

Board Member David Prouty Recusal List

September 13, 2021

Scope: Former Clients and Former Employers (See list below)
Source: Ethics Pledge
Duration: Two Years from Appointment – August 28, 2021 through August 28, 2023

Note: After the Ethics Pledge Period expires, it is still appropriate to consider whether participation in a case in which an entity that appears on this list is a party or representative would raise appearance concerns.

- SEIU Local 32BJ
- Outstanding and Unique Resources for (O.U.R.) Upper Nyack Kids, Inc.
- Major League Baseball Players Association Players Trust

Recused From:

Refuah Health Center, Inc.

Source of Obligation:

278e Nominee Report

Duration:

Recusal is required while Member Prouty's spouse is employed by the Refuah Health Center, Inc.

Scope: Financial Interests
Source: 278e Nominee Report
Duration: Recusal is required as long as these assets exceed the regulatory exemption of \$15,000.

- Aegon Funding Company, LLC.
- Affiliated Managers Group
- American Financial Group Inc.
- American International Group Inc.
- B Riley Financial Inc.
- Blackstone REIT CL I NSA
- Bighthouse Financial Inc.
- Broadmark Realty Capital Inc.
- Brookfield Property Partners
- Brunswick Corp
- Cardinal Health Inc.
- Discover Financial Services
- Dow Chemical, Inc.
- Draftkings, Inc.
- Eagle Point Credit Company
- Equitable Holdings, Inc.
- Gabelli Dividend & Income Trust
- Gladstone Investment Corp.

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- Jefferies Group
- Innovative Industrial Properties
- MetLife Inc.
- National Storage Affiliates Trust
- Oaktree Cap Group LLC
- OFS Capital Corporation
- Priority Income Fund, Inc.
- Prudential
- SL Green Operating Partnership LP
- Stifel Financial Corp.
- The Travelers Companies, Inc.
- TJX Companies, Inc.
- Western Alliance Bancorp

The Ethics Office will update this list as new recusal obligations are identified, including as part of the yearly financial disclosure review process.

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