



Filing ID #10049804

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

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

## FILING INFORMATION

**Filing Type:** Amendment Report  
**Filing Year:** 2018  
**Filing Date:** 12/19/2022

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

| Asset  | Owner | Value of Asset          | Income Type(s) | Income | Tx. > \$1,000?           |
|--|-------|-------------------------|----------------|--------|--------------------------|
| Allianz- Qualified IRA ⇒<br>AZL DFA Multi Strategy Fund [MF]                     |       | \$50,001 -<br>\$100,000 | Tax-Deferred   |        | <input type="checkbox"/> |
| Allianz- Qualified IRA ⇒<br>BlackRock Global Allocation [MF]                     |       | \$50,001 -<br>\$100,000 | Tax-Deferred   |        | <input type="checkbox"/> |
| AXA Investments- IRA Account ⇒<br>Sector Consumer Staples SPDR ETF XLP [MF]      | SP    | \$1,001 - \$15,000      | Tax-Deferred   |        | <input type="checkbox"/> |
| AXA Investments- IRA Account ⇒<br>Sector Financial Select Sector EFT XLF [MF]    | SP    | \$1 - \$1,000           | Tax-Deferred   |        | <input type="checkbox"/> |
| AXA Investments- IRA Account ⇒<br>Sector Healthcare Select Sector ETF XLV [MF]   | SP    | \$1,001 - \$15,000      | Tax-Deferred   |        | <input type="checkbox"/> |
| AXA Investments- IRA Account ⇒<br>Sector Select Real Estate ETF [MF]             | SP    | \$1 - \$1,000           | Tax-Deferred   |        | <input type="checkbox"/> |
| AXA Investments- IRA Account ⇒<br>Sector Technology Select Sector SPDR ELKV [MF] | SP    | \$1,001 - \$15,000      | Tax-Deferred   |        | <input type="checkbox"/> |
| AXA Life Insurance [WU]  | SP    | \$50,001 -<br>\$100,000 | Tax-Deferred   |        | <input type="checkbox"/> |

| Asset   | Owner | Value of Asset        | Income Type(s)           | Income                  | Tx. > \$1,000?                      |
|---|-------|-----------------------|--------------------------|-------------------------|-------------------------------------|
| AXA_Suozzi Family Trust Life Ins Trust [WU]   |       | \$50,001 - \$100,000  | Tax-Deferred             |                         | <input type="checkbox"/>            |
| BP Real Estate Opportunity Group LLC [OL]   |       | \$15,001 - \$50,000   | None                     |                         | <input type="checkbox"/>            |
| LOCATION: Sarasota, FL, US<br>DESCRIPTION: Real Estate Development project with sole assets being located in Sarasota, Florida.                                   |       |                       |                          |                         |                                     |
| Clarapath Corp [OL]   |       | \$15,001 - \$50,000   | None                     |                         | <input type="checkbox"/>            |
| LOCATION: New York/Manhattan, NY, US<br>DESCRIPTION: Investment is a start up company relating to biotech for Pathology. Office are in Manhattan, New York.       |       |                       |                          |                         |                                     |
| Damen Warehouse Owners, LLC, 6% Interest, 6% Interest [OL]  |       | \$50,001 - \$100,000  | None                     |                         | <input type="checkbox"/>            |
| LOCATION: Delaware, DE, US<br>DESCRIPTION: Business is a warehouse.   |       |                       |                          |                         |                                     |
| Emperial Risk Management Inc. [OL]  | SP    | \$1,001 - \$15,000    | Ordinary Business Income | \$15,001 - \$50,000     | <input type="checkbox"/>            |
| LOCATION: GLen Cove/ Nassau, NY, US<br>DESCRIPTION: Entity is an Insurance Brokerage business located in Glen Cove, New York.                                     |       |                       |                          |                         |                                     |
| Gettin the Band Back on Broadway LLC [OT]   |       | None                  | None                     |                         | <input type="checkbox"/>            |
| DESCRIPTION: Minority interest in LLC located in New York, New York.<br>COMMENTS: Value depreciated; no reportable sale.  |       |                       |                          |                         |                                     |
| HCDC Holdings LLC [OL]  |       | \$50,001 - \$100,000  | Ordinary Business Income | \$100,001 - \$1,000,000 | <input type="checkbox"/>            |
| LOCATION: Glen Cove/Nassau, NY, US<br>DESCRIPTION: Investment is a minority interest in this entity which operates a day camp located in East Hampton, New York.  |       |                       |                          |                         |                                     |
| HCDC Realty Corp. [RP]  |       | \$100,001 - \$250,000 | Rent                     | \$201 - \$1,000         | <input type="checkbox"/>            |
| LOCATION: Glen Cove/Nassau , NY, US<br>DESCRIPTION: Investment is a minority interest in this entity which operates a day camp located in East Hampton, New York. |       |                       |                          |                         |                                     |
| KEPWRS Inv, LLC [RP]  |       | \$15,001 - \$50,000   | None                     |                         | <input type="checkbox"/>            |
| LOCATION: Williamsburgh, NY, US<br>DESCRIPTION: Sole Asset is rental property located in Williamsburg, New York.  |       |                       |                          |                         |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒ Advanced Micro Devices, Inc. (AMD) [ST]   |       | \$1,001 - \$15,000    | None                     |                         | <input type="checkbox"/>            |
| Merrill Lynch- Advisor Discretion Account ⇒   |       | \$1,001 - \$15,000    | None                     |                         | <input checked="" type="checkbox"/> |

| Asset  | Owner | Value of Asset      | Income Type(s)           | Income          | Tx. > \$1,000?                      |
|--|-------|---------------------|--------------------------|-----------------|-------------------------------------|
| Apple Inc. (AAPL) [ST]   |       |                     |                          |                 |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒ AT&T Inc. (T) [ST]                             |       | None                | Capital Gains, Dividends | \$1 - \$200     | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ AT&T Inc. (T) [ST]                             |       | \$1 - \$1,000       | Tax-Deferred             |                 | <input type="checkbox"/>            |
| DESCRIPTION: Inherited IRA from late mother in 2018.                                       |       |                     |                          |                 |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒ BlackRock NY Municipal OPPORTUNITIES FUND [MF] |       | None                | None                     |                 | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ Boeing Company (BA) [ST]                       |       | \$15,001 - \$50,000 | Dividends                | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ Bristol-Myers Squibb Company (BMY) [ST]        |       | \$15,001 - \$50,000 | Dividends                | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ Caterpillar, Inc. (CAT) [ST]                   |       | \$15,001 - \$50,000 | Dividends                | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ Chevron Corporation (CVX) [ST]                 |       | \$1,001 - \$15,000  | Tax-Deferred             |                 | <input type="checkbox"/>            |
| DESCRIPTION: Inherited IRA from late mother in 2018.                                       |       |                     |                          |                 |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒ Cigna Corporation (CI) [ST]                    |       | None                | None                     |                 | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ Cisco Systems, Inc. (CSCO) [ST]                |       | \$15,001 - \$50,000 | Dividends                | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ Citigroup, Inc. (C) [ST]                       |       | \$15,001 - \$50,000 | Dividends                | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ COCA COLA HBC LTD Ordinary Shares (CCHBF) [ST] |       | None                | Dividends                | \$1 - \$200     | <input type="checkbox"/>            |
| Merrill Lynch- Advisor Discretion Account ⇒ Coca-Cola Consolidated, Inc. (COKE) [ST]       |       | None                | Capital Gains            | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ ConocoPhillips (COP) [ST]                      |       | \$1,001 - \$15,000  | Dividends                | \$1 - \$200     | <input type="checkbox"/>            |

| Asset  | Owner | Value of Asset       | Income Type(s)           | Income          | Tx. > \$1,000?                      |
|--|-------|----------------------|--------------------------|-----------------|-------------------------------------|
| Merrill Lynch- Advisor Discretion Account ⇒ Consolidated Edison, Inc. (ED) [ST]                    |       | None                 | Capital Gains, Dividends | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ Control4 Corporation (CTRL) [ST]                       |       | \$50,001 - \$100,000 | None                     |                 | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ Control4 Corporation (CTRL) [ST]                       |       | \$1,001 - \$15,000   | Tax-Deferred             |                 | <input checked="" type="checkbox"/> |
| DESCRIPTION: Inherited IRA from late mother in 2018.   |       |                      |                          |                 |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒ Costco Wholesale Corporation (COST) [ST]               |       | \$1,001 - \$15,000   | Dividends                | \$1 - \$200     | <input type="checkbox"/>            |
| Merrill Lynch- Advisor Discretion Account ⇒ Crown Holdings, Inc. (CCK) [ST]                        |       | \$50,001 - \$100,000 | None                     |                 | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ Dominion Energy, Inc. (D) [ST]                         |       | None                 | None                     |                 | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ DowDuPont Inc. (DWD) [ST]                              |       | \$1,001 - \$15,000   | Tax-Deferred             |                 | <input type="checkbox"/>            |
| DESCRIPTION: Inherited IRA from late mother in 2018.   |       |                      |                          |                 |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒ Eli Lilly and Company (LLY) [ST]                       |       | \$15,001 - \$50,000  | Dividends                | \$201 - \$1,000 | <input type="checkbox"/>            |
| Merrill Lynch- Advisor Discretion Account ⇒ Exxon Mobil Corporation (XOM) [ST]                     |       | None                 | None                     |                 | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ General Motors Company (GM) [ST]                       |       | \$15,001 - \$50,000  | Dividends                | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ Henry Schein, Inc. (HSIC) [ST]                         |       | None                 | None                     |                 | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ Intel Corporation (INTC) [ST]                          |       | \$15,001 - \$50,000  | Dividends                | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ International Business Machines Corporation (IBM) [ST] |       | None                 | Dividends                | \$1 - \$200     | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ International Business Machines Corporation (IBM) [ST] |       | \$1,001 - \$15,000   | Tax-Deferred             |                 | <input type="checkbox"/>            |

| Asset   | Owner | Value of Asset       | Income Type(s) | Income            | Tx. > \$1,000?                      |
|---|-------|----------------------|----------------|-------------------|-------------------------------------|
| DESCRIPTION: Inherited IRA from late mother in 2018.                                      |       |                      |                |                   |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒ International Paper Company (IP) [ST]         |       | \$1,001 - \$15,000   | Tax-Deferred   |                   | <input checked="" type="checkbox"/> |
| DESCRIPTION: Inherited IRA from late mother in 2018.                                      |       |                      |                |                   |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒ International Paper Company (IP) [ST]         |       | \$50,001 - \$100,000 | Dividends      | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ Intrexon Corporation (XON) [ST]               |       | None                 | None           |                   | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ iShares Global Comm Services ETF (IXP) [ST]   |       | \$1,001 - \$15,000   | Tax-Deferred   |                   | <input type="checkbox"/>            |
| DESCRIPTION: Inherited IRA from late mother in 2018.                                      |       |                      |                |                   |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒ iShares U.S. Technology ETF (IYW) [ST]        |       | \$1,001 - \$15,000   | Tax-Deferred   |                   | <input type="checkbox"/>            |
| DESCRIPTION: Inherited IRA from late mother in 2018.                                      |       |                      |                |                   |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒ Johnson & Johnson (JNJ) [ST]                  |       | \$1,001 - \$15,000   | Tax-Deferred   |                   | <input type="checkbox"/>            |
| DESCRIPTION: Inherited IRA from late mother in 2018.                                      |       |                      |                |                   |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒ JP Morgan Chase & Co. (JPM) [ST]              |       | \$15,001 - \$50,000  | Dividends      | \$201 - \$1,000   | <input type="checkbox"/>            |
| Merrill Lynch- Advisor Discretion Account ⇒ Martin Marietta Materials, Inc. (MLM) [ST]    |       | None                 | Capital Gains  | \$2,501 - \$5,000 | <input checked="" type="checkbox"/> |
| DESCRIPTION: Purchased and sold with in the same year.                                    |       |                      |                |                   |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒ Medtronic plc. Ordinary Shares (MDT) [ST]     |       | \$1,001 - \$15,000   | Dividends      | \$1 - \$200       | <input type="checkbox"/>            |
| Merrill Lynch- Advisor Discretion Account ⇒ Merck & Company, Inc. Common Stock (MRK) [ST] |       | \$15,001 - \$50,000  | Dividends      | \$201 - \$1,000   | <input type="checkbox"/>            |
| Merrill Lynch- Advisor Discretion Account ⇒ MetLife, Inc. (MET) [ST]                      |       | None                 | Capital Gains  | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ Microsoft Corporation (MSFT) [ST]             |       | \$15,001 - \$50,000  | Dividends      | \$201 - \$1,000   | <input type="checkbox"/>            |
| Merrill Lynch- Advisor Discretion Account ⇒   |       | None                 | None           |                   | <input checked="" type="checkbox"/> |

| Asset   | Owner | Value of Asset      | Income Type(s)              | Income          | Tx. > \$1,000?                      |
|---|-------|---------------------|-----------------------------|-----------------|-------------------------------------|
| NEW YORK ST DORM ATRV [GS]  |       |                     |                             |                 |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒<br>Oracle Corporation Ordinary Shares (OCLCF) [ST]                      |       | \$1,001 - \$15,000  | Tax-Deferred                |                 | <input type="checkbox"/>            |
| DESCRIPTION: Inherited IRA from late mother in 2018.  |       |                     |                             |                 |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒<br>Pacific Gas & Electric Co. (PCG) [ST]                                |       | \$1,001 - \$15,000  | Tax-Deferred                |                 | <input type="checkbox"/>            |
| DESCRIPTION: Inherited IRA from late mother in 2018.  |       |                     |                             |                 |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒<br>Pfizer, Inc. (PFE) [ST]  |       | \$1,001 - \$15,000  | Dividends                   | \$201 - \$1,000 | <input type="checkbox"/>            |
| Merrill Lynch- Advisor Discretion Account ⇒<br>PPL Corporation (PPL) [ST]   |       | None                | Capital Gains,<br>Dividends | \$1 - \$200     | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒<br>Procter & Gamble Company (PG) [ST]                                   |       | None                | Capital Gains,<br>Dividends | \$1 - \$200     | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒<br>Regeneron Pharmaceuticals, Inc. (REGN) [ST]                          |       | None                | Capital Gains               | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒<br>SPDR S&P Retail ETF (XRT) [ST]                                       |       | \$1,001 - \$15,000  | Tax-Deferred                |                 | <input type="checkbox"/>            |
| DESCRIPTION: Inherited IRA from late mother in 2018.  |       |                     |                             |                 |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒<br>Superior Industries International, Inc. Common Stock (SUP) [ST]      |       | None                | Capital Gains,<br>Dividends | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒<br>Superior Industries International, Inc. Common Stock (SUP) [ST]      |       | \$1,001 - \$15,000  | Tax-Deferred                |                 | <input checked="" type="checkbox"/> |
| DESCRIPTION: Inherited IRA from late mother in 2018.  |       |                     |                             |                 |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒<br>TE Connectivity Ltd. New Switzerland Registered<br>Shares (TEL) [ST] |       | \$1,001 - \$15,000  | Dividends                   | \$1 - \$200     | <input type="checkbox"/>            |
| Merrill Lynch- Advisor Discretion Account ⇒<br>Texas Instruments Incorporated (TXN) [ST]                            |       | \$15,001 - \$50,000 | Dividends                   | \$201 - \$1,000 | <input type="checkbox"/>            |
| Merrill Lynch- Advisor Discretion Account ⇒<br>United Rentals, Inc. (URI) [ST]                                      |       | \$15,001 - \$50,000 | None                        |                 | <input checked="" type="checkbox"/> |

| Asset   | Owner | Value of Asset          | Income Type(s) | Income          | Tx. > \$1,000?                      |
|---|-------|-------------------------|----------------|-----------------|-------------------------------------|
| Merrill Lynch- Advisor Discretion Account ⇒<br>VANGUARD NY LONG TERM [MF]   |       | None                    | None           |                 | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒<br>Verizon Communications Inc. (VZ) [ST]  |       | \$15,001 - \$50,000     | Dividends      | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒<br>Verizon Communications Inc. (VZ) [ST]<br><br>DESCRIPTION: Inherited IRA from late mother in 2018.                              |       | \$1,001 - \$15,000      | Tax-Deferred   |                 | <input type="checkbox"/>            |
| Merrill Lynch- Advisor Discretion Account ⇒<br>Walmart Inc. (WMT) [ST]<br><br>DESCRIPTION: Inherited IRA from late mother in 2018.  |       | \$1,001 - \$15,000      | Tax-Deferred   |                 | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒<br>Walmart Inc. (WMT) [ST]  |       | \$15,001 - \$50,000     | Dividends      | \$1 - \$200     | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒<br>Waste Management, Inc. (WM) [ST]   |       | \$15,001 - \$50,000     | Dividends      | \$201 - \$1,000 | <input type="checkbox"/>            |
| Merrill Lynch- Advisor Discretion Account ⇒<br>WESTCHESTER CNTY NY GO [GS]  |       | None                    | None           |                 | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒<br>Weyerhaeuser Company (WY) [ST]   |       | \$15,001 - \$50,000     | Dividends      | \$201 - \$1,000 | <input type="checkbox"/>            |
| Merrill Lynch- Advisor Discretion Account ⇒<br>Winnebago Industries, Inc. (WGO) [ST]  |       | \$50,001 - \$100,000    | Dividends      | \$1 - \$200     | <input checked="" type="checkbox"/> |
| Naples Vanderbilt Investors, LLC [RP]<br><br>LOCATION: Naples , FL, US  |       | \$1,001 - \$15,000      | Rent           | \$1 - \$200     | <input type="checkbox"/>            |
| National Securities- Advisor Discretion Account ⇒<br>Acres Capital Debt Opportunity Fund LP [MF]  |       | \$500,001 - \$1,000,000 | Tax-Deferred   |                 | <input checked="" type="checkbox"/> |
| National Securities- Advisor Discretion Account ⇒<br>Fidelity Government Cash Reserves [MF]   |       | \$50,001 - \$100,000    | Tax-Deferred   |                 | <input type="checkbox"/>            |
| Phillipsburg Holdings LLC, 7% Interest [OL]<br><br>LOCATION: West Orange, NJ, US<br>DESCRIPTION: Minority interest in LLC holding rental property in West Orange, New Jersey. |       | \$100,001 - \$250,000   | None           |                 | <input type="checkbox"/>            |
| SGC Commerical II, LLC [RP]   |       | \$15,001 - \$50,000     | None           |                 | <input type="checkbox"/>            |

| Asset   | Owner | Value of Asset       | Income Type(s) | Income            | Tx. > \$1,000?           |
|---|-------|----------------------|----------------|-------------------|--------------------------|
| LOCATION: Sarasota , FL, US<br>DESCRIPTION: Real Estate Development project. Sole Asset is in Sarasota, Florida.  |       |                      |                |                   |                          |
| Southampton Country Day Camp LLC [OL]   |       | None                 | None           |                   | <input type="checkbox"/> |
| LOCATION: Southhampton/Suffolk, NY, US<br>DESCRIPTION: Minority interest in this entity which operates a day camp located in South Hampton, New York.<br>COMMENTS: Value depreciated; no reportable sale. |       |                      |                |                   |                          |
| Southampton Day Camp Realty LLC [RP]  |       | \$50,001 - \$100,000 | Rent           | \$1,001 - \$2,500 | <input type="checkbox"/> |
| LOCATION: Southampton/Suffolk , NY, US<br>DESCRIPTION: Rental property located in South Hampton, New York as a sole asset.  |       |                      |                |                   |                          |
| Suozzi Solutions Inc, 100% Interest [OL]  |       | None                 | None           |                   | <input type="checkbox"/> |
| LOCATION: Glen Cove/ Nassau, NY, US<br>DESCRIPTION: This business is inactive and has no activity.  |       |                      |                |                   |                          |
| TIAA-CREF ⇒ CREF Equity Index R2 [MF]   | SP    | \$1,001 - \$15,000   | Tax-Deferred   |                   | <input type="checkbox"/> |
| TIAA-CREF ⇒ CREF Inflation-Linked Bong R2 [MF]  | SP    | \$15,001 - \$50,000  | Tax-Deferred   |                   | <input type="checkbox"/> |
| TIAA-CREF ⇒ CREF Social Choice R2 [MF]  | SP    | \$1,001 - \$15,000   | 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

| Asset  | Owner | Date      | Tx. Type | Amount              | Cap. Gains > \$200?      |
|--|-------|-----------|----------|---------------------|--------------------------|
| Gettin the Band Back on Broadway LLC [OL]  |       | 07/3/2018 | P        | \$15,001 - \$50,000 |                          |
| LOCATION: New York, NY, US<br>DESCRIPTION: Minority interest in LLC located in New York, New York. |       |           |          |                     |                          |
| Merrill Lynch- Advisor Discretion Account ⇒ Altria Group, Inc. (MO) [ST]                           |       | 10/1/2018 | S        | \$1,001 - \$15,000  | <input type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ Apple Inc. (AAPL) [ST]                                 |       | 11/1/2018 | P        | \$15,001 - \$50,000 |                          |

| Asset  | Owner | Date       | Tx. Type | Amount              | Cap. Gains > \$200?      |
|--|-------|------------|----------|---------------------|--------------------------|
| Merrill Lynch- Advisor Discretion Account ⇒ Apple Inc. (AAPL) [ST]   |       | 11/2/2018  | S        | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ Apple Inc. (AAPL) [ST]   |       | 05/8/2018  | P        | \$1,001 - \$15,000  |                          |
| Merrill Lynch- Advisor Discretion Account ⇒ Apple Inc. (AAPL) [ST]   |       | 11/4/2018  | P        | \$15,001 - \$50,000 |                          |
| Merrill Lynch- Advisor Discretion Account ⇒ Apple Inc. (AAPL) [ST]   |       | 12/19/2018 | P        | \$15,001 - \$50,000 |                          |
| Merrill Lynch- Advisor Discretion Account ⇒ AT&T Inc. (T) [ST]   |       | 04/17/2018 | S        | \$1,001 - \$15,000  | <input type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ BlackRock Municipal Income Investment Quality Trust (BAF) [ST] |       | 06/27/2018 | P        | \$1,001 - \$15,000  |                          |
| Merrill Lynch- Advisor Discretion Account ⇒ BlackRock Municipal Income Investment Quality Trust (BAF) [ST] |       | 07/24/2018 | S        | \$1,001 - \$15,000  | <input type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ BLACKROCK NY MUNICIPAL OPPORTUNITIES FUND [MF]                 |       | 07/24/2018 | S        | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ Boeing Company (BA) [ST]                                       |       | 10/1/2018  | P        | \$15,001 - \$50,000 |                          |
| Merrill Lynch- Advisor Discretion Account ⇒ Boeing Company (BA) [ST]                                       |       | 04/17/2018 | P        | \$15,001 - \$50,000 |                          |
| Merrill Lynch- Advisor Discretion Account ⇒ Bristol-Myers Squibb Company (BMY) [ST]                        |       | 10/1/2018  | P        | \$15,001 - \$50,000 |                          |
| Merrill Lynch- Advisor Discretion Account ⇒ Bristol-Myers Squibb Company (BMY) [ST]                        |       | 04/17/2018 | P        | \$1,001 - \$15,000  |                          |
| Merrill Lynch- Advisor Discretion Account ⇒ Caterpillar, Inc. (CAT) [ST]                                   |       | 10/1/2018  | P        | \$15,001 - \$50,000 |                          |
| Merrill Lynch- Advisor Discretion Account ⇒ Cigna Corporation (CI) [ST]                                    |       | 04/17/2018 | P        | \$1,001 - \$15,000  |                          |

| Asset  | Owner | Date       | Tx. Type | Amount               | Cap. Gains > \$200?                 |
|--|-------|------------|----------|----------------------|-------------------------------------|
| Merrill Lynch- Advisor Discretion Account ⇒ Cigna Corporation (CI) [ST]              |       | 07/25/2018 | S        | \$1,001 - \$15,000   | <input type="checkbox"/>            |
| Merrill Lynch- Advisor Discretion Account ⇒ Cisco Systems, Inc. (CSCO) [ST]          |       | 10/1/2018  | P        | \$1,001 - \$15,000   |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒ Citigroup, Inc. (C) [ST]                 |       | 10/1/2018  | P        | \$15,001 - \$50,000  |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒ Coca-Cola Consolidated, Inc. (COKE) [ST] |       | 07/25/2018 | S        | \$1,001 - \$15,000   | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ Consolidated Edison, Inc. (ED) [ST]      |       | 07/5/2018  | S        | \$1,001 - \$15,000   | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ Control4 Corporation (CTRL) [ST]         |       | 04/30/2018 | P        | \$1,001 - \$15,000   |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒ Control4 Corporation (CTRL) [ST]         |       | 06/27/2018 | P        | \$1,001 - \$15,000   |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒ Control4 Corporation (CTRL) [ST]         |       | 10/2/2018  | P        | \$15,001 - \$50,000  |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒ Control4 Corporation (CTRL) [ST]         |       | 10/11/2018 | P        | \$1,001 - \$15,000   |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒ Control4 Corporation (CTRL) [ST]         |       | 10/15/2018 | P        | \$1,001 - \$15,000   |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒ Control4 Corporation (CTRL) [ST]         |       | 10/1/2018  | P        | \$15,001 - \$50,000  |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒ Crown Holdings, Inc. (CCK) [ST]          |       | 10/15/2018 | P        | \$50,001 - \$100,000 |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒ Crown Holdings, Inc. (CCK) [ST]          |       | 10/2/2018  | P        | \$50,001 - \$100,000 |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒ Dominion Energy, Inc. (D) [ST]           |       | 06/27/2018 | 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> |
|---|--------------|-------------|-----------------|----------------------|-------------------------------|
| Merrill Lynch- Advisor Discretion Account ⇒<br>Exxon Mobil Corporation (XOM) [ST]                     |              | 07/25/2018  | S               | \$1,001 - \$15,000   | <input type="checkbox"/>      |
| Merrill Lynch- Advisor Discretion Account ⇒<br>Exxon Mobil Corporation (XOM) [ST]                     |              | 04/30/2018  | S (partial)     | \$1,001 - \$15,000   | <input type="checkbox"/>      |
| Merrill Lynch- Advisor Discretion Account ⇒<br>Exxon Mobil Corporation (XOM) [ST]                     |              | 07/25/2018  | P               | \$1,001 - \$15,000   |                               |
| Merrill Lynch- Advisor Discretion Account ⇒<br>General Electric Company (GE) [ST]                     |              | 05/8/2018   | S               | \$1,001 - \$15,000   | <input type="checkbox"/>      |
| Merrill Lynch- Advisor Discretion Account ⇒<br>General Motors Company (GM) [ST]                       |              | 10/1/2018   | P               | \$15,001 - \$50,000  |                               |
| Merrill Lynch- Advisor Discretion Account ⇒<br>General Motors Company (GM) [ST]                       |              | 06/27/2018  | P               | \$1,001 - \$15,000   |                               |
| Merrill Lynch- Advisor Discretion Account ⇒<br>Henry Schein, Inc. (HSIC) [ST]                         |              | 04/17/2018  | S               | \$15,001 - \$50,000  | <input type="checkbox"/>      |
| Merrill Lynch- Advisor Discretion Account ⇒<br>Henry Schein, Inc. (HSIC) [ST]                         |              | 03/29/2018  | S (partial)     | \$1,001 - \$15,000   | <input type="checkbox"/>      |
| Merrill Lynch- Advisor Discretion Account ⇒<br>Intel Corporation (INTC) [ST]                          |              | 06/27/2018  | P               | \$1,001 - \$15,000   |                               |
| Merrill Lynch- Advisor Discretion Account ⇒<br>Intel Corporation (INTC) [ST]                          |              | 10/1/2018   | P               | \$15,001 - \$50,000  |                               |
| Merrill Lynch- Advisor Discretion Account ⇒<br>International Business Machines Corporation (IBM) [ST] |              | 06/27/2018  | S               | \$1,001 - \$15,000   | <input type="checkbox"/>      |
| Merrill Lynch- Advisor Discretion Account ⇒<br>International Paper Company (IP) [ST]                  |              | 10/2/2018   | P               | \$50,001 - \$100,000 |                               |
| Merrill Lynch- Advisor Discretion Account ⇒<br>International Paper Company (IP) [ST]                  |              | 12/28/2018  | P               | \$1,001 - \$15,000   |                               |
| Merrill Lynch- Advisor Discretion Account ⇒<br>International Paper Company (IP) [ST]                  |              | 10/1/2018   | P               | \$50,001 - \$100,000 |                               |
| Merrill Lynch- Advisor Discretion Account ⇒   |              | 12/14/2018  | S               | \$1,001 - \$15,000   | <input type="checkbox"/>      |

| Asset   | Owner | Date       | Tx. Type    | Amount               | Cap. Gains > \$200?                 |
|---|-------|------------|-------------|----------------------|-------------------------------------|
| Intrexon Corporation (XON) [ST]   |       |            |             |                      |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒ Martin Marietta Materials, Inc. (MLM) [ST]                      |       | 10/15/2018 | P           | \$50,001 - \$100,000 |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒ Martin Marietta Materials, Inc. (MLM) [ST]                      |       | 11/7/2018  | S           | \$50,001 - \$100,000 | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ Martin Marietta Materials, Inc. (MLM) [ST]                      |       | 10/1/2018  | P           | \$15,001 - \$50,000  |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒ Martin Marietta Materials, Inc. (MLM) [ST]                      |       | 10/2/2018  | P           | \$15,001 - \$50,000  |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒ MetLife, Inc. (MET) [ST]  |       | 07/25/2018 | S           | \$1,001 - \$15,000   | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ NEW YORK ST DORN ATRV [GS]                                      |       | 07/24/2018 | S           | \$50,001 - \$100,000 | <input type="checkbox"/>            |
| Merrill Lynch- Advisor Discretion Account ⇒ PPL Corporation (PPL) [ST]                                      |       | 04/30/2018 | S           | \$1,001 - \$15,000   | <input type="checkbox"/>            |
| Merrill Lynch- Advisor Discretion Account ⇒ Procter & Gamble Company (PG) [ST]                              |       | 07/24/2018 | S           | \$1,001 - \$15,000   | <input type="checkbox"/>            |
| Merrill Lynch- Advisor Discretion Account ⇒ Regeneron Pharmaceuticals, Inc. (REGN) [ST]                     |       | 11/5/2018  | P           | \$15,001 - \$50,000  |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒ Regeneron Pharmaceuticals, Inc. (REGN) [ST]                     |       | 11/7/2018  | S           | \$15,001 - \$50,000  | <input checked="" type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ Superior Industries International, Inc. Common Stock (SUP) [ST] |       | 10/15/2018 | P           | \$50,001 - \$100,000 |                                     |
| Merrill Lynch- Advisor Discretion Account ⇒ Superior Industries International, Inc. Common Stock (SUP) [ST] |       | 12/28/2018 | S (partial) | \$15,001 - \$50,000  | <input type="checkbox"/>            |
| Merrill Lynch- Advisor Discretion Account ⇒ Superior Industries International, Inc. Common Stock (SUP) [ST] |       | 04/30/2018 | P           | \$1,001 - \$15,000   |                                     |

| Asset   | Owner | Date       | Tx. Type    | Amount              | Cap. Gains > \$200?      |
|---|-------|------------|-------------|---------------------|--------------------------|
| Merrill Lynch- Advisor Discretion Account ⇒ Superior Industries International, Inc. Common Stock (SUP) [ST]         |       | 10/1/2018  | P           | \$15,001 - \$50,000 |                          |
| Merrill Lynch- Advisor Discretion Account ⇒ Superior Industries International, Inc. Common Stock (SUP) [ST]         |       | 10/2/2018  | P           | \$15,001 - \$50,000 |                          |
| Merrill Lynch- Advisor Discretion Account ⇒ Superior Industries International, Inc. Common Stock (SUP) [ST]         |       | 10/15/2018 | P           | \$1,001 - \$15,000  |                          |
| Merrill Lynch- Advisor Discretion Account ⇒ Superior Industries International, Inc. Common Stock (SUP) [ST]         |       | 11/6/2018  | P           | \$1,001 - \$15,000  |                          |
| Merrill Lynch- Advisor Discretion Account ⇒ Superior Industries International, Inc. Common Stock (SUP) [ST]         |       | 11/8/2018  | P           | \$1,001 - \$15,000  |                          |
| Merrill Lynch- Advisor Discretion Account ⇒ Superior Industries International, Inc. Common Stock (SUP) [ST]         |       | 12/14/2018 | S (partial) | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ Superior Industries International, Inc. Common Stock (SUP) [ST]         |       | 12/19/2018 | S (partial) | \$1,001 - \$15,000  | <input type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ Superior Industries International, Inc. Common Stock (SUP) [ST]         |       | 12/29/2018 | S           | \$1,001 - \$15,000  | <input type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ United Rentals, Inc. (URI) [ST]   |       | 12/19/2018 | P           | \$15,001 - \$50,000 |                          |
| Merrill Lynch- Advisor Discretion Account ⇒ United Rentals, Inc. (URI) [ST]   |       | 12/14/2018 | P           | \$1,001 - \$15,000  |                          |
| Merrill Lynch- Advisor Discretion Account ⇒ Vanguard New York Long-Term Tax-Exempt Fund Admiral Shares (VNYUX) [MF] |       | 04/17/2018 | S           | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ VANGUARD NY LONG TERM [MF]  |       | 06/28/2018 | S           | \$15,001 - \$50,000 | <input type="checkbox"/> |

| Asset   | Owner | Date       | Tx. Type | Amount                | Cap. Gains > \$200?      |
|---|-------|------------|----------|-----------------------|--------------------------|
| Merrill Lynch- Advisor Discretion Account ⇒ Verizon Communications Inc. (VZ) [ST]             |       | 06/27/2018 | P        | \$1,001 - \$15,000    |                          |
| Merrill Lynch- Advisor Discretion Account ⇒ Verizon Communications Inc. (VZ) [ST]             |       | 10/1/2018  | P        | \$1,001 - \$15,000    |                          |
| Merrill Lynch- Advisor Discretion Account ⇒ Walmart Inc. (WMT) [ST]                           |       | 11/4/2018  | P        | \$15,001 - \$50,000   |                          |
| Merrill Lynch- Advisor Discretion Account ⇒ Walmart Inc. (WMT) [ST]                           |       | 03/29/2018 | P        | \$1,001 - \$15,000    |                          |
| Merrill Lynch- Advisor Discretion Account ⇒ Walmart Inc. (WMT) [ST]                           |       | 10/2/2018  | P        | \$15,001 - \$50,000   |                          |
| Merrill Lynch- Advisor Discretion Account ⇒ Waste Management, Inc. (WM) [ST]                  |       | 10/1/2018  | P        | \$15,001 - \$50,000   |                          |
| Merrill Lynch- Advisor Discretion Account ⇒ WESTCHESTER CNTY NY GO [GS]                       |       | 07/24/2018 | S        | \$15,001 - \$50,000   | <input type="checkbox"/> |
| Merrill Lynch- Advisor Discretion Account ⇒ Weyerhaeuser Company (WY) [ST]                    |       | 11/8/2018  | P        | \$50,001 - \$100,000  |                          |
| Merrill Lynch- Advisor Discretion Account ⇒ Weyerhaeuser Company (WY) [ST]                    |       | 10/1/2018  | P        | \$15,001 - \$50,000   |                          |
| Merrill Lynch- Advisor Discretion Account ⇒ Winnebago Industries, Inc. (WGO) [ST]             |       | 11/18/2018 | P        | \$50,001 - \$100,000  |                          |
| Merrill Lynch- Advisor Discretion Account ⇒ Winnebago Industries, Inc. (WGO) [ST]             |       | 10/2/2018  | P        | \$15,001 - \$50,000   |                          |
| Merrill Lynch- Advisor Discretion Account ⇒ Winnebago Industries, Inc. (WGO) [ST]             |       | 10/15/2018 | P        | \$1,001 - \$15,000    |                          |
| Merrill Lynch- Advisor Discretion Account ⇒ Winnebago Industries, Inc. (WGO) [ST]             |       | 10/11/2018 | P        | \$15,001 - \$50,000   |                          |
| National Securities- Advisor Discretion Account ⇒ Acres Capital Debt Opportunity Fund LP [HE] |       | 01/24/2018 | P        | \$100,001 - \$250,000 |                          |

\* 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**

| Source                        | Type                  | Amount      |
|-------------------------------|-----------------------|-------------|
| Empirical Risk Management Inc | Insurance Commissions | \$24,740.00 |

**SCHEDULE D: LIABILITIES**

None disclosed.

**SCHEDULE E: POSITIONS**

| Position | Name of Organization              |
|----------|-----------------------------------|
| Chairman | Morgan Park Summer Music Festival |

**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**

|   |
|---|
| <ul style="list-style-type: none"><li>o Allianz- Qualified IRA</li><li>o AXA Investments- IRA Account (Owner: SP)</li><li>o Merrill Lynch- Advisor Discretion Account<br/>LOCATION: US<br/>DESCRIPTION: Advisor Discretion Account under control of asset manager.</li><li>o Merrill Lynch- Advisor Discretion Account<br/>LOCATION: US<br/>DESCRIPTION: Advisor Discretion Account under control of asset manager.</li><li>o National Securities- Advisor Discretion Account</li><li>o TIAA-CREF (Owner: SP)</li></ul> |
|---|

## 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 , 12/19/2022