



Filing ID #10041512

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

**Name:** Hon. Tom Malinowski  
**Status:** Member  
**State/District:** NJ07

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2020  
**Filing Date:** 07/30/2021

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Air Lease Corporation Class A (AL) [ST]		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Alpha and Omega Semiconductor Limited - Common Shares (AOSL) [ST]		\$50,001 - \$100,000	None		<input type="checkbox"/>
Ameresco, Inc. Class A (AMRC) [ST]		None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Apollo Endosurgery, Inc. (APEN) [ST]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Bank of America checking account [BA]		\$15,001 - \$50,000	Interest	\$1 - \$200	<input type="checkbox"/>
BioLife Solutions, Inc. (BLFS) [ST]		\$50,001 - \$100,000	None		<input checked="" type="checkbox"/>
BlackLine, Inc. (BL) [ST]		\$100,001 - \$250,000	None		<input type="checkbox"/>
CareDx, Inc. (CDNA) [ST]		None	Capital Gains	\$5,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Castlight Health, Inc. Class B (CSLT) [ST]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
CC Neuberger Principal Holdings I Class A Ordinary Shares (PCPL) [ST]		None	None		<input checked="" type="checkbox"/>
Celculty Inc. (CELC) [ST]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
CM Life Sciences, Inc. - Class A (CMLF) [ST]		None	None		<input checked="" type="checkbox"/>
CNFinance Holdings Limited American Depository Shares, each representing twenty (CNF) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
CREF-Bond Market [PE]		\$15,001 - \$50,000	None		<input type="checkbox"/>
CREF-Social Choice [PE]		\$100,001 - \$250,000	None		<input type="checkbox"/>
DESCRIPTION: Increase in market value.					
CREF-Stock [PE]		\$100,001 - \$250,000	None		<input type="checkbox"/>
Enterprise Products Partners L.P. (EPD) [ST]		\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Equinix, Inc. (EQIX) [ST]		\$50,001 - \$100,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Everbridge, Inc. (EVBG) [ST]		\$50,001 - \$100,000	Capital Gains	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Five9, Inc. (FIVN) [ST]		None	Capital Gains	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
General Finance Corporation - Cumulative Redeemable Perpetual Preferred Series C (GFNCP) [ST]		None	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Lumber Liquidators Holdings, Inc (LL) [ST]		\$50,001 - \$100,000	None		<input checked="" type="checkbox"/>
Navigator Holdings Ltd. Ordinary Shares (NVGS) [ST]		\$50,001 - \$100,000	None		<input checked="" type="checkbox"/>

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income</b>	<b>Tx. &gt; \$1,000?</b>
New Relic, Inc. (NEWR) [ST]		\$50,001 - \$100,000	None		<input checked="" type="checkbox"/>
Onto Innovation Inc. (ONTO) [ST]		\$50,001 - \$100,000	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Pacira BioSciences, Inc. (PCRX) [ST]		\$50,001 - \$100,000	None		<input checked="" type="checkbox"/>
Power Solutions International, Inc. (PSIX) [ST]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Profound Medical Corp. - common stock (PROF) [ST]		None	None		<input checked="" type="checkbox"/>
SecureWorks Corp. - Class A (SCWX) [ST]		\$15,001 - \$50,000	None		<input type="checkbox"/>
TFF Pharmaceuticals, Inc. (TFFP) [ST]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
TIAA-CREF Pension Plan [PE]		\$100,001 - \$250,000	None		<input type="checkbox"/>
TIAA-Real Estate [PE]		\$15,001 - \$50,000	None		<input type="checkbox"/>
WPX Energy, Inc. (WPX) [ST]		None	None		<input checked="" type="checkbox"/>

\* For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

## SCHEDULE B: TRANSACTIONS

<b>Asset</b>	<b>Owner</b>	<b>Date</b>	<b>Tx. Type</b>	<b>Amount</b>	<b>Cap. Gains &gt; \$200?</b>
8x8 Inc (EGHT) [ST]		03/10/2020	P	\$15,001 - \$50,000	
DESCRIPTION: covered short					
Ameresco, Inc. Class A (AMRC) [ST]		04/9/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Ameresco, Inc. Class A (AMRC) [ST]		03/30/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Anika Therapeutics Inc. (ANIK) [ST]		03/2/2020	P	\$1,001 - \$15,000	
DESCRIPTION: covered short					

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Anika Therapeutics Inc. (ANIK) [ST]		02/26/2020	P	\$15,001 - \$50,000	
DESCRIPTION: short cover					
Apollo Endosurgery, Inc. (APEN) [ST]		10/2/2020	P	\$1,001 - \$15,000	
Apollo Endosurgery, Inc. (APEN) [ST]		07/25/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
BioLife Solutions, Inc. (BLFS) [ST]		07/7/2020	P	\$1,001 - \$15,000	
BioLife Solutions, Inc. (BLFS) [ST]		06/17/2020	P	\$15,001 - \$50,000	
Castlight Health, Inc. Class B (CSLT) [ST]		11/12/2020	P	\$1,001 - \$15,000	
Castlight Health, Inc. Class B (CSLT) [ST]		07/24/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Castlight Health, Inc. Class B (CSLT) [ST]		01/13/2020	P	\$1,001 - \$15,000	
CC Neuberger Principal Holdings I Class A Ordinary Shares (PCPL) [ST]		10/16/2020	P	\$15,001 - \$50,000	
Celcuity Inc. (CELC) [ST]		06/18/2020	P	\$1,001 - \$15,000	
Chembio Diagnostics, Inc. (CEMI) [ST]		03/19/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
CM Life Sciences, Inc. - Class A (CMLF) [ST]		10/13/2020	P	\$1,001 - \$15,000	
CM Life Sciences, Inc. - Class A (CMLF) [ST]		09/4/2020	P	\$15,001 - \$50,000	
CNFFinance Holdings Limited American Depository Shares, each representing twenty (CNF) [ST]		12/5/2020	P	\$1,001 - \$15,000	
Colgate-Palmolive Company (CL) [ST]		03/10/2020	P	\$15,001 - \$50,000	
DESCRIPTION: covered short					
DoorDash, Inc. Class A (DASH) [ST]		12/16/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: short sale					
Enterprise Products Partners L.P. (EPD) [ST]		11/17/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Enterprise Products Partners L.P. (EPD) [ST]		10/13/2020	P	\$15,001 - \$50,000	
Enterprise Products Partners L.P. (EPD) [ST]		03/19/2020	P	\$1,001 - \$15,000	
Enterprise Products Partners L.P. (EPD) [ST]		01/13/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Equinix, Inc. (EQIX) [ST]		03/30/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Equinix, Inc. (EQIX) [ST]		02/18/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Everbridge, Inc. (EVBG) [ST]		04/1/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Everbridge, Inc. (EVBG) [ST]		03/11/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Everbridge, Inc. (EVBG) [ST]		01/22/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Fastly, Inc. Class A (FSLY) [ST]		11/19/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: short sale					
Fastly, Inc. Class A (FSLY) [ST]		10/27/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: short sale					
Federal Realty Investment Trust (FRT) [ST]		03/25/2020	P	\$15,001 - \$50,000	
DESCRIPTION: covered short					
Ferrari N.V. Common Shares (RACE) [ST]		10/20/2020	P	\$15,001 - \$50,000	
DESCRIPTION: covered short					
Ferrari N.V. Common Shares (RACE) [ST]		06/3/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: short sale					
Five9, Inc. (FIVN) [ST]		04/1/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Five9, Inc. (FIVN) [ST]		01/23/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Flexion Therapeutics, Inc. (FLXN) [ST]		04/27/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>

<b>Asset</b>	<b>Owner</b>	<b>Date</b>	<b>Tx. Type</b>	<b>Amount</b>	<b>Cap. Gains &gt; \$200?</b>
Flexion Therapeutics, Inc. (FLXN) [ST]		04/29/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Flexion Therapeutics, Inc. (FLXN) [ST]		05/5/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Flexion Therapeutics, Inc. (FLXN) [ST]		05/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Flexion Therapeutics, Inc. (FLXN) [ST]		05/8/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
General Finance Corporation (GFN) [ST]		12/1/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
General Finance Corporation (GFN) [ST]		11/13/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
General Mills, Inc. (GIS) [ST]		03/11/2020	P	\$50,001 - \$100,000	
DESCRIPTION: covered short					
Heron Therapeutics, Inc. (APPAD) [ST]		12/11/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: short sale					
iShares 20+ Year Treasury Bond ETF (TLT) [ST]		06/1/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: short sale					
J.M. Smucker Company (SJM) [ST]		03/20/2020	P	\$15,001 - \$50,000	
DESCRIPTION: covered short					
Kellogg Company (K) [ST]		03/3/2020	P	\$15,001 - \$50,000	
DESCRIPTION: covered short					
Kimco Realty Corporation (KIM) [ST]		03/16/2020	P	\$15,001 - \$50,000	
DESCRIPTION: covered short					
Kimco Realty Corporation (KIM) [ST]		02/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: short sale					
Lumber Liquidators Holdings, Inc (LL) [ST]		08/7/2020	P	\$1,001 - \$15,000	
Merck & Company, Inc. Common Stock (MRK) [ST]		11/4/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>

<b>Asset</b>	<b>Owner</b>	<b>Date</b>	<b>Tx. Type</b>	<b>Amount</b>	<b>Cap. Gains &gt; \$200?</b>
Merck & Company, Inc. Common Stock (MRK) [ST]		08/24/2020	P	\$15,001 - \$50,000	
DESCRIPTION: Covered Short					
Meridian Bioscience Inc. (VIVO) [ST]		11/13/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: short sale					
Meridian Bioscience Inc. (VIVO) [ST]		09/15/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: short sale					
Meridian Bioscience Inc. (VIVO) [ST]		08/31/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Navigator Holdings Ltd. Ordinary Shares (NVGS) [ST]		12/14/2020	P	\$1,001 - \$15,000	
Navigator Holdings Ltd. Ordinary Shares (NVGS) [ST]		11/17/2020	P	\$1,001 - \$15,000	
Navigator Holdings Ltd. Ordinary Shares (NVGS) [ST]		06/2/2020	P	\$1,001 - \$15,000	
New Relic, Inc. (NEWR) [ST]		03/2/2020	P	\$1,001 - \$15,000	
New Relic, Inc. (NEWR) [ST]		02/7/2020	P	\$1,001 - \$15,000	
Onto Innovation Inc. (ONTO) [ST]		05/1/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Onto Innovation Inc. (ONTO) [ST]		04/21/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
OraSure Technologies, Inc. (OSUR) [ST]		12/9/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: short sale					
OraSure Technologies, Inc. (OSUR) [ST]		10/7/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: short sale					
Pacira BioSciences, Inc. (PCRX) [ST]		11/2/2020	P	\$1,001 - \$15,000	
Pan Orient Energy Corp Ordinary Shares (POEFF) [ST]		04/22/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Peloton Interactive, Inc. (PTON) [ST]		07/14/2020	P	\$15,001 - \$50,000	
DESCRIPTION: covered short					

<b>Asset</b>	<b>Owner</b>	<b>Date</b>	<b>Tx. Type</b>	<b>Amount</b>	<b>Cap. Gains &gt; \$200?</b>
Peloton Interactive, Inc. (PTON) [ST]		06/5/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: short sale					
Pepsico, Inc. (PEP) [ST]		03/3/2020	P	\$1,001 - \$15,000	
DESCRIPTION: covered short					
Planet Fitness, Inc. (PLNT) [ST]		10/20/2020	P	\$15,001 - \$50,000	
DESCRIPTION: covered short					
Planet Fitness, Inc. (PLNT) [ST]		08/10/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: short sale					
Post Holdings, Inc. (POST) [ST]		03/10/2020	P	\$15,001 - \$50,000	
DESCRIPTION: covered short					
Power Solutions International, Inc. (PSIX) [ST]		11/20/2020	P	\$1,001 - \$15,000	
Power Solutions International, Inc. (PSIX) [ST]		09/24/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Power Solutions International, Inc. (PSIX) [ST]		08/25/2020	P	\$1,001 - \$15,000	
Power Solutions International, Inc. (PSIX) [ST]		05/7/2020	P	\$1,001 - \$15,000	
Profound Medical Corp. - common stock (PROF) [ST]		07/21/2020	P	\$1,001 - \$15,000	
Regency Centers Corporation (REG) [ST]		03/19/2020	P	\$15,001 - \$50,000	
DESCRIPTION: covered short					
Simon Property Group, Inc. (SPG) [ST]		03/25/2020	P	\$1,001 - \$15,000	
DESCRIPTION: covered short					
Suncor Energy Inc. (SU) [ST]		03/19/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Talend S.A. - American Depository Shares (TLND) [ST]		03/18/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Talend S.A. - American Depository Shares (TLND) [ST]		03/19/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Tapestry, Inc. (TPR) [ST]		02/27/2020	P	\$15,001 - \$50,000	
DESCRIPTION: short cover					

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Taubman Centers, Inc. (TCO) [ST]		02/7/2020	P	\$1,001 - \$15,000	
DESCRIPTION: short cover					
Teradata Corporation (TDC) [ST]		10/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: short sale					
Teradata Corporation (TDC) [ST]		07/17/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: short sale					
Teradata Corporation (TDC) [ST]		06/24/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: short sale					
TFF Pharmaceuticals, Inc. (TFFP) [ST]		06/1/2020	P	\$1,001 - \$15,000	
WPX Energy, Inc. (WPX) [ST]		09/30/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
WPX Energy, Inc. (WPX) [ST]		07/31/2020	P	\$1,001 - \$15,000	
Yext, Inc. (YEXT) [ST]		12/5/2020	P	\$1,001 - \$15,000	
Yext, Inc. (YEXT) [ST]		10/6/2020	P	\$1,001 - \$15,000	
Yext, Inc. (YEXT) [ST]		09/9/2020	P	\$1,001 - \$15,000	
Zuora, Inc. Class A (ZUO) [ST]		03/18/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>

\* For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

## SCHEDULE C: EARNED INCOME

None disclosed.

## SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
	Mr. Cooper Mortgage	November 2019	home mortgage	\$100,001 - \$250,000
	Gagnon Securities	December 2020	DoorDash	\$15,001 - \$50,000

<b>Owner Creditor</b>	<b>Date Incurred</b>	<b>Type</b>	<b>Amount of Liability</b>
Gagnon Securities	October 2020	Fastly Inc.	\$15,001 - \$50,000
Gagnon Securities	December 2020	Heron Therapeutics Inc	\$15,001 - \$50,000
Gagnon Securities	August 2020	Meridian Bioscience Inc.	\$15,001 - \$50,000
Gagnon Securities	October 2020	Orasure Technologies Inc.	\$15,001 - \$50,000
Gagnon Securities	June 2020	Teradata Corp.	\$15,001 - \$50,000
Gagnon Securities	June 2020	iShares TR 20 Yr Tr Bd ETF	\$15,001 - \$50,000
Gagnon Securities	March 2020	8x8 Inc.	\$15,001 - \$50,000
Gagnon Securities	February 2020	Anika Therapeutics Inc.	\$15,001 - \$50,000
Gagnon Securities	March 2020	Colgate-Palmolive Company	\$15,001 - \$50,000
Gagnon Securities	March 2020	Federal Realty Investment Trust	\$15,001 - \$50,000
Gagnon Securities	October 2020	Ferrari N.V. Common Shares	\$15,001 - \$50,000
Gagnon Securities	March 2020	General Mills Inc.	\$15,001 - \$50,000
Gagnon Securities	March 2020	J.M. Smucker Company	\$15,001 - \$50,000
Gagnon Securities	February 2020	Kellogg Company	\$15,001 - \$50,000
Gagnon Securities	March 2020	Kimco Realty Corporation	\$15,001 - \$50,000
Gagnon Securities	August 2020	Merck & Company Inc.	\$15,001 - \$50,000
Gagnon Securities	July 2020	Peloton Interactive Inc.	\$15,001 - \$50,000
Gagnon Securities	March 2020	Pepsico, Inc.	\$15,001 - \$50,000
Gagnon Securities	October 2020	Planet Fitness Inc.	\$15,001 - \$50,000
Gagnon Securities	March 2020	Post Holdings, Inc.	\$15,001 - \$50,000
Gagnon Securities	March 2020	Regency Centers Corporation	\$15,001 - \$50,000
Gagnon Securities	March 2020	Simon Property Group, Inc.	\$15,001 - \$50,000
Gagnon Securities	February 2020	Tapestry, Inc.	\$15,001 - \$50,000
Gagnon Securities	February 2020	Taubman Centers, Inc.	\$15,001 - \$50,000

## SCHEDULE E: POSITIONS

None disclosed.

## **SCHEDULE F: AGREEMENTS**

None disclosed.

## **SCHEDULE G: GIFTS**

None disclosed.

## **SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS**

None disclosed.

## **SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA**

None disclosed.

### **EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION**

**IPO:** Did you purchase any shares that were allocated as a part of an Initial Public Offering?

Yes  No

**Trusts:** Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?

Yes  No

**Exemption:** Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?

Yes  No

### **COMMENTS**

### **CERTIFICATION AND SIGNATURE**

I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

**Digitally Signed:** Hon. Tom Malinowski , 07/30/2021