35	cusip: 09711DUT7
7.	36	cusip: 09711DUT7
7.	37	ticker: evgo
7.	38	short call option expiration to close position
7.	39	ticker: evgo
7.	40	cusip: 09709U4H8 - Security Called
7.	41	covered call opening short position
7.	42	cusip: 17329UTA9 - Security called
7.	43	cusip: 09709U4H8 - Security Called
7.	44	short call option expiration to close position
7.	45	ticker: evgo
7.	46	cusip: 09709U4H8 - Security Called
7.	47	covered call opening short position
7.	48	cusip: 90307D6W7
7.	49	cusip: 90307D6W7
7.	50	cusip: 40058EE77
7.	51	cusip: 90307D6W7
7.	52	cusip: 40058EE77
7.	53	cusip: 48133DRU6 / Issued Called

PART	#	ENDNOTE
7.	54	cusip: 48133DRU6 / Issued Called
7.	55	ticker: ARBFX
7.	56	ticker: ARB
7.	57	cusip: 48133DRU6 / Issued Called
7.	58	cusip: 47233WHA0
7.	59	cusip: 48133DRU6 / Issued Called
7.	60	ticker: ARBFX
7.	61	ticker: ARB
7.	62	Short Call Option Expiration
7.	63	Shares Sold via exercise of short call option
7.	64	Short Call Option Expiration
7.	65	Shares Sold via exercise of short call option
7.	66	Ticker: VIXY
7.	67	Covered Call Short Sale
7.	68	Covered Call Short Sale
7.	69	Ticker: VIXY
7.	70	Covered Call Short Sale
7.	71	Covered Call Short Sale
7.	72	cusip: 48130CVV4
7.	73	cusip: 47233WHM4
7.	74	cusip: 90279DTU4 / Issuer 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 (note: certain PAS nominees and appointees are required to report all mortgages); (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.

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