



Filing ID #10042262

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

**Name:** Hon. Thomas Suozzi  
**Status:** Member  
**State/District:** NY03

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2020  
**Filing Date:** 08/12/2021

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Allianz- Qualified IRA ⇒ AZL DFA Multi Strategy Fund [MF]		None	Tax-Deferred		<input type="checkbox"/>
Allianz- Qualified IRA ⇒ AZL MVP Growth Index Strategy [FN]		\$100,001 - \$250,000	Tax-Deferred		<input type="checkbox"/>
Allianz- Qualified IRA ⇒ AZL MVP TRP Cap App Plus [FN]		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Allianz- Qualified IRA ⇒ Black Rock Global Associates [MF]		None	Tax-Deferred		<input type="checkbox"/>
BP Real Estate Opportunity Group LLC [OL]		\$15,001 - \$50,000	Ordinary Business Income	None	<input type="checkbox"/>
Clarapath Corp [OL]		None	None		<input type="checkbox"/>
LOCATION: Sarasota, FL, US DESCRIPTION: Minority interest in real estate development project with sole asset located in Sarasota, FL					
Emperial Risk Management Inc, 100% Interest [OL]	SP	\$1 - \$1,000	Ordinary Business	Not	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
				Income	Applicable
LOCATION: Glen Cove, Nassau, NY, US					
DESCRIPTION: Entity is an Insurance Brokerage business located in Glen Cove, NY					
Equitable- IRA ⇒ Life Insurance [WU]		\$50,001 - \$100,000	Tax-Deferred	<input type="checkbox"/>	
Equitable- IRA ⇒ XLF Sector Financial Select Sector SPDR ETF [MF]	SP	\$1 - \$1,000	Tax-Deferred	<input type="checkbox"/>	
Equitable- IRA ⇒ XLK Sector Technology Select Sector SPDR [MF]	SP	\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>	
Equitable- IRA ⇒ XLP Sector Consumer Staples Select Sector SPDR ETF [MF]	SP	\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>	
Equitable- IRA ⇒ XLRE Select Sector TR Real Estate SPDR ETF [MF]	SP	\$1 - \$1,000	Tax-Deferred	<input type="checkbox"/>	
Equitable- IRA ⇒ XLV Sector Healthcare Select Sector SPDR ETF [MF]	SP	\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>	
Equitable Life Operations- Suozzi Family Trust [WU]		\$100,001 - \$250,000	Tax-Deferred	<input type="checkbox"/>	
Federal Government Deferred Compensation [PE]		\$100,001 - \$250,000	Tax-Deferred	<input type="checkbox"/>	
HCDC Holding LLC, 10% Interest [OL]	None	Ordinary Business Income	None	<input type="checkbox"/>	
LOCATION: Glen Cove, Nassau, NY, US					
DESCRIPTION: Investment is a minority interest in this entity which operates a day camp in East Hampton, NY					
HCDC Realty Corp, 10% Interest [OL]		\$50,001 - \$100,000	Rent	\$1 - \$200	<input type="checkbox"/>
LOCATION: Glen Cove, Nassau, NY, US					
DESCRIPTION: Minority interest in corporation which operates a day camp in East Hampton, NY					
KEPWRS Inv LLC, 1% Interest [OL]		\$15,001 - \$50,000	Rent	None	<input type="checkbox"/>
LOCATION: Williamsburg, Kings, NY, US					
DESCRIPTION: Minority interest in LLC holding rental property located in Williamsburg, NY					
Merrill Lynch- Advisor Discretion Account ⇒ Advanced Micro Devices, Inc. (AMD) [ST]		\$15,001 - \$50,000	Dividends	None	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Merrill Lynch- Advisor Discretion Account ⇒ Apple Inc. (AAPL) [ST]		\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Apple Inc. (AAPL) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Boeing Company (BA) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Boeing Company (BA) [ST]		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Bristol-Myers Squibb Company (BMY) [ST]		\$15,001 - \$50,000	Dividends	None	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Catalent, Inc. (CTLT) [ST]		\$1,001 - \$15,000	Dividends	None	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Cigna Corporation (CI) [ST]		\$50,001 - \$100,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Cisco Systems, Inc. (CSCO) [ST]		None	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Corning Incorporated (GLW) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ CVS Health Corporation (CVS) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Dana Incorporated (DAN) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Dana Incorporated (DAN) [ST]		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Devon Energy Corporation (DVN) [ST]		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ DexCom, Inc. (DXCM) [ST]		\$15,001 - \$50,000	Dividends	None	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Ford Motor Company (F) [ST]		None	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Merrill Lynch- Advisor Discretion Account ⇒ General Motors Company (GM) [ST]		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Inphi Corporation (IPHI) [ST]		None	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ International Paper Company (IP) [ST]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ International Paper Company (IP) [ST]		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ iShares TIPS Bond ETF (TIP) [ST]		None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Ishares US Technolory [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ JP Morgan Chase & Co. (JPM) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ JPMorgan Chase Capital XVI JP Morgan Alerian MLP ETN (AMJ) [ST]		None	Dividends	None	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ LendingTree, Inc. (TREE) [ST]		\$50,001 - \$100,000	Dividends	None	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Marvell Technology, Inc. (MRVL) [ST]		\$15,001 - \$50,000	Dividends	None	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ McDonald's Corporation (MCD) [ST]		None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Microsoft Corporation (MSFT) [ST]		\$100,001 - \$250,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ NextEra Energy, Inc. (NEE) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ NVIDIA Corporation (NVDA) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Merrill Lynch- Advisor Discretion Account ⇒ NVIDIA Corporation (NVDA) [ST]		\$100,001 - \$250,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ SPDR S&P Retail ETF (XRT) [ST]		None	Tax-Deferred		<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ United Rentals, Inc. (URI) [ST]			\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ United Rentals, Inc. (URI) [ST]		\$100,001 - \$250,000	Dividends	None	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Verizon Communications Inc. (VZ) [ST]			\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Visa Inc. (V) [ST]		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Walmart Inc. (WMT) [ST]			\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Waste Management, Inc. (WM) [ST]			\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000 <input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Weyerhaeuser Company (WY) [ST]			\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Naples Vanderbuilt Investors LLC [OL]			\$1,001 - \$15,000	Rent	\$1 - \$200 <input type="checkbox"/>
LOCATION: Naples, Collier, FL, US					
DESCRIPTION: Minority interest in rental property in Naples, Fl					
National Securities- Advisor Discretion Account ⇒ Acres Capital Debt Opportunity Fund LP [MF]		\$500,001 - \$1,000,000	Tax-Deferred		<input type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ Advanced Micro Devices, Inc. (AMD) [ST]		None	Tax-Deferred		<input checked="" type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ Apple Inc. (AAPL) [ST]		None	Tax-Deferred		<input checked="" type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ ETF SER Solutions US Glb Jets [EF]			\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>
National Securities- Advisor Discretion Account ⇒			\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Fidelity Government Cash Reserves [IH]					
National Securities- Advisor Discretion Account ⇒ fuboTV Inc. (FUBO) [ST]		None	Tax-Deferred		<input checked="" type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ FuelCell Energy, Inc. (FCEL) [ST]		None	Tax-Deferred		<input checked="" type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ Li Auto Inc. - American Depository Shares (LI) [ST]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ Lowe's Companies, Inc. (LOW) [ST]		None	Tax-Deferred		<input checked="" type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ NIO Inc. American depository shares, each representing one Class A ordinary share (NIO) [ST]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ Square, Inc. Class A (SQ) [ST]		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ TrueShares Technology, AI & Deep Learning ETF (LRNZ) [ST]		None	Tax-Deferred		<input checked="" type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ WisdomTree Cloud Computing Fund (WCLD) [ST]		None	Tax-Deferred		<input checked="" type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ Workhorse Group, Inc. (WKHS) [ST]		None	Tax-Deferred		<input checked="" type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ Zscaler, Inc. (ZS) [ST]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Phillipsburg Holdings LLC, 7% Interest [OL]		\$100,001 - \$250,000	Rent	None	<input type="checkbox"/>
LOCATION: West Orange, Essex, NJ, US					
DESCRIPTION: Minority interest in LLC holding rental property in West Orange, NJ					
RUVO Realty LLC, 100% Interest [OL]		\$100,001 - \$250,000	Rent	\$5,001 - \$15,000	<input type="checkbox"/>
LOCATION: Glen Cove, Nassau, NY, US					
DESCRIPTION: Office space for rent in Glen Cove, NY					
SGC Commercial II LLC [OL]		\$15,001 - \$50,000	None		<input 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>
LOCATION: Sarasota, Sarasota, FL, US DESCRIPTION: Real Estate development project in Sarasota, FL					
Southampton Country Day Camp LLC, 3% Interest [OL]		None	Ordinary Business Income	None	<input type="checkbox"/>
LOCATION: Southampton, Suffolk, NY, US DESCRIPTION: Minority interest in this entity which operates a day camp located in Southampton, NY					
Southampton Day Camp Realty LLC, 3% Interest [OL]		\$50,001 - \$100,000	Rent	\$1 - \$200	<input type="checkbox"/>
LOCATION: Southampton, Suffolk, NV, US DESCRIPTION: Minority interest in rental property located in Southampton, NY					
Suozzi Solutions Inc, 100% Interest [OL]		None	Ordinary Business Income	None	<input type="checkbox"/>
LOCATION: Glen Cove, Nassau, NY, US DESCRIPTION: This business is inactive and has no activity					
TIAA-CREF ⇒ CREF Equity Index R2 [PE]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
TIAA-CREF ⇒ CREF Social Choice R2 [PE]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
TIAA-CREF ⇒ CXREF Inflation-Linked Bond R2 [PE]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>

\* Asset class details available at the bottom of this form. 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>
Allianz- Qualified IRA ⇒ AZL DFA Multi Strategy Fund [MF]		01/1/2020	S	\$50,001 - \$100,000	<input type="checkbox"/>
Allianz- Qualified IRA ⇒ AZL MVP Growth Index Strategy [MF]		01/1/2020	P	\$50,001 - \$100,000	
Allianz- Qualified IRA ⇒ AZL MVP TRP Cap App Plus [MF]		01/1/2020	P	\$50,001 - \$100,000	
Allianz- Qualified IRA ⇒ Black Rock Global Associates [MF]		01/1/2020	S	\$50,001 - \$100,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Merrill Lynch- Advisor Discretion Account ⇒ American Express Company (AXP) [ST]		01/9/2020	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ American Express Company (AXP) [ST]		05/5/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Apple Inc. (AAPL) [ST]		03/2/2020	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ Boeing Company (BA) [ST]		03/2/2020	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ Boeing Company (BA) [ST]		01/9/2020	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ Boeing Company (BA) [ST]		06/3/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Bristol-Myers Squibb Company (BMY) [ST]		01/9/2020	P	\$50,001 - \$100,000	
Merrill Lynch- Advisor Discretion Account ⇒ Bristol-Myers Squibb Company (BMY) [ST]		01/9/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Catalent, Inc. (CTLT) [ST]		12/18/2020	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ Caterpillar, Inc. (CAT) [ST]		04/14/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Cigna Corporation (CI) [ST]		01/9/2020	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ Cisco Systems, Inc. (CSCO) [ST]		02/13/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Corning Incorporated (GLW) [ST]		04/14/2020	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ Corning Incorporated (GLW) [ST]		01/9/2020	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Merrill Lynch- Advisor Discretion Account ⇒ Corning Incorporated (GLW) [ST]		03/20/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ CVS Health Corporation (CVS) [ST]		03/2/2020	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ Dana Incorporated (DAN) [ST]		04/14/2020	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ Dana Incorporated (DAN) [ST]		03/2/2020	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ Dana Incorporated (DAN) [ST]		01/15/2020	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ Dana Incorporated (DAN) [ST]		01/9/2020	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ Dana Incorporated (DAN) [ST]		07/30/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Devon Energy Corporation (DVN) [ST]		08/3/2020	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ Devon Energy Corporation (DVN) [ST]		07/30/2020	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ DexCom, Inc. (DXCM) [ST]		01/10/2020	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ DexCom, Inc. (DXCM) [ST]		01/9/2020	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ DuPont de Nemours, Inc. (DD) [ST]		01/9/2020	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ DuPont de Nemours, Inc. (DD) [ST]		04/29/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Ford Motor Company (F) [ST]		04/14/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Security bought and sold in the same year					
Merrill Lynch- Advisor Discretion Account ⇒		01/3/2020	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Ford Motor Company (F) [ST]					
DESCRIPTION: Security bought and sold in 2020					
Merrill Lynch- Advisor Discretion Account ⇒ General Motors Company (GM) [ST]		06/3/2020	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ General Motors Company (GM) [ST]		04/14/2020	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ General Motors Company (GM) [ST]		03/2/2020	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ HollyFrontier Corporation (HFC) [ST]		05/5/2020	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ HollyFrontier Corporation (HFC) [ST]		05/5/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Inphi Corporation (IPHI) [ST]		04/29/2020	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ Inphi Corporation (IPHI) [ST]		11/19/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ International Paper Company (IP) [ST]		04/14/2020	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ International Paper Company (IP) [ST]		04/29/2020	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ International Paper Company (IP) [ST]		02/12/2020	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ International Paper Company (IP) [ST]		07/10/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ iShares TIPS Bond ETF (TIP) [ST]		01/9/2020	P	\$50,001 - \$100,000	
Merrill Lynch- Advisor Discretion Account ⇒ iShares TIPS Bond ETF (TIP) [ST]		03/2/2020	S	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ JP Morgan Chase & Co. (JPM) [ST]		03/20/2020	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Merrill Lynch- Advisor Discretion Account ⇒ JP Morgan Chase & Co. (JPM) [ST]		07/10/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ JP Morgan Chase & Co. (JPM) [ST]		01/1/2020	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ JPMorgan Chase Capital XVI JP Morgan Alerian MLP ETN (AMJ) [ST]		01/1/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ LendingTree, Inc. (TREE) [ST]		04/14/2020	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ LendingTree, Inc. (TREE) [ST]		03/3/2020	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ LendingTree, Inc. (TREE) [ST]		03/2/2020	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ LendingTree, Inc. (TREE) [ST]		02/13/2020	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ LendingTree, Inc. (TREE) [ST]		12/23/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Marvell Technology, Inc. (MRVL) [ST]		12/18/2020	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ Marvell Technology, Inc. (MRVL) [ST]		11/19/2020	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ McDonald's Corporation (MCD) [ST]		01/28/2020	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ McDonald's Corporation (MCD) [ST]		01/29/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
DESCRIPTION: Purchased & Sold within the same year					
Merrill Lynch- Advisor Discretion Account ⇒ Microsoft Corporation (MSFT) [ST]		03/20/2020	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ Microsoft Corporation (MSFT) [ST]		01/9/2020	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Merrill Lynch- Advisor Discretion Account ⇒ NVIDIA Corporation (NVDA) [ST]		03/20/2020	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ NVIDIA Corporation (NVDA) [ST]		03/3/2020	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ NVIDIA Corporation (NVDA) [ST]		03/2/2020	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ NVIDIA Corporation (NVDA) [ST]		02/13/2020	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ NVIDIA Corporation (NVDA) [ST]		03/2/2020	S	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ SPDR S&P Retail ETF (XRT) [ST]		01/3/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ United Rentals, Inc. (URI) [ST]		03/20/2020	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ Visa Inc. (V) [ST]		03/2/2020	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ Visa Inc. (V) [ST]		01/29/2020	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ Visa Inc. (V) [ST]		01/9/2020	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ Walmart Inc. (WMT) [ST]		03/2/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Waste Management, Inc. (WM) [ST]		03/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ Advanced Micro Devices, Inc. (AMD) [ST]		03/3/2020	P	\$1,001 - \$15,000	
National Securities- Advisor Discretion Account ⇒ Advanced Micro Devices, Inc. (AMD) [ST]		06/3/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
National Securities- Advisor Discretion Account ⇒		03/10/2020	P	\$1,001 - \$15,000	

<b>Asset</b>	<b>Owner</b>	<b>Date</b>	<b>Tx. Type</b>	<b>Amount</b>	<b>Cap. Gains &gt; \$200?</b>
Apple Inc. (AAPL) [ST]					
National Securities- Advisor Discretion Account ⇒ Apple Inc. (AAPL) [ST]		11/24/2020	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ AstraZeneca PLC - American Depository Shares (AZN) [ST]		01/7/2020	P	\$15,001 - \$50,000	
National Securities- Advisor Discretion Account ⇒ AstraZeneca PLC - American Depository Shares (AZN) [ST]		02/24/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ Chegg, Inc. (CHGG) [ST]		08/3/2020	P	\$15,001 - \$50,000	
National Securities- Advisor Discretion Account ⇒ Chegg, Inc. (CHGG) [ST]		06/15/2020	P	\$1,001 - \$15,000	
National Securities- Advisor Discretion Account ⇒ Chegg, Inc. (CHGG) [ST]		09/1/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ CyberArk Software Ltd. - Ordinary Shares (CYBR) [ST]		01/7/2020	P	\$1,001 - \$15,000	
National Securities- Advisor Discretion Account ⇒ CyberArk Software Ltd. - Ordinary Shares (CYBR) [ST]		02/24/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ Delta Air Lines, Inc. (DAL) [ST]		03/10/2020	P	\$1,001 - \$15,000	
National Securities- Advisor Discretion Account ⇒ Delta Air Lines, Inc. (DAL) [ST]		05/4/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ Federal National Mortgage Association (FNMA) [ST]		03/3/2020	P	\$1,001 - \$15,000	
National Securities- Advisor Discretion Account ⇒ Federal National Mortgage Association (FNMA) [ST]		05/11/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ FireEye, Inc. (FEYE) [ST]		01/7/2020	P	\$1,001 - \$15,000	
National Securities- Advisor Discretion Account ⇒ FireEye, Inc. (FEYE) [ST]		02/25/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
National Securities- Advisor Discretion Account ⇒ fuboTV Inc. (FUBO) [ST]		11/16/2020	P	\$15,001 - \$50,000	
National Securities- Advisor Discretion Account ⇒ fuboTV Inc. (FUBO) [ST]		11/18/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ FuelCell Energy, Inc. (FCEL) [ST]		11/25/2020	P	\$100,001 - \$250,000	
National Securities- Advisor Discretion Account ⇒ FuelCell Energy, Inc. (FCEL) [ST]		12/1/2020	S	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ General Electric Company (GE) [ST]		01/7/2020	P	\$1,001 - \$15,000	
National Securities- Advisor Discretion Account ⇒ General Electric Company (GE) [ST]		02/24/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ General Electric Company (GE) [ST]		02/24/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ JP Morgan Chase & Co. (JPM) [ST]		03/10/2020	P	\$1,001 - \$15,000	
National Securities- Advisor Discretion Account ⇒ JP Morgan Chase & Co. (JPM) [ST]		05/11/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ Li Auto Inc. - American Depository Shares (LI) [ST]		12/8/2020	P	\$15,001 - \$50,000	
National Securities- Advisor Discretion Account ⇒ Lowe's Companies, Inc. (LOW) [ST]		06/15/2020	P	\$1,001 - \$15,000	
National Securities- Advisor Discretion Account ⇒ Lowe's Companies, Inc. (LOW) [ST]		08/25/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ Marriott International - Class A (MAR) [ST]		06/15/2020	P	\$1,001 - \$15,000	
National Securities- Advisor Discretion Account ⇒ Marriott International - Class A (MAR) [ST]		08/21/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ MetLife, Inc. (MET) [ST]		01/7/2020	P	\$1,001 - \$15,000	

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
National Securities- Advisor Discretion Account ⇒ MetLife, Inc. (MET) [ST]	02/25/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ NIO Inc. American depositary shares, each representing one Class A ordinary share (NIO) [ST]	10/5/2020	P	\$15,001 - \$50,000	
National Securities- Advisor Discretion Account ⇒ NIO Inc. American depositary shares, each representing one Class A ordinary share (NIO) [ST]	09/2/2020	P	\$1,001 - \$15,000	
National Securities- Advisor Discretion Account ⇒ Pinterest, Inc. Class A (PINS) [ST]	11/3/2020	P	\$15,001 - \$50,000	
National Securities- Advisor Discretion Account ⇒ Pinterest, Inc. Class A (PINS) [ST]	11/16/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ Square, Inc. Class A (SQ) [ST]	03/10/2020	P	\$1,001 - \$15,000	
National Securities- Advisor Discretion Account ⇒ Square, Inc. Class A (SQ) [ST]	03/3/2020	P	\$1,001 - \$15,000	
National Securities- Advisor Discretion Account ⇒ TJX Companies, Inc. (TJX) [ST]	06/15/2020	P	\$1,001 - \$15,000	
National Securities- Advisor Discretion Account ⇒ TJX Companies, Inc. (TJX) [ST]	07/31/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ TrueShares Technology, AI & Deep Learning ETF (LRNZ) [ST]	09/17/2020	P	\$1,001 - \$15,000	
National Securities- Advisor Discretion Account ⇒ TrueShares Technology, AI & Deep Learning ETF (LRNZ) [ST]	10/26/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ U.S. Global Jets ETF (JETS) [ST]	12/11/2020	P	\$15,001 - \$50,000	
National Securities- Advisor Discretion Account ⇒ Walt Disney Company (DIS) [ST]	05/11/2020	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>
National Securities- Advisor Discretion Account ⇒ WisdomTree Cloud Computing Fund (WCLD) [ST]		09/17/2020	P	\$1,001 - \$15,000	
National Securities- Advisor Discretion Account ⇒ WisdomTree Cloud Computing Fund (WCLD) [ST]		10/26/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ Workhorse Group, Inc. (WKHS) [ST]		09/24/2020	P	\$15,001 - \$50,000	
National Securities- Advisor Discretion Account ⇒ Workhorse Group, Inc. (WKHS) [ST]		10/5/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ ZoomInfo Technologies Inc. - Class A (ZI) [ST]		06/15/2020	P	\$1,001 - \$15,000	
National Securities- Advisor Discretion Account ⇒ ZoomInfo Technologies Inc. - Class A (ZI) [ST]		07/31/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ Zscaler, Inc. (ZS) [ST]		12/11/2020	P	\$15,001 - \$50,000	

\* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

## **SCHEDULE C: EARNED INCOME**

<b>Source</b>	<b>Type</b>	<b>Amount</b>
Empirical Risk Management Inc	Spouse Insurance Commissions	\$12,906.00

## **SCHEDULE D: LIABILITIES**

None disclosed.

## **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.

## **SCHEDULE A AND B ASSET CLASS DETAILS**

- Allianz- Qualified IRA
- Equitable- IRA (Owner: SP)
- Merrill Lynch- Advisor Discretion Account  
LOCATION: US  
DESCRIPTION: Advisor Discretion Account under control of asset manager.
- Merrill Lynch- Advisor Discretion Account
- National Securities- Advisor Discretion Account
- TIAA-CREF (Owner: SP)

## **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

## **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. Thomas Suozzi , 08/12/2021