



# FINANCIAL DISCLOSURE REPORT

Clerk of the House of Representatives • Legislative Resource Center • 135 Cannon Building • Washington, DC 20515

## FILER INFORMATION

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

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2019  
**Filing Date:** 08/13/2020

## 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]		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Allianz- Qualified IRA ⇒ Black Rock Global Associates [MF]		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
AXA Investments- IRA Account ⇒ Sector Consumer Staples SPDR ETF XLP [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
AXA Investments- IRA Account ⇒ Sector Financial Select Sector EFT XLF [MF]	SP	\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
AXA Investments- IRA Account ⇒ Sector Healthcare Select Sector ETF XLV [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
AXA Investments- IRA Account ⇒ Sector Select Real Estate ETF [MF]	SP	\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
AXA Investments- IRA Account ⇒ Sector Technology Select Sector SPDR ELKV [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
AXA Life Insurance [WU]	SP	\$50,001 -	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
		\$100,000			
AXA_Suozzi Family Trust Life Ins Trust [WU]		\$100,001 - \$250,000	Tax-Deferred		<input type="checkbox"/>
BP Real Estate Opportunity Group LLC [OL]		\$15,001 - \$50,000	None		<input type="checkbox"/>
LOCATION: Sarasota, FL, US DESCRIPTION: Real Estate Development project with sole assets being located in Sarasota, Florida.					
Clarapath Corp [OL]		None	None		<input type="checkbox"/>
LOCATION: New York/Manhattan, NY, US 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]		None	Capital Gains	\$100,001 - \$1,000,000	<input checked="" type="checkbox"/>
LOCATION: Delaware, DE, US DESCRIPTION: Business is a warehouse- sold in 2019.					
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 DESCRIPTION: Entity is an Insurance Brokerage business located in Glen Cove, New York.					
Federal Government Deffered Compensation [PE]		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
HCDC Holdings LLC [OL]		\$100,001 - \$250,000	Ordinary Business Income	\$100,001 - \$1,000,000	<input type="checkbox"/>
LOCATION: Glen Cove/Nassau, NY, US DESCRIPTION: Investment is a minority interest in this entity which operates a day camp located in East Hampton, New York.					
HCDC Realty Corp. [RP]		\$50,001 - \$100,000	Rent	\$15,001 - \$50,000	<input type="checkbox"/>
LOCATION: Glen Cove/Nassau, NY, US 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	Rent	None	<input type="checkbox"/>
LOCATION: Williamsburgh, NY, US DESCRIPTION: Sole Asset is rental property located in Williamsburg, New York.					
Merrill Lynch- Advisor Discretion Account ⇒ Advanced Micro Devices, Inc. (AMD) [ST]		\$15,001 - \$50,000	Capital Gains	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒		\$15,001 - \$50,000	Dividends	None	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
American Express Company (AXP) [ST]					
Merrill Lynch- Advisor Discretion Account ⇒ Apple Inc. (AAPL) [ST]		\$50,001 - \$100,000	Dividends	\$1 - \$200	<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 ⇒ Apple Inc. (AAPL) [ST]		\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ AT&T Inc. (T) [ST]		None	Capital Gains	None	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ AT&T Inc. (T) [ST]		None	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Inherited IRA from late mother in 2018.					
Merrill Lynch- Advisor Discretion Account ⇒ BlackRock NY Municipal OPPORTUNITIES FUND [GS]		None	Capital Gains	\$5,001 - \$15,000	<input checked="" 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 ⇒ Boeing Company (BA) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Bristol-Myers Squibb Company (BMY) [ST]		None	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Caterpillar, Inc. (CAT) [ST]		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Chevron Corporation (CVX) [ST]		None	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Inherited IRA from late mother in 2018.					
Merrill Lynch- Advisor Discretion Account ⇒ Cigna Corporation (CI) [ST]		\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Cisco Systems, Inc. (CSCO) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒		None	Capital Gains	None	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Citigroup, Inc. (C) [ST]					
Merrill Lynch- Advisor Discretion Account ⇒ ConocoPhillips (COP) [ST]		None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ ConocoPhillips (COP) [ST]		None	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Consolidated Edison, Inc. (ED) [ST]		None	Dividends	None	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Control4 Corporation (CTRL) [ST]		None	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Inherited IRA from late mother in 2018.					
Merrill Lynch- Advisor Discretion Account ⇒ Corning Incorporated (GLW) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Corning Incorporated (GLW) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Costco Wholesale Corporation (COST) [ST]		None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Costco Wholesale Corporation (COST) [ST]		None	Dividends	\$1 - \$200	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Crown Holdings, Inc. (CCK) [ST]		None	Capital Gains	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Dana Incorporated (DAN) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ DowDuPont Inc. (DWDP) [ST]		None	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Inherited IRA from late mother in 2018.					
Merrill Lynch- Advisor Discretion Account ⇒ Eli Lilly and Company (LLY) [ST]		None	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Eli Lilly and Company (LLY) [ST]		None	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ General Motors Company (GM) [ST]		None	Capital Gains	\$2,501 - \$5,000	<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>
Merrill Lynch- Advisor Discretion Account ⇒ General Motors Company (GM) [ST]		None	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Halliburton Company (HAL) [ST]		None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Intel Corporation (INTC) [ST]		None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Intel Corporation (INTC) [ST]		None	Tax-Deferred		<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Intel Corporation (INTC) [ST]		None	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ International Business Machines Corporation (IBM) [ST]		None	Dividends	None	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ International Business Machines Corporation (IBM) [ST]		None	Tax-Deferred		<input checked="" type="checkbox"/>
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 ⇒ INTL PAPER CO [GS]		None	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ iShares Global Comm Services ETF (IXP) [ST]		None	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Inherited IRA from late mother in 2018.					
Merrill Lynch- Advisor Discretion Account ⇒ iShares TIPS Bond ETF (TIP) [ST]		\$100,001 - \$250,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
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]		None	Tax-Deferred		<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>
DESCRIPTION: Inherited IRA from late mother in 2018.					
Merrill Lynch- Advisor Discretion Account ⇒ JPMorgan Chase Capital XVI JP Morgan Alerian MLP ETN (AMJ) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Medtronic plc. Ordinary Shares (MDT) [ST]		None	Dividends	\$1 - \$200	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Merck & Company, Inc. Common Stock (MRK) [ST]		None	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Merck & Company, Inc. Common Stock (MRK) [ST]		None	Capital Gains	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Micron Technology, Inc. (MU) [ST]		None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Microsoft Corporation (MSFT) [ST]		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ NextEra Energy, Inc. (NEE) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ NVIDIA Corporation (NVDA) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ NVIDIA Corporation (NVDA) [ST]		\$50,001 - \$100,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Oracle Corporation Ordinary Shares (OCLCF) [ST]		None	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Inherited IRA from late mother in 2018.					
Merrill Lynch- Advisor Discretion Account ⇒ Pacific Gas & Electric Co. (PCG) [ST]		None	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Inherited IRA from late mother in 2018.					
Merrill Lynch- Advisor Discretion Account ⇒ Pfizer, Inc. (PFE) [ST]		None	Dividends	\$1 - \$200	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Pfizer, Inc. (PFE) [ST]		None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒		None	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Regeneron Pharmaceuticals, Inc. (REGN) [ST]					
Merrill Lynch- Advisor Discretion Account ⇒ 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 ⇒ Superior Industries International, Inc. Common Stock (SUP) [ST]		None	Tax-Deferred		<input checked="" type="checkbox"/>
DESCRIPTION: Inherited IRA from late mother in 2018.					
Merrill Lynch- Advisor Discretion Account ⇒ Superior Industries International, Inc. Common Stock (SUP) [ST]		None	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ TE Connectivity Ltd. New Switzerland Registered Shares (TEL) [ST]		None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Texas Instruments Incorporated (TXN) [ST]		None	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Texas Instruments Incorporated (TXN) [ST]		None	Capital Gains	\$1 - \$200	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ United Rentals, Inc. (URI) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ United Rentals, Inc. (URI) [ST]		\$50,001 - \$100,000	Dividends	None	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Verizon Communications Inc. (VZ) [ST]		None	Dividends	\$201 - \$1,000	<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 ⇒ Verizon Communications Inc. (VZ) [ST]		None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Walmart Inc. (WMT) [ST]		None	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Walmart Inc. (WMT) [ST]		None	Dividends	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Merrill Lynch- Advisor Discretion Account ⇒ Walmart Inc. (WMT) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Inherited IRA from late mother in 2018.					
Merrill Lynch- Advisor Discretion Account ⇒ Waste Management, Inc. (WM) [ST]		\$50,001 - \$100,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Weyerhaeuser Company (WY) [ST]		None	Capital Gains	\$1,001 - \$2,500	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Weyerhaeuser Company (WY) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Winnebago Industries, Inc. (WGO) [ST]		None	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Winnebago Industries, Inc. (WGO) [ST]		None	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Naples Vanderbilt Investors, LLC [RP]		\$1,001 - \$15,000	Rent	\$1 - \$200	<input type="checkbox"/>
LOCATION: Naples , FL, US					
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 ⇒ Apple Inc. (AAPL) [ST]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ Beyond Meat, Inc. - Common stock (BYND) [ST]		None	Tax-Deferred		<input checked="" type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ CrowdStrike Holdings, Inc. - Class A (CRWD) [ST]		None	Tax-Deferred		<input checked="" type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ Fidelity Government Cash Reserves [MF]		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ Lyft, Inc. - Class A (LYFT) [ST]		None	Tax-Deferred		<input checked="" type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ NVIDIA Corporation (NVDA) [ST]		None	Tax-Deferred		<input checked="" type="checkbox"/>
National Securities- Advisor Discretion Account ⇒		None	Tax-Deferred		<input checked="" type="checkbox"/>



Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Square, Inc. Class A (SQ) [ST]					
National Securities- Advisor Discretion Account ⇒ Walt Disney Company (DIS) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Phillipsburg Holdings LLC, 7% Interest [OL]		\$100,001 - \$250,000	Rent	None	<input type="checkbox"/>
LOCATION: West Orange , NJ, US DESCRIPTION: Minority interest in LLC holding rental property in West Orange, New Jersey.					
RUVO Realty LLC, 100% Interest [OL]		\$100,001 - \$250,000	Rent	None	<input type="checkbox"/>
LOCATION: Nassau, NY, US DESCRIPTION: Office Space for rent starting Jan 1, 2020					
SGC Commerical II, LLC [RP]		\$15,001 - \$50,000	None		<input type="checkbox"/>
LOCATION: Sarasota , FL, US DESCRIPTION: Real Estate Development project. Sole Asset is in Sarasota, Florida.					
Southampton Country Day Camp LLC [RP]		None	Ordinary Business Income	None	<input type="checkbox"/>
LOCATION: Southhampton/Suffolk, NY, US DESCRIPTION: Minority interest in this entity which operates a day camp located in South Hampton, New York.					
Southampton Day Camp Realty LLC [RP]		\$50,001 - \$100,000	Rent	\$201 - \$1,000	<input type="checkbox"/>
LOCATION: Southampton/Suffolk, NY, US DESCRIPTION: Rental property located in South Hampton, New York as a sole asset.					
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 [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?
Damen Warehouse Owners, LLC, 6%, 6% Interest [OL]  LOCATION: Delaware, DE, US DESCRIPTION: warehouse held in llc sold in 2019	12/31/2019	S	\$250,001 - \$500,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Advanced Micro Devices, Inc. (AMD) [ST]  DESCRIPTION: Purchased and sold in the same year	01/29/2019	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ Advanced Micro Devices, Inc. (AMD) [ST]	10/17/2019	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Advanced Micro Devices, Inc. (AMD) [ST]	11/18/2019	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ American Express Company (AXP) [ST]	11/12/2019	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ Apple Inc. (AAPL) [ST]	05/13/2019	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ Apple Inc. (AAPL) [ST]	10/17/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Apple Inc. (AAPL) [ST]	11/18/2019	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ AT&T Inc. (T) [ST]	02/21/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Boeing Company (BA) [ST]	05/13/2019	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ Boeing Company (BA) [ST]  DESCRIPTION: Purchased and sold within the same year	07/29/2019	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Boeing Company (BA) [ST]	05/13/2019	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ Boeing Company (BA) [ST]	07/30/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Merrill Lynch- Advisor Discretion Account ⇒ Boeing Company (BA) [ST]	08/21/2019	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ Bristol-Myers Squibb Company (BMY) [ST]	04/8/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Caterpillar, Inc. (CAT) [ST]	05/8/2019	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ Caterpillar, Inc. (CAT) [ST]	03/5/2019	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ Caterpillar, Inc. (CAT) [ST]	06/18/2019	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Caterpillar, Inc. (CAT) [ST]	06/18/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Chevron Corporation (CVX) [ST]	10/21/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Cigna Corporation (CI) [ST]	05/8/2019	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ Cigna Corporation (CI) [ST]	04/12/2019	P	\$50,001 - \$100,000	
Merrill Lynch- Advisor Discretion Account ⇒ Cigna Corporation (CI) [ST]	11/18/2019	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Cisco Systems, Inc. (CSCO) [ST]	10/17/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Citigroup, Inc. (C) [ST]	01/25/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Citigroup, Inc. (C) [ST]	01/25/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ ConocoPhillips (COP) [ST]	11/12/2019	P	\$1,001 - \$15,000	
DESCRIPTION: Purchased and sold within the year				

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Merrill Lynch- Advisor Discretion Account ⇒ ConocoPhillips (COP) [ST]	11/18/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ ConocoPhillips (COP) [ST]	04/8/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Control4 Corporation (CTRL) [ST]	01/25/2019	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ Control4 Corporation (CTRL) [ST]	05/13/2019	S	\$50,001 - \$100,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Control4 Corporation (CTRL) [ST]	05/13/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Control4 Corporation (CTRL) [ST]	05/23/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Corning Incorporated (GLW) [ST]	05/11/2019	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ Corning Incorporated (GLW) [ST]	05/8/2019	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ Corning Incorporated (GLW) [ST]	11/12/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Corning Incorporated (GLW) [ST]	08/19/2019	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ Corteva, Inc. (CTVA) [ST]	08/23/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Costco Wholesale Corporation (COST) [ST]	06/18/2019	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Crown Holdings, Inc. (CCK) [ST]	09/24/2019	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Crown Holdings, Inc. (CCK) [ST]	10/17/2019	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Dana Incorporated (DAN) [ST]	11/15/2019	P	\$1,001 - \$15,000	

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Merrill Lynch- Advisor Discretion Account ⇒ Deere & Company (DE) [ST] DESCRIPTION: Purchased and sold within the year	05/13/2019	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ Deere & Company (DE) [ST]	06/6/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Dow Inc. (DOW) [ST]	08/21/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ DowDuPont Inc. (DWDP) [ST] DESCRIPTION: Purchased and sold within the year	03/5/2019	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ DowDuPont Inc. (DWDP) [ST]	03/29/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ DuPont de Nemours, Inc. (DD) [ST]	08/23/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Eli Lilly and Company (LLY) [ST]	11/18/2019	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Encana Corporation (ECA) [ST]	11/12/2019	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ Encana Corporation (ECA) [ST]	11/18/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ General Motors Company (GM) [ST]	09/16/2019	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ General Motors Company (GM) [ST]	09/16/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Halliburton Company (HAL) [ST]	09/24/2019	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ Halliburton Company (HAL) [ST]	11/18/2019	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Intel Corporation (INTC) [ST]	06/18/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Merrill Lynch- Advisor Discretion Account ⇒ Intel Corporation (INTC) [ST]	06/18/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Intel Corporation (INTC) [ST]	05/23/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Intel Corporation (INTC) [ST]	01/24/2019	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ International Business Machines Corporation (IBM) [ST]	01/24/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ International Paper Company (IP) [ST]	05/2/2019	S	\$50,001 - \$100,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ International Paper Company (IP) [ST]	11/15/2019	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ iShares Global Comm Services ETF (IXP) [ST]	01/24/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ iShares TIPS Bond ETF (TIP) [ST]	11/18/2019	P	\$100,001 - \$250,000	
Merrill Lynch- Advisor Discretion Account ⇒ Johnson & Johnson (JNJ) [ST]	10/21/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Medtronic plc. Ordinary Shares (MDT) [ST]	01/14/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Merck & Company, Inc. Common Stock (MRK) [ST]	11/18/2019	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Micron Technology, Inc. (MU) [ST]	03/29/2019	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ Micron Technology, Inc. (MU) [ST]	04/8/2019	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ NextEra Energy, Inc. (NEE) [ST]	01/7/2019	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒	07/29/2019	P	\$15,001 - \$50,000	

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
NVIDIA Corporation (NVDA) [ST]				
Merrill Lynch- Advisor Discretion Account ⇒ NVIDIA Corporation (NVDA) [ST]	01/14/2019	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ NVIDIA Corporation (NVDA) [ST]	01/29/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ NVIDIA Corporation (NVDA) [ST]	11/15/2019	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ Oracle Corporation Ordinary Shares (OCLCF) [ST]	10/21/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Pacific Gas & Electric Co. (PCG) [ST]	01/7/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Pfizer, Inc. (PFE) [ST]	04/8/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Regeneron Pharmaceuticals, Inc. (REGN) [ST]	05/2/2019	P	\$50,001 - \$100,000	
Merrill Lynch- Advisor Discretion Account ⇒ Regeneron Pharmaceuticals, Inc. (REGN) [ST]	09/16/2019	S	\$50,001 - \$100,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Superior Industries International, Inc. Common Stock (SUP) [ST]	03/29/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Superior Industries International, Inc. Common Stock (SUP) [ST]	01/2/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ TE Connectivity Ltd. New Switzerland Registered Shares (TEL) [ST]	01/14/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Texas Instruments Incorporated (TXN) [ST]	03/5/2019	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ Texas Instruments Incorporated (TXN) [ST]	04/8/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>

<b>Asset</b>	<b>Owner Date</b>	<b>Tx. Type</b>	<b>Amount</b>	<b>Cap. Gains &gt; \$200?</b>
Merrill Lynch- Advisor Discretion Account ⇒ Texas Instruments Incorporated (TXN) [ST]	06/18/2019	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ United Rentals, Inc. (URI) [ST]	08/21/2019	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ United Rentals, Inc. (URI) [ST]	05/23/2019	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ Verizon Communications Inc. (VZ) [ST]	06/18/2019	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Verizon Communications Inc. (VZ) [ST]	06/18/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Walmart Inc. (WMT) [ST]	06/18/2019	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Walmart Inc. (WMT) [ST]	06/18/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Weyerhaeuser Company (WY) [ST]	02/25/2019	P	\$15,001 - \$50,000	
Merrill Lynch- Advisor Discretion Account ⇒ Weyerhaeuser Company (WY) [ST]	05/8/2019	S	\$50,001 - \$100,000	<input type="checkbox"/>
Merrill Lynch- Advisor Discretion Account ⇒ Weyerhaeuser Company (WY) [ST]	02/21/2019	P	\$1,001 - \$15,000	
Merrill Lynch- Advisor Discretion Account ⇒ Winnebago Industries, Inc. (WGO) [ST]	04/8/2019	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ Apple Inc. (AAPL) [ST]	07/8/2019	P	\$15,001 - \$50,000	
National Securities- Advisor Discretion Account ⇒ Beyond Meat, Inc. - Common stock (BYND) [ST]	08/20/2019	P	\$15,001 - \$50,000	
National Securities- Advisor Discretion Account ⇒ Beyond Meat, Inc. - Common stock (BYND) [ST]	09/24/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ CrowdStrike Holdings, Inc. - Class A (CRWD) [ST]	07/26/2019	P	\$15,001 - \$50,000	



Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
National Securities- Advisor Discretion Account ⇒ CrowdStrike Holdings, Inc. - Class A (CRWD) [ST]	12/2/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ Lyft, Inc. - Class A (LYFT) [ST]	07/8/2019	P	\$1,001 - \$15,000	
National Securities- Advisor Discretion Account ⇒ Lyft, Inc. - Class A (LYFT) [ST]	08/5/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ NVIDIA Corporation (NVDA) [ST]	07/8/2019	P	\$15,001 - \$50,000	
National Securities- Advisor Discretion Account ⇒ NVIDIA Corporation (NVDA) [ST]	12/2/2019	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ Square, Inc. Class A (SQ) [ST]	08/20/2019	P	\$15,001 - \$50,000	
National Securities- Advisor Discretion Account ⇒ Square, Inc. Class A (SQ) [ST]	12/2/2019	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
National Securities- Advisor Discretion Account ⇒ Walt Disney Company (DIS) [ST]	11/13/2019	P	\$1,001 - \$15,000	

\* 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	Spouse Insurance Commissions	\$27,744.00

### 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

- o Allianz- Qualified IRA
- o AXA Investments- IRA Account (Owner: SP)
- o Merrill Lynch- Advisor Discretion Account  
LOCATION: US  
DESCRIPTION: Advisor Discretion Account under control of asset manager.
- o Merrill Lynch- Advisor Discretion Account
- o National Securities- Advisor Discretion Account
- o 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 , 08/13/2020