

FOR OFFICE USE ONLY:

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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



FLORIDA
COMMISSION ON ETHICS

JUN 14 2021

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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, 2020 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 21 was \$ 3,309,261.

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

3,539,747

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

375,437

Volvo Car Financial Services, P.O. Box 91300, Mobile, AL 36691

5,049

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 2020 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 2020 federal income tax return and all W2's, schedules, and attachments.
[If you check this box and attach a copy of your 2020 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		103,787

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

This section applies only to officers required to complete annual ethics training pursuant to section 112.3142, F.S. [See instructions p. 6]

☐ 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 hereto is true, accurate, and complete.

STATE OF FLORIDA

COUNTY OF Palm Beach

Sworn to (or affirmed) and subscribed before me by means of

☒ physical presence or ☐ online notarization, this 7 day ofJune 9, 2021 by(Signature of Notary Public - State of Florida) Rebecca Gertrude TalasnikREBECCA GERTRUDE TALASNIK
Notary Public - State of Florida(Print, Type or Stamp Commissioned Name of Notary Public)
Commission # HH 054784
My Comm. Expires Feb 14, 2025Personally Known ☒ OR Produced Identification ☐

Type of Identification Produced _____

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	\$1,750,000
Bank of America Accounts	\$28,280
Comerica Bank	\$4752
Thor, 519 Fulton Street Member, LLC	\$85,000
Supply Clinic, Stock, Chicago	\$50,000
Body Details, LLC, Miami, FL	\$75,000
Access Elite, PBC, Convertible Promissory Note	\$50,000
Closely held business, Comprehensive Closure Concepts, Inc.	\$1000(1)
Closely held business, GBL, LLC	\$126,000(2)
Trust, Ganeles Irrevocable Trust Agreement	\$69,000(3)
Recreational Lease Joint Venture, Royal Palm, Margate, FL	\$50,000
Volvo S60	-\$860
Morgan Stanley Accounts , portfolio attached	\$766,575

(1) Determined based on book value

(2) Based on market value of sole asset (condo 110 Carriage Way, Snowmass, Colorado) minus mortgage

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

(4) Based on blue book value (\$29,047) minus residual value (\$30,863)

Morgan Stanley Accounts:

Cash	\$88,701
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Stocks

• Airbnb Inc CL A ABNB	\$26,089
• Amazon Com Inc AMZN	\$31,980
• American Express Co AXP	\$24,888
• Apple, Inc. AAPL	\$17,248
• Berkshire Hathaway CL-B BRK'B	\$21,709
• Boeing Co BA	\$18,949
• Coca Cola Co KO	\$8,406
• Coinbase global Inc CL A COIN	\$13,887
• Constellation Brands Inc CL A STZ	\$17,931
• Draftkings In CL A DKNB	\$18,729
• Johnson & Johnson JNJ	\$16,484
• Microsoft Corp. MSFT	\$12,691
• Netflix Inc NFLX	\$24,733
• NVidia Corp NVDA	\$21,142
• Paypal holdings Inc Com PYPL	\$13,030
• Straumann Hldg AG ADR SAUHY	\$20,700
• Walt Disney Co HLDG CO DIS	\$8,850

Mutual Funds

• Alger Small Cap Focus Z AGOZX	\$11,641
• Delaware SNID CAP Growth Inst DFDIX	\$13,483
• Doubleline Total Return I DBTX	\$25,559
• Invesco short Term Muni Y ORSYX	\$14,580
• PGIM JENN GLBL Opportunities Z PRJZX	\$12,536
• PGIM Short Term Corp Bond Z PIFZX	\$10,389
• PIMCO Income Inst. PIMIX	\$5,544

ETFs/CEFs

• ALPS ETF TRUST-ALPS Medical SBIO	\$16,886
• Emerging Mkts Internet & EC EMQQ	\$3,082
• First Trust Capital Strenght ETF FTCS	\$34,165
• First Trust GBL Tactical STg F FTGC	\$29,305

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Form 6, Part B Assets, Page 3

• First Trust Indxx NextG ETF NXTG	\$17,222
• Goldman Sachs Access TRE 0-1-Y GBIL	\$7,509
• FY Nasdaq Cybersecur ETF CIBR	\$13,392
• Invesco S&P 500 Equal Weight T RYT	\$16,872
• IShares Silver shares SLV	\$45,281
• Proshare TR S&P 500 DV ARIST NOBL	\$3,697
• Spdr gold TR Gold SHS GLD	\$31,093
• Vaneck Vectors Gold Miners E GDX	\$13,513
• Vanguard Health Care ETF VHT	\$19,155
• Vanguard Index FDS S&P 500 ETF VOO	\$15, 527

Lori Berman
Disclosure of Income
2020

*Lori Berman, Form 1041, Part D
Income*

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	Federal Taxable Wages
Comprehensive Closure Concepts - Wages		Lori	Comprehensive Closure Concepts 2365 NW 46th Street Boca Raton, FL 33431		\$13,000	Federal Taxable Wages
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		\$4,709	
Wells Fargo Brokerage Accounts - Short Term/Long Term Capital Gains (Losses)		Joint	Wells Fargo Clearing Services, LLC 2801 Market Street St. Louis, MO 63103		46,491	
Pass-through Income from Partnership		Lori	Recreation Lease Joint Venture 3822 N. 41st Avenue Hollywood, FL 33021		\$8,575	
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 not expected to exceed \$1,000	Estimate K-1 not yet issued.
Pass-through Income from S Corp		Lori	Comprehensive Closure Concepts 2365 NW 46th Street Boca Raton, FL 33431		\$4,366	