

STATEMENT OF FINANCIAL INTEREST

State/District officials file with:
John Thurston, Secretary of State
500 Woodlane Street
Little Rock, AR 72201
Phone (501) 682-5070
Fax (501) 682-3548

Calendar year covered 2023
(Note: Filing covers the previous calendar year)

For assistance in completing
this form contact:
Arkansas Ethics Commission
Phone (501) 324-9600
Toll Free (800) 422-7773

Is this an amendment? Yes No

Please provide complete information. If the information requested in a particular section does not apply to you, indicate such by noting "Not Applicable" in that section. Do not leave any part of this form blank. If additional space is needed, you may attach the information to this document. Do not file this form with the Arkansas Ethics Commission.

SECTION 1- NAME AND ADDRESS

Name Greenbaum DAVID (NMN)
(Last) (First) (Middle)
Address 26700 Kanis Road Little Rock AR 72223-9592
(Street or P.O. Box Number) (City) (State) (Zip Code)
Phone 501 682-2505
Spouse's name Greenbaum POLLY ANN
(Last) (First) (Middle)
All names under which you and/or your spouse do business: _____
N/A

SECTION 2- REASON FOR FILING

- Public Official _____
(office held)
- Candidate _____
(office sought)
- District Judge _____
(name of district)
- City Attorney _____
(name of city)
- State Government: Agency Head/Department Director/Division Director CEO Arkansas Workers Compensation Comm
(name of agency/department/division)
- Chief of Staff or Chief Deputy _____
(name of Constitutional Officer, Senate, or House of Representatives)
- Public appointee to State Board or Commission _____
(name of board/commission)
- School Board member _____
(name of school district)
- Candidate for school board _____
(name of school district)
- Public or Charter School Superintendent _____
(name of school district/school)
- Executive Director of Education Service Cooperative _____
(name of cooperative)
- Advertising and Promotion Commission member _____
(name of advertising and promotion commission)
- Research Park Authority Board member under A.C.A. § 14-144-201 et seq. _____
(name of research park authority board)

FILED

JAN 10 2024

**Arkansas
Secretary of State**

SECTION 2- REASON FOR FILING (continued)

- Appointee to one of the following municipal, county or regional boards or commissions (list name of board or commission):
- Planning board or commission _____
 - Airport board or commission _____
 - Water or Sewer board or commission _____
 - Utility board or commission _____
 - Civil Service commission _____

SECTION 3- SOURCE OF INCOME

List each employer and/or each other source of income from which you, your spouse, or any other person for the use or benefit of you or your spouse receives gross income amounting to more than \$1,000. (You are not required to disclose the individual items of income that constitute a portion of the gross income of the business or profession from which you or you spouse derives income. For example: accountants, attorneys, farmers, contractors, etc. do not have to list their individual clients.) If you receive gross income exceeding \$1,000 from at least one source, the answer N/A is not correct.

- a) Check appropriate box: More than \$1,000 More than \$12,500

Arkansas Workers Compensation Commission (A Division of the Department of Labor & Licensing)

_____ (name of employer or source of income)

324 s. Spring Street Little Rock, AR 72203-0950

_____ (address)

DAVID GREENBAUM

_____ (name under which income received)

Provide a brief description of the nature of the services for which the compensation was received _____

Chief Executive Officer (a/k/a Director) of Agency under Department of Labor & Licensing

- b) Check appropriate box: More than \$1,000 More than \$12,500

Spouse (Polly Greenbaum) Unemployed/Retired

_____ (name of employer or source of income)

_____ (address)

_____ (name under which income received)

Provide a brief description of the nature of the services for which the compensation was received _____

- c) Check appropriate box: More than \$1,000 More than \$12,500

_____ (name of employer or source of income)

_____ (address)

_____ (name under which income received)

Provide a brief description of the nature of the services for which the compensation was received _____

SECTION 4- BUSINESS OR HOLDINGS

List the name of every business in which you, your spouse or any other person for the use or benefit of you or your spouse have an investment or holding. Individual stock holdings should be disclosed. Figures should be based on fair market value at the end of the reporting period.

a) Check appropriate box: More than \$1,000 More than \$12,500

Arkansas State Employers Retirement System (APERS)

(name of corporation, firm or enterprise)

124 West Capital Avenue Little Rock, AR 72203

(address)

DAVID GREENBAUM

(name under which investment held)

b) Check appropriate box: More than \$1,000 More than \$12,500

Arkansas Diamond Deferred Compensation Plan

(name of corporation, firm or enterprise)

P.O. BOX 5179 BOSTON, MA. 02206-5179

(address)

DAVID GREENBAUM

(name under which investment held)

* c) Check appropriate box: More than \$1,000 More than \$12,500

See attached List of Stocks held by Charles Schwab (Individual Account)

(name of corporation, firm or enterprise)

P.O. BOX 629030 EL DORADO HILLS, CA 95762

(address)

DAVID GREENBAUM

(name under which investment held)

* d) Check appropriate box: More than \$1,000 More than \$12,500

See attached List of Stocks held by Charles Schwab (Individual Account)

(name of corporation, firm or enterprise)

P.O. BOX 629030 EL DORADO HILLS, CA 95762

(address)

DAVID GREENBAUM

(name under which investment held)

e) Check appropriate box: More than \$1,000 More than \$12,500

(name of corporation, firm or enterprise)

(address)

(name under which investment held)

f) Check appropriate box: More than \$1,000 More than \$12,500

(name of corporation, firm or enterprise)

(address)

(name under which investment held)

SECTION 4 – BUSINESS OR HOLDINGS (CONTINUED)

The following stocks are owned by me and held by Charles Schwab

Stocks owned:

More than \$12,500.00:

1. Altria Group, Inc. (MO)
2. Bristol-Myer Squibb (BMY)
3. CenterPoint Energy (CNP)
4. Comcast Corporation (CMCSA)
5. Entergy Corp (ETR)
6. IBM (IBM)
7. META Platforms, Inc. (META)
8. Murphy Oil Corp (MUR)
9. Mondelez Int (MDLZ)
10. Murphy USA, Inc. (MUSA)
11. Pepsico (PEP)
12. Philip Morris (MO)
13. Southwest Airlines (LUV)
14. Tyson Foods, Inc. (TSN)
15. United Parcel (UPS)
16. Wal-Mart De Mexico (WMMVY)

More than \$1,000.00:

1. American Movil (AMOV)
2. AT&T, Inc. (T)
3. Blackstone MTG (BXMT)
4. General Electric (GE)
5. Kraft Foods (KFT)
6. KYNDRYL Holdings (KD)
7. Motorola Solutions (MOT)
8. NRG Energy, Inc. (NRG)
9. Pfizer, Inc. (PFE)
10. T-Mobile US, Inc. (TMUS)
11. TEVA Pharmaceutical (TEVA)
12. Walgreens BootsAll (WBA)
13. Warner Brothers Discover (WBD)
14. Yum Brands (YUM)
15. Yum China Holdings (YUMC)
16. Zimmer Holdings (ZMH)

SECTION 10- AWARDS

If you are an employee of a public school district, the Arkansas School for the Blind, the Arkansas School for the Deaf, the Arkansas School for Mathematics, Sciences, and the Arts, a university, a college, a technical college, a technical institute, a comprehensive life-long learning center, or a community college, the law requires you to disclose each monetary or other award over one hundred dollars (\$100) which you have received in recognition of your contributions to education. The information disclosed with respect to each such award should include the source, date, description, and a reasonable estimate of the fair market value.

a) _____ N/A
_____ (description of award)
_____ (date) _____ (fair market value)
_____ (source of award)

b) _____
_____ (description of award)
_____ (date) _____ (fair market value)
_____ (source of award)

c) _____
_____ (description of award)
_____ (date) _____ (fair market value)
_____ (source of award)

d) _____
_____ (description of award)
_____ (date) _____ (fair market value)
_____ (source of award)

SECTION 11- NONGOVERNMENTAL SOURCES OF PAYMENT

List each nongovernmental source of payment of your expenses for food, lodging, or travel which bears a relationship to your office when you appear in your official capacity when the expenses incurred exceed \$150.

a) _____ N/A
_____ (name of person or organization paying expense)
_____ (business address)
_____ (date of expense) \$ _____ (amount of expense)
_____ (nature of expenditure)

b) _____
_____ (name of person or organization paying expense)
_____ (business address)
_____ (date of expense) \$ _____ (amount of expense)
_____ (nature of expenditure)

Ark. Code Ann. § 21-8-403 provides that, upon conviction, any person who violates any provision of subchapter 4, 6, 7, or 8 of chapter 8, Title 21 of the Arkansas Code is guilty of a Class A misdemeanor. The culpable mental state required shall be a purposeful violation.
Revised 12/2017

SECTION 12- DIRECT REGULATION OF BUSINESS

List any business which employs you and is under direct regulation or subject to direct control by the governmental body which you serve.

- a) N/A
(name of business)

(governmental body which regulates or controls)
- b)
(name of business)

(governmental body which regulates or controls)
- c)
(name of business)

(governmental body which regulates or controls)
- d)
(name of business)

(governmental body which regulates or controls)

SECTION 13- SALES TO GOVERNMENTAL BODY

List the goods or services sold to the governmental body for which you serve which have a total annual value in excess of \$1,000. List the compensation paid for each category of goods or services sold by you or any business in which you or your spouse is an officer, director, or stockholder owning more than 10% of the stock of the company.

- a) N/A
(goods or services)

(governmental body to whom sold)

(compensation paid)
- b)
(goods or services)

(governmental body to whom sold)

(compensation paid)
- c)
(goods or services)

(governmental body to whom sold)

(compensation paid)
- d)
(goods or services)

(governmental body to whom sold)

(compensation paid)

SECTION 14- SIGNATURE

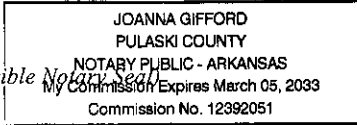
I certify under penalty of false swearing that the above information is true and correct.

Dave Greenbaum
Signature

STATE OF ARKANSAS

COUNTY OF Pulaski } ss

Subscribed and sworn before me this 5th day of January, 2024.



Joanna Gifford
Notary Public

My commission expires: March 5, 2033

Note: If faxed, notary seal must be legible (i.e., either stamped or raised and inked) and the original must follow within ten (10) days pursuant to Ark. Code Ann. § 21-8-703(b)(3).

IMPORTANT

Where to file:

- State or district candidates/public servants file with the Secretary of State.
- Appointees to state boards/commissions file with the Secretary of State.
- County, township, and school district candidates/public servants file with the county clerk.
- Municipal candidates/public servants file with the city clerk or recorder, as the case may be.
- City attorneys file with the city clerk of the municipality in which they serve.
- District judges file with the Secretary of State.
- Members of regional boards or commissions file with the county clerk of the county in which they reside.

General Information:

- * The Statement of Financial Interest should be filed by January 31 of each year.
- * The filing covers the previous calendar year.
- * Candidates for elective office shall file the Statement of Financial Interest for the previous calendar year on the first Monday following the close of the period to file as a candidate for elective office unless already filed by January 31. In addition, if the party filing period ends before January 1 of the year of the general election, candidates for elective office shall file a Statement of Financial Interest for the previous calendar year by no later than January 31 of the year of the general election.
- * Agency heads, department directors, and division directors of state government shall file the Statement of Financial Interest within thirty (30) days of appointment or employment unless already filed by January 31.
- * Appointees to state boards or commissions shall file the Statement of Financial Interest within thirty (30) days after appointment unless already filed by January 31.
- * If a person is included in any category listed above for any part of a calendar year, that person shall file a Statement of Financial Interest covering that period of time regardless of whether they have left their office or position as of the date the statement is due.

Ark. Code Ann. § 21-8-403 provides that, upon conviction, any person who violates any provision of subchapter 4, 6, 7, or 8 of chapter 8, Title 21 of the Arkansas Code is guilty of a Class A misdemeanor. The culpable mental state required shall be a purposeful violation.