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FLORIDA
COMMISSION ON ETHICS

JUN 24 2019

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Hon Lori Berman
State Senator; District 31
Senate
Elected Constitutional Officer
301
120 N Ocean Blvd
Delray Beach, FL 33483-7013

PROCESSED

ID Code



ID No. 234991

Conf. Code

Berman, Lori

CHECK IF THIS IS A FILING BY A CANDIDATE ☐

PART A -- NET WORTH

Please enter the value of your net worth as of December 31, 2018 or a more current date. [Note: Net worth is not calculated by subtracting your *reported* liabilities from your *reported* assets, so please see the instructions on page 3.]My net worth as of June 1, 20 19 was \$ 2,545,114.45.

PART B -- ASSETS

HOUSEHOLD GOODS AND PERSONAL EFFECTS:

Household goods and personal effects may be reported in a lump sum if their aggregate value exceeds \$1,000. This category includes any of the following, if not held for investment purposes: jewelry; collections of stamps, guns, and numismatic items; art objects; household equipment and furnishings; clothing; other household items; and vehicles for personal use, whether owned or leased.

The aggregate value of my household goods and personal effects (described above) is \$ 150,000.

ASSETS INDIVIDUALLY VALUED AT OVER \$1,000:

DESCRIPTION OF ASSET (specific description is required - see instructions p.4)

VALUE OF ASSET

See Attached Part B Assets\$3,189,848.45

PART C -- LIABILITIES

LIABILITIES IN EXCESS OF \$1,000 (See instructions on page 4):

NAME AND ADDRESS OF CREDITOR

AMOUNT OF LIABILITY

Comerica Bank, One South Federal Highway, Boca Raton, FL 33432\$370,217Lexus Financial Services, P.O. Box 5855, Carol Stream, IL 60197\$871Select Portfolio Servicing, P.O. Box 65250, Salt Lake City, UT 84165\$319,020Wells Fargo, 5355 Town Center Rd, Boca Raton, FL 33486\$84,626

JOINT AND SEVERAL LIABILITIES NOT REPORTED ABOVE:

NAME AND ADDRESS OF CREDITOR

AMOUNT OF LIABILITY

PART D -- INCOME

Identify each separate source and amount of income which exceeded \$1,000 during the year, including secondary sources of income. Or attach a complete copy of your 2018 federal income tax return, including all W2s, schedules, and attachments. Please redact any social security or account numbers before attaching your returns, as the law requires these documents be posted to the Commission's website.

- ☐ I elect to file a copy of my 2018 federal income tax return and all W2's, schedules, and attachments.
[If you check this box and attach a copy of your 2018 tax return, you need not complete the remainder of Part D.]

PRIMARY SOURCES OF INCOME (See instructions on page 5):

NAME OF SOURCE OF INCOME EXCEEDING \$1,000	ADDRESS OF SOURCE OF INCOME	AMOUNT
See Attached Part D Income		\$81,772

SECONDARY SOURCES OF INCOME [Major customers, clients, etc., of businesses owned by reporting person--see instructions on page 5]:

NAME OF BUSINESS ENTITY	NAME OF MAJOR SOURCES OF BUSINESS INCOME	ADDRESS OF SOURCE	PRINCIPAL BUSINESS ACTIVITY OF SOURCE

PART E -- INTERESTS IN SPECIFIED BUSINESSES [Instructions on page 6]

	BUSINESS ENTITY # 1	BUSINESS ENTITY # 2	BUSINESS ENTITY # 3
NAME OF BUSINESS ENTITY			
ADDRESS OF BUSINESS ENTITY			
PRINCIPAL BUSINESS ACTIVITY			
POSITION HELD WITH ENTITY			
I OWN MORE THAN A 5% INTEREST IN THE BUSINESS			
NATURE OF MY OWNERSHIP INTEREST			

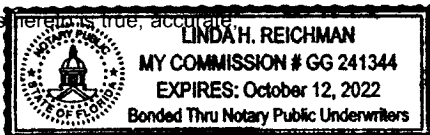
PART F - TRAINING

For officers required to complete annual ethics training pursuant to section 112.3142, F.S.

☒ I CERTIFY THAT I HAVE COMPLETED THE REQUIRED TRAINING.

OATH

I, the person whose name appears at the beginning of this form, do depose on oath or affirmation and say that the information disclosed on this form and any attachments hereon is true, accurate and complete.



STATE OF FLORIDA
COUNTY OF PALM BEACH

Sworn to (or affirmed) and subscribed before me this 17th day of

June, 2019 by LORI BORMAN

Linda H. Reichman
(Signature of Notary Public--State of Florida)

LINDA H. REICHMAN
(Print, Type, or Stamp Commissioned Name of Notary Public)

Personally Known ☒ OR Produced Identification ☐

Type of Identification Produced N/A

Lori Borman
SIGNATURE OF REPORTING OFFICIAL OR CANDIDATE

If a certified public accountant licensed under Chapter 473, or attorney in good standing with the Florida Bar prepared this form for you, he or she must complete the following statement:

I, _____, prepared the CE Form 6 in accordance with Art. II, Sec. 8, Florida Constitution, Section 112.3144, Florida Statutes, and the instructions to the form. Upon my reasonable knowledge and belief, the disclosure herein is true and correct.

Signature

Date

Preparation of this form by a CPA or attorney does not relieve the filer of the responsibility to sign the form under oath.

IF ANY OF PARTS A THROUGH E ARE CONTINUED ON A SEPARATE SHEET, PLEASE CHECK HERE ☐

Lori Berman

Form 6, Part B Assets, Page 1

Co-op, 120 N. Ocean Boulevard #301, Delray Beach, FL	\$485,000
Single Family Home, 2365 NW 46 th Street, Boca Raton, FL`	\$1,500,000
Townhome, 3657 NW 5th Terrace, Boca Raton, FL	\$375,000
Bank of America Accounts	\$46,190
Comerica Bank Account	\$1876
Thor 519 Fulton Street Member LLC, NY	\$85,000
Supply Clinic Preferred Stock, Chicago, IL	\$25,000
Body Details, LLC, FL	\$75,000
Closely held business, Comprehensive Closure Concepts, Inc. FL	\$1,000
Closely held business, GBL, LLC	\$10,000 (1)
Trust, Ganeles Irrevocable Trust	\$0 (2)
Recreation Lease Joint Venture, Royal Palm, Margate, FL	\$50,000
Wells Fargo Accounts, portfolio attached	\$535,782.65

(1) Based on market value of sole asset minus mortgage (condo 110 Carriage Way Snowmass CO)

(2) Determined based on cash surrender value of sole asset owned by trust (insurance policy)

Account ending in [REDACTED] total: \$36,375.33

Cash \$743.99

Stocks options and ETF's total: \$7498.29

Ishares ETF:

Short-term treasury bond, SHV \$1106.10

ESG MSCI EM ESGE \$1398.79

ESG MSCI ESG ESGD \$1051.79

MSCI USA Optimized ESGU \$3941.60

Mutual Funds total: \$28,133.06

Calvert Emerging Markets CVMIX \$1747.54

Calvert Equity Fund CEYIX \$3016.19

Domini Funds DOMOX \$1065.12

Eaton Vance Ser II EIBIX \$1078.23

MFS Ser TR I MEIIX \$1441.72

MFS Ser Tr X MEDIX \$1812.53

Principal Global Real POSIX \$733.21

JPMorgan TR I VSSEIX \$2524.51

Parnassus Funds PFPMPX \$2536.04

PIMCO Total Return \$4062.73

TIAA Cref FDS TSBIX \$8115.24

Account ending in [REDACTED] total: \$76,033.52

Cash \$2563.16

Stocks and EFT total: \$50,406.95

Alibaba GRP Holding BABA \$2089.64

Amazon Com AMZN \$5325.21

Apple Inc AAPL \$5252.10

Berkshire Hathaway BRK/B \$7896.80

First Trust EFT FBT \$2566

Gilead Sciences, Inc. GILD \$3112.50

Proshares S&P 500 ETF NOBL \$8141.25

Select Sector Utilities Select XLU \$5825

Select Sector Health Care XLV \$2182

SPDR Gold Trust ETF GLD \$8016.45

Mutual Funds total: \$23063.41

American Century AMKIX \$7486.08

Delaware Healthcare FD DLHIX \$6866.16

Franklin Global TR FNGZX \$8711.17

Account ending in [REDACTED]

Cash \$954.35

Account ending in [REDACTED]

Cash \$.02

Account ending in [REDACTED]

Cash \$336.78

Account ending in [REDACTED] total: \$422,082.65

Cash \$22,876.06

Stocks & EFTs total: \$307,837.28

Amazon Com Inc AMZN \$15,975.63

Apple Inc AAPL \$17,507

Berkshire Hathaway Inc BRK/B \$33,561.40

Danaher Corp DHR \$15,841.20

Disney Walt DIS \$13,204

Exxon Mobile Corp XOM \$10615.507

Facebook Inc FB \$4436.75

First Trust ETF FBT \$8981

First Trust Energy ETF FXN \$13,325

Fortive Corp FTV \$2208.35

Goldman Sachs Acess ETF GBIL \$20,064

Intel Corp INTC \$13,212

IShares ET Aerospace ITA \$16,155.20

Pfizer Inc PFE \$9342

Proshares S&P 500 ETF NOBL \$39,078

Select Sector Spdr ETF XLU \$29,125

Select Secort Spd ETF XLV \$17,456

Spdr Gold Trust ED GLD \$27,749.25

Mutual Funds total: \$91,369.31

American Century Cap ACIIX \$21,241.49

American Century AMKIX \$26,926.36

Brookfield Funds CCCNX \$29,339.70

Thornburg Inv Mgmt TINGX \$13,861.77

Lori Berman
Form 6
Part D
Income

Lori Berman
Disclosure of Income
2018

Primary Sources of Income:

Name of Source of Income Exceeding \$1,000	Ownership	Address of Source of Income	Amount	
State of Florida - Wages	Lori	State of Florida Chief Financial Officer 200 E. Gaines Street Tallahassee, FL 32399-0356	\$26,646	
Comprehensive Closure Concepts - Wages	Lori	Comprehensive Closure Concepts 2365 NW 46th Street Boca Raton, FL 33431	\$10,000	
Wells Fargo Brokerage Accounts - Interest Income	Joint	Wells Fargo Clearing Services, LLC 2801 Market Street St. Louis, MO 63103	Did not exceed \$1,000	
Wells Fargo Brokerage Accounts - Dividends/Capital Gain Distributions	Joint	Wells Fargo Clearing Services, LLC 2801 Market Street St. Louis, MO 63103	\$7,098	
Wells Fargo Brokerage Accounts - Short Term/Long Term Capital Gains (Losses)	Joint	Wells Fargo Clearing Services, LLC 2801 Market Street St. Louis, MO 63103	Overall Net Loss	
Residential Rental - <i>Tenants Christopher & Elizabeth Norris</i>	Joint	3657 NW 5th Terrace Boca Raton, FL 33431	\$30,000 Gross Rents Overall Net Loss	
Pass-through Income from Partnership	Lori	Recreation Lease Joint Venture 3822 N. 41st avenue Hollywood, FL 33021	\$8,028	
Pass-through Income from Partnership	Joint	Thor 519 Fulton Street Member 25 West 39th Street, 11th Fl. New York, NY 10018	Distributive Share not expected to exceed \$1,000	Estimate K-1 not yet issued.
Pass-through Income from Partnership	Joint	Body Details LLP 170 NE 2nd Street, Unit 1469 Boca Raton, FL 33462 New York, NY 10080	Distributive Share did not exceed \$1,000	
Pass-through Income from Partnership	Joint	Invesco DB US Dollar Index Bearish Fund 3500 Lacey Rd., Suite 700 Downers Grove, IL 60515	Distributive Share did not exceed \$1,000	
Pass-through Income from S Corp	Lori	Comprehensive Closure Concepts 2365 NW 46th Street Boca Raton, FL 33431	Distributive Share did not exceed \$1,000	