

STATE OF NEW YORK

8671

2019-2020 Regular Sessions

IN ASSEMBLY

October 23, 2019

Introduced by M. of A. LiPETRI -- read once and referred to the Committee on Governmental Operations

AN ACT to amend the public officers law, in relation to expanding the definition of children for financial disclosures made by public officers

The People of the State of New York, represented in Senate and Assembly, do enact as follows:

Section 1. Paragraph (g) of subdivision 1 of section 73-a of the public officers law, as amended by section 5 of part A of chapter 399 of the laws of 2011, is amended to read as follows:

(g) The term "[unemancipated] child" shall mean any son, daughter, stepson or stepdaughter [~~who is under age eighteen, unmarried and living in the household of the reporting individual~~].

§ 2. Subdivision 3 of section 73-a of the public officers law, as amended by section 5 of part A of chapter 399 of the laws of 2011, paragraph 8 as amended by section 6 of part K of chapter 286 of the laws of 2016 and paragraph 13 as amended by section 1 of part CC of chapter 56 of the laws of 2015, is amended to read as follows:

3. The annual statement of financial disclosure shall contain the information and shall be in the form set forth hereinbelow:

ANNUAL STATEMENT OF FINANCIAL DISCLOSURE - (For calendar year _____)

1. Name _____
2. (a) Title of Position _____
(b) Department, Agency or other Governmental Entity _____
(c) Address of Present Office _____
(d) Office Telephone Number _____
3. (a) Marital Status _____. If married, please give spouse's full name including maiden name where applicable. _____

EXPLANATION--Matter in italics (underscored) is new; matter in brackets [~~-~~] is old law to be omitted.

LBD13944-02-9

1 (b) List the names of all [unemancipated] children.

2 _____

3 _____

4 _____

5 _____

6 _____

7 Answer each of the following questions completely, with respect to
 8 calendar year _____, unless another period or date is otherwise
 9 specified. If additional space is needed, attach additional pages.

10 Whenever a "value" or "amount" is required to be reported herein, such
 11 value or amount shall be reported as being within one of the following
 12 Categories in Table I or Table II of this subdivision as called for in
 13 the question: A reporting individual shall indicate the Category by
 14 letter only.

15 Whenever "income" is required to be reported herein, the term "income"
 16 shall mean the aggregate net income before taxes from the source identi-
 17 fied.

18 The term "calendar year" shall mean the year ending the December 31st
 19 preceding the date of filing of the annual statement.

20 4. (a) List any office, trusteeship, directorship, partnership, or
 21 position of any nature, whether compensated or not, held by the
 22 reporting individual with any firm, corporation, association, part-
 23 nership, or other organization other than the State of New York.
 24 Include compensated honorary positions; do NOT list membership or
 25 uncompensated honorary positions. If the listed entity was licensed
 26 by any state or local agency, was regulated by any state regulatory
 27 agency or local agency, or, as a regular and significant part of the
 28 business or activity of said entity, did business with, or had
 29 matters other than ministerial matters before, any state or local
 30 agency, list the name of any such agency.

31		State or
32	Position	Local Agency
	Organization	

33 _____

34 _____

35 _____

36 _____

37 _____

38 (b) List any office, trusteeship, directorship, partnership, or position
 39 of any nature, whether compensated or not, held by the spouse or
 40 [unemancipated] child of the reporting individual, with any firm,
 41 corporation, association, partnership, or other organization other
 42 than the State of New York. Include compensated honorary positions;
 43 do NOT list membership or uncompensated honorary positions. If the
 44 listed entity was licensed by any state or local agency, was regu-
 45 lated by any state regulatory agency or local agency, or, as a regu-
 46 lar and significant part of the business or activity of said entity,
 47 did business with, or had matters other than ministerial matters
 48 before, any state or local agency, list the name of any such agency.

1			State or
2	Position	Organization	Local Agency
3			
4			
5			
6			
7			

8 5. (a) List the name, address and description of any occupation,
9 employment (other than the employment listed under Item 2 above),
10 trade, business or profession engaged in by the reporting individ-
11 ual. If such activity was licensed by any state or local agency, was
12 regulated by any state regulatory agency or local agency, or, as a
13 regular and significant part of the business or activity of said
14 entity, did business with, or had matters other than ministerial
15 matters before, any state or local agency, list the name of any such
16 agency.

17			State or
18	Position	Name & Address of Organization	Local Agency
19		Description	
20			
21			
22			
23			
24			

25 (b) If the spouse or [unemancipated] child of the reporting individual
26 was engaged in any occupation, employment, trade, business or
27 profession which activity was licensed by any state or local agency,
28 was regulated by any state regulatory agency or local agency, or, as
29 a regular and significant part of the business or activity of said
30 entity, did business with, or had matters other than ministerial
31 matters before, any state or local agency, list the name, address
32 and description of such occupation, employment, trade, business or
33 profession and the name of any such agency.

34			State or
35	Position	Name & Address of Organization	Local Agency
36		Description	
37			
38			
39			
40			
41			

42 6. List any interest, in EXCESS of \$1,000, held by the reporting indi-
43 vidual, such individual's spouse or [unemancipated] child, or part-
44 nership of which any such person is a member, or corporation, 10% or
45 more of the stock of which is owned or controlled by any such
46 person, whether vested or contingent, in any contract made or
47 executed by a state or local agency and include the name of the
48 entity which holds such interest and the relationship of the report-

ing individual or such individual's spouse or such child to such entity and the interest in such contract. Do NOT include bonds and notes. Do NOT list any interest in any such contract on which final payment has been made and all obligations under the contract except for guarantees and warranties have been performed, provided, however, that such an interest must be listed if there has been an ongoing dispute during the calendar year for which this statement is filed with respect to any such guarantees or warranties. Do NOT list any interest in a contract made or executed by a local agency after public notice and pursuant to a process for competitive bidding or a process for competitive requests for proposals.

Entity Which Held Interest in Contract	Relationship to Entity and Interest in Contract	Contracting State or Local Agency	Category of Value of Contract (In Table II)
Self, Spouse or Child			

7. List any position the reporting individual held as an officer of any political party or political organization, as a member of any political party committee, or as a political party district leader. The term "party" shall have the same meaning as "party" in the election law. The term "political organization" means any party or independent body as defined in the election law or any organization that is affiliated with or a subsidiary of a party or independent body.

8. (a) If the reporting individual practices law, is licensed by the department of state as a real estate broker or agent or practices a profession licensed by the department of education, or works as a member or employee of a firm required to register pursuant to section one-e of the legislative law as a lobbyist, describe the services rendered for which compensation was paid including a general description of the principal subject areas of matters undertaken by such individual and principal duties performed. Specifically state whether the reporting individual provides services directly to clients. Additionally, if such an individual practices with a firm or corporation and is a partner or shareholder of the firm or corporation, give a general description of principal subject areas of matters undertaken by such firm or corporation.

1 _____
2 _____
3 (b) APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE
4 PROVIDED ON OR AFTER JULY FIRST, TWO THOUSAND TWELVE AND BEFORE DECEMBER
5 THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR NEW MATTERS FOR EXISTING
6 CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE SERVICES THAT ARE PROVIDED ON
7 OR AFTER JULY FIRST, TWO THOUSAND TWELVE AND BEFORE DECEMBER
8 THIRTY-FIRST, TWO THOUSAND FIFTEEN:

9 If the reporting individual personally provides services to any person
10 or entity, or works as a member or employee of a partnership or corpo-
11 ration that provides such services (referred to hereinafter as a
12 "firm"), then identify each client or customer to whom the reporting
13 individual personally provided services, or who was referred to the firm
14 by the reporting individual, and from whom the reporting individual or
15 his or her firm earned fees in excess of \$10,000 during the reporting
16 period for such services rendered in direct connection with:

17 (i) A contract in an amount totaling \$50,000 or more from the state or
18 any state agency for services, materials, or property;

19 (ii) A grant of \$25,000 or more from the state or any state agency
20 during the reporting period;

21 (iii) A grant obtained through a legislative initiative during the
22 reporting period; or

23 (iv) A case, proceeding, application or other matter that is not a
24 ministerial matter before a state agency during the reporting period.

25 For purposes of this question, "referred to the firm" shall mean:
26 having intentionally and knowingly taken a specific act or series of
27 acts to intentionally procure for the reporting individual's firm or
28 knowingly solicit or direct to the reporting individual's firm in whole
29 or substantial part, a person or entity that becomes a client of that
30 firm for the purposes of representation for a matter as defined in
31 subparagraphs (i) through (iv) of this paragraph, as the result of such
32 procurement, solicitation or direction of the reporting individual. A
33 reporting individual need not disclose activities performed while
34 lawfully acting pursuant to paragraphs (c), (d), (e) and (f) of subdivi-
35 sion seven of section seventy-three of this article.

36 The disclosure requirement in this question shall not require disclo-
37 sure of clients or customers receiving medical or dental services,
38 mental health services, residential real estate brokering services, or
39 insurance brokering services from the reporting individual or his or her
40 firm. The reporting individual need not identify any client to whom he
41 or she or his or her firm provided legal representation with respect to
42 investigation or prosecution by law enforcement authorities, bankruptcy,
43 or domestic relations matters. With respect to clients represented in
44 other matters, where disclosure of a client's identity is likely to
45 cause harm, the reporting individual shall request an exemption from the
46 joint commission pursuant to paragraph (i-1) of subdivision nine of
47 section ninety-four of the executive law, provided, however, that a
48 reporting individual who first enters public office after July first,
49 two thousand twelve, need not report clients or customers with respect
50 to matters for which the reporting individual or his or her firm was
51 retained prior to entering public office.

52 Client

Nature of Services Provided

53 _____
54 _____
55 _____

1 _____
2 _____

3 (b-1) APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES
4 ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR
5 FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE
6 SERVICES THAT ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOU-
7 SAND FIFTEEN (FOR PURPOSES OF THIS QUESTION, "SERVICES" SHALL MEAN
8 CONSULTATION, REPRESENTATION, ADVICE OR OTHER SERVICES):

9 If the reporting individual receives income from employment reportable
10 in question 8(a) and personally provides services to any person or enti-
11 ty, or works as a member or employee of a partnership or corporation
12 that provides such services (referred to hereinafter as a "firm"), the
13 reporting individual shall identify each client or customer to whom the
14 reporting individual personally provided services, or who was referred
15 to the firm by the reporting individual, and from whom the reporting
16 individual or his or her firm earned fees in excess of \$10,000 during
17 the reporting period in direct connection with:

18 (i) A contract in an amount totaling \$10,000 or more from the state or
19 any state agency for services, materials, or property;

20 (ii) A grant of \$10,000 or more from the state or any state agency
21 during the reporting period;

22 (iii) A grant obtained through a legislative initiative during the
23 reporting period; or

24 (iv) A case, proceeding, application or other matter that is not a
25 ministerial matter before a state agency during the reporting period.

26 For such services rendered by the reporting individual directly to
27 each such client, describe each matter that was the subject of such
28 representation, the services actually provided and the payment received.
29 For payments received from clients referred to the firm by the reporting
30 individual, if the reporting individual directly received a referral fee
31 or fees for such referral, identify the client and the payment so
32 received.

33 For purposes of this question, "referred to the firm" shall mean:
34 having intentionally and knowingly taken a specific act or series of
35 acts to intentionally procure for the reporting individual's firm or
36 having knowingly solicited or directed to the reporting individual's
37 firm in whole or substantial part, a person or entity that becomes a
38 client of that firm for the purposes of representation for a matter as
39 defined in clauses (i) through (iv) of this subparagraph, as the result
40 of such procurement, solicitation or direction of the reporting individ-
41 ual. A reporting individual need not disclose activities performed while
42 lawfully acting in his or her capacity as provided in paragraphs (c),
43 (d), (e) and (f) of subdivision seven of section seventy-three of this
44 article.

45	Client	Matter	Nature of Services Provided	Category of Amount (in Table I)
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48 _____
49 _____
50 _____
51 _____
52 _____

(b-2) APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE SERVICES THAT ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN (FOR PURPOSES OF THIS QUESTION, "SERVICES" SHALL MEAN CONSULTATION, REPRESENTATION, ADVICE OR OTHER SERVICES):

(i) With respect to reporting individuals who receive ten thousand dollars or more from employment or activity reportable under question 8(a), for each client or customer NOT otherwise disclosed or exempted in question 8 or 13, disclose the name of each client or customer known to the reporting individual to whom the reporting individual provided services: (A) who paid the reporting individual in excess of five thousand dollars for such services; or (B) who had been billed with the knowledge of the reporting individual in excess of five thousand dollars by the firm or other entity named in question 8(a) for the reporting individual's services.

Client	Services Actually Provided	Category of Amount (in Table I)
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FOLLOWING IS AN ILLUSTRATIVE, NON-EXCLUSIVE LIST OF EXAMPLES OF DESCRIPTIONS OF "SERVICES ACTUALLY PROVIDED":

- * REVIEWED DOCUMENTS AND CORRESPONDENCE;
- * REPRESENTED CLIENT (IDENTIFY CLIENT BY NAME) IN LEGAL PROCEEDING;
- * PROVIDED LEGAL ADVICE ON CLIENT MATTER (IDENTIFY CLIENT BY NAME);
- * CONSULTED WITH CLIENT OR CONSULTED WITH LAW PARTNERS/ASSOCIATES/MEMBERS OF FIRM ON CLIENT MATTER (IDENTIFY CLIENT BY NAME);
- * PREPARED CERTIFIED FINANCIAL STATEMENT FOR CLIENT (IDENTIFY CLIENT BY NAME);
- * REFERRED INDIVIDUAL OR ENTITY (IDENTIFY CLIENT BY NAME) FOR REPRESENTATION OR CONSULTATION;
- * COMMERCIAL BROKERING SERVICES (IDENTIFY CUSTOMER BY NAME);
- * PREPARED CERTIFIED ARCHITECTURAL OR ENGINEERING RENDERINGS FOR CLIENT (IDENTIFY CUSTOMER BY NAME);
- * COURT APPOINTED GUARDIAN OR EVALUATOR (IDENTIFY COURT NOT CLIENT).

(ii) With respect to reporting individuals who disclosed in question 8(a) that the reporting individual did not provide services to a client but provided services to a firm or business, identify the category of amount received for providing such services and describe the services rendered.

Services Actually Provided	Category of Amount (Table I)
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A reporting individual need not disclose activities performed while lawfully acting in his or her capacity as provided in paragraphs (c), (d), (e) and (f) of subdivision seven of section seventy-three of this article.

The disclosure requirement in questions (b-1) and (b-2) shall not require disclosing clients or customers receiving medical, pharmaceutical or dental services, mental health services, or residential real estate brokering services from the reporting individual or his or her

1 firm or if federal law prohibits or limits disclosure. The reporting
2 individual need not identify any client to whom he or she or his or her
3 firm provided legal representation with respect to investigation or
4 prosecution by law enforcement authorities, bankruptcy, family court,
5 estate planning, or domestic relations matters, nor shall the reporting
6 individual identify individuals represented pursuant to an insurance
7 policy but the reporting individual shall in such circumstances only
8 report the entity that provides compensation to the reporting individ-
9 ual; with respect to matters in which the client's name is required by
10 law to be kept confidential (such as matters governed by the family
11 court act) or in matters in which the reporting individual represents or
12 provides services to minors, the client's name may be replaced with
13 initials. To the extent that the reporting individual, or his or her
14 firm, provided legal representation with respect to an initial public
15 offering, and professional disciplinary rules, federal law or regu-
16 lations restrict the disclosure of information relating to such work,
17 the reporting individual shall (i) disclose the identity of the client
18 and the services provided relating to the initial public offering to the
19 office of court administration, who will maintain such information
20 confidentially in a locked box; and (ii) include in his or her response
21 to questions (b-1) and (b-2) that pursuant to this paragraph, a disclo-
22 sure to the office of court administration has been made. Upon such time
23 that the disclosure of information maintained in the locked box is no
24 longer restricted by professional disciplinary rules, federal law or
25 regulation, the reporting individual shall disclose such information in
26 an amended disclosure statement in response to the disclosure require-
27 ments in questions (b-1) and (b-2). The office of court administration
28 shall develop and maintain a secure portal through which information
29 submitted to it pursuant to this paragraph can be safely and confiden-
30 tially stored. With respect to clients represented in other matters not
31 otherwise exempt, the reporting individual may request an exemption to
32 publicly disclosing the name of that client from the joint commission
33 pursuant to paragraph (i-1) of subdivision nine of section ninety-four
34 of the executive law, or from the office of court administration. In
35 such application, the reporting individual shall state the following:
36 "My client is not currently receiving my services or seeking my services
37 in connection with:

- 38 (i) A proposed bill or resolution in the senate or assembly during the
39 reporting period;
40 (ii) A contract in an amount totaling \$10,000 or more from the state
41 or any state agency for services, materials, or property;
42 (iii) A grant of \$10,000 or more from the state or any state agency
43 during the reporting period;
44 (iv) A grant obtained through a legislative initiative during the
45 reporting period; or
46 (v) A case, proceeding, application or other matter that is not a
47 ministerial matter before a state agency during the reporting period."

48 In reviewing the request for an exemption, the joint commission or the
49 office of court administration may consult with bar or other profes-
50 sional associations and the legislative ethics commission for individ-
51 uals subject to its jurisdiction and may consider the rules of profes-
52 sional conduct. In making its determination, the joint commission or the
53 office of court administration shall conduct its own inquiry and shall
54 consider factors including, but not limited to: (i) the nature and the
55 size of the client; (ii) whether the client has any business before the
56 state; and if so, how significant the business is; and whether the

1 client has any particularized interest in pending legislation and if so
2 how significant the interest is; (iii) whether disclosure may reveal
3 trade secrets; (iv) whether disclosure could reasonably result in retal-
4 iation against the client; (v) whether disclosure may cause undue harm
5 to the client; (vi) whether disclosure may result in undue harm to the
6 attorney-client relationship; and (vii) whether disclosure may result in
7 an unnecessary invasion of privacy to the client.

8 The joint commission or, as the case may be, the office of court
9 administration shall promptly make a final determination in response to
10 such request, which shall include an explanation for its determination.
11 The office of court administration shall issue its final determination
12 within three days of receiving the request. Notwithstanding any other
13 provision of law or any professional disciplinary rule to the contrary,
14 the disclosure of the identity of any client or customer in response to
15 this question shall not constitute professional misconduct or a ground
16 for disciplinary action of any kind, or form the basis for any civil or
17 criminal cause of action or proceeding. A reporting individual who first
18 enters public office after January first, two thousand sixteen, need not
19 report clients or customers with respect to matters for which the
20 reporting individual or his or her firm was retained prior to entering
21 public office.

22 (c) APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE
23 PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR
24 NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE
25 SERVICES THAT ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOU-
26 SAND FIFTEEN:

27 If the reporting individual receives income of ten thousand dollars or
28 greater from any employment or activity reportable under question 8(a),
29 identify each registered lobbyist who has directly referred to such
30 individual a client who was successfully referred to the reporting indi-
31 vidual's business and from whom the reporting individual or firm
32 received a fee for services in excess of five thousand dollars. Report
33 only those referrals that were made to a reporting individual by direct
34 communication from a person known to such reporting individual to be a
35 registered lobbyist at the time the referral is made. With respect to
36 each such referral, the reporting individual shall identify the client,
37 the registered lobbyist who has made the referral, the category of value
38 of the compensation received and a general description of the type of
39 matter so referred. A reporting individual need not disclose activities
40 performed while lawfully acting pursuant to paragraphs (c), (d), (e) and
41 (f) of subdivision seven of section seventy-three of this article. The
42 disclosure requirements in this question shall not require disclosing
43 clients or customers receiving medical, pharmaceutical or dental
44 services, mental health services, or residential real estate brokering
45 services from the reporting individual or his or her firm or if federal
46 law prohibits or limits disclosure. The reporting individual need not
47 identify any client to whom he or she or his or her firm provided legal
48 representation with respect to investigation or prosecution by law
49 enforcement authorities, bankruptcy, family court, estate planning, or
50 domestic relations matters, nor shall the reporting individual identify
51 individuals represented pursuant to an insurance policy but the report-
52 ing individual shall in such circumstances only report the entity that
53 provides compensation to the reporting individual; with respect to
54 matters in which the client's name is required by law to be kept confi-
55 dential (such as matters governed by the family court act) or in matters
56 in which the reporting individual represents or provides services to

1 minors, the client's name may be replaced with initials. To the extent
2 that the reporting individual, or his or her firm, provided legal repre-
3 sentation with respect to an initial public offering, and federal law or
4 regulations restricts the disclosure of information relating to such
5 work, the reporting individual shall (i) disclose the identity of the
6 client and the services provided relating to the initial public offering
7 to the office of court administration, who will maintain such informa-
8 tion confidentially in a locked box; and (ii) include in his or her
9 response a statement that pursuant to this paragraph, a disclosure to
10 the office of court administration has been made. Upon such time that
11 the disclosure of information maintained in the locked box is no longer
12 restricted by federal law or regulation, the reporting individual shall
13 disclose such information in an amended disclosure statement in response
14 to the disclosure requirements of this paragraph. The office of court
15 administration shall develop and maintain a secure portal through which
16 information submitted to it pursuant to this paragraph can be safely and
17 confidentially stored. With respect to clients represented in other
18 matters not otherwise exempt, the reporting individual may request an
19 exemption to publicly disclosing the name of that client from the joint
20 commission pursuant to paragraph (i-1) of subdivision nine of section
21 ninety-four of the executive law, or from the office of court adminis-
22 tration. In such application, the reporting individual shall state the
23 following: "My client is not currently receiving my services or seeking
24 my services in connection with:

- 25 (i) A proposed bill or resolution in the senate or assembly during the
26 reporting period;
- 27 (ii) A contract in an amount totaling \$10,000 or more from the state
28 or any state agency for services, materials, or property;
- 29 (iii) A grant of \$10,000 or more from the state or any state agency
30 during the reporting period;
- 31 (iv) A grant obtained through a legislative initiative during the
32 reporting period; or
- 33 (v) A case, proceeding, application or other matter that is not a
34 ministerial matter before a state agency during the reporting period."

35 In reviewing the request for an exemption, the joint commission or the
36 office of court administration may consult with bar or other profes-
37 sional associations and the legislative ethics commission for individ-
38 uals subject to its jurisdiction and may consider the rules of profes-
39 sional conduct. In making its determination, the joint commission or the
40 office of court administration shall conduct its own inquiry and shall
41 consider factors including, but not limited to: (i) the nature and the
42 size of the client; (ii) whether the client has any business before the
43 state; and if so, how significant the business is; and whether the
44 client has any particularized interest in pending legislation and if so
45 how significant the interest is; (iii) whether disclosure may reveal
46 trade secrets; (iv) whether disclosure could reasonably result in retal-
47 iation against the client; (v) whether disclosure may cause undue harm
48 to the client; (vi) whether disclosure may result in undue harm to the
49 attorney-client relationship; and (vii) whether disclosure may result in
50 an unnecessary invasion of privacy to the client.

51 The joint commission or, as the case may be, the office of court
52 administration shall promptly make a final determination in response to
53 such request, which shall include an explanation for its determination.
54 The office of court administration shall issue its final determination
55 within three days of receiving the request. Notwithstanding any other
56 provision of law or any professional disciplinary rule to the contrary,

the disclosure of the identity of any client or customer in response to this question shall not constitute professional misconduct or a ground for disciplinary action of any kind, or form the basis for any civil or criminal cause of action or proceeding. A reporting individual who first enters public office after December thirty-first, two thousand fifteen, need not report clients or customers with respect to matters for which the reporting individual or his or her firm was retained prior to entering public office.

Client	Name of Lobbyist	Description of Matter	Category of Amount (in Table 1)
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(d) List the name, principal address and general description or the nature of the business activity of any entity in which the reporting individual or such individual's spouse had an investment in excess of \$1,000 excluding investments in securities and interests in real property.

9. List each source of gifts, EXCLUDING campaign contributions, in EXCESS of \$1,000, received during the reporting period for which this statement is filed by the reporting individual or such individual's spouse or ~~unemancipated~~ child from the same donor, EXCLUDING gifts from a relative. INCLUDE the name and address of the donor. The term "gifts" does not include reimbursements, which term is defined in item 10. Indicate the value and nature of each such gift.

Self, Spouse or Child	Name of Donor	Address	Nature of Gift	Category of Value of Gift (In Table I)
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10. Identify and briefly describe the source of any reimbursements for expenditures, EXCLUDING campaign expenditures and expenditures in connection with official duties reimbursed by the state, in EXCESS of \$1,000 from each such source. For purposes of this item, the term "reimbursements" shall mean any travel-related expenses provided by nongovernmental sources and for activities related to the reporting individual's official duties such as, speaking engagements, conferences, or factfinding events. The term "reimbursements" does NOT include gifts reported under item 9.

Source

Description

1 _____
2 _____
3 _____
4 _____
5 _____

6 11. List the identity and value, if reasonably ascertainable, of each
7 interest in a trust, estate or other beneficial interest, including
8 retirement plans (other than retirement plans of the state of New
9 York or the city of New York), and deferred compensation plans
10 (e.g., 401, 403(b), 457, etc.) established in accordance with the
11 internal revenue code, in which the REPORTING INDIVIDUAL held a
12 beneficial interest in EXCESS of \$1,000 at any time during the
13 preceding year. Do NOT report interests in a trust, estate or other
14 beneficial interest established by or for, or the estate of, a rela-
15 tive.

16		Category
17	Identity	of Value*
18		(In Table II)

19 _____
20 _____
21 _____
22 _____
23 _____

24 * The value of such interest shall be reported only if reasonably ascer-
25 tainable.

26 12. (a) Describe the terms of, and the parties to, any contract, prom-
27 ise, or other agreement between the reporting individual and any
28 person, firm, or corporation with respect to the employment of such
29 individual after leaving office or position (other than a leave of
30 absence).

31 _____
32 _____
33 _____
34 _____
35 _____

36 (b) Describe the parties to and the terms of any agreement providing
37 for continuation of payments or benefits to the REPORTING INDIVIDUAL
38 in EXCESS of \$1,000 from a prior employer OTHER THAN the State.
39 (This includes interests in or contributions to a pension fund,
40 profit-sharing plan, or life or health insurance; buy-out agree-
41 ments; severance payments; etc.)

42 _____
43 _____
44 _____
45 _____
46 _____

47 13. List below the nature and amount of any income in EXCESS of \$1,000
48 from EACH SOURCE for the reporting individual and such individual's

spouse for the taxable year last occurring prior to the date of filing. Each such source must be described with particularity. Nature of income includes, but is not limited to, all income (other than that received from the employment listed under Item 2 above) from compensated employment whether public or private, directorships and other fiduciary positions, contractual arrangements, teaching income, partnerships, honorariums, lecture fees, consultant fees, bank and bond interest, dividends, income derived from a trust, real estate rents, and recognized gains from the sale or exchange of real or other property. Income from a business or profession and real estate rents shall be reported with the source identified by the building address in the case of real estate rents and otherwise by the name of the entity and not by the name of the individual customers, clients or tenants, with the aggregate net income before taxes for each building address or entity. The receipt of maintenance received in connection with a matrimonial action, alimony and child support payments shall not be listed.

Self/ Spouse	Source	Nature	Category of Amount (In Table I)
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14. List the sources of any deferred income (not retirement income) in EXCESS of \$1,000 from each source to be paid to the reporting individual following the close of the calendar year for which this disclosure statement is filed, other than deferred compensation reported in item 11 hereinabove. Deferred income derived from the practice of a profession shall be listed in the aggregate and shall identify as the source, the name of the firm, corporation, partnership or association through which the income was derived, but shall not identify individual clients.

Source	Category of Amount (In Table I)
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15. List each assignment of income in EXCESS of \$1,000, and each transfer other than to a relative during the reporting period for which this statement is filed for less than fair consideration of an interest in a trust, estate or other beneficial interest, securities or real property, by the reporting individual, in excess of \$1,000, which would otherwise be required to be reported herein and is not or has not been so reported.

1	Item Assigned	Assigned or	Category
2	or Transferred	Transferred to	of Value
3			(In Table I)
4			
5			
6			
7			
8			
9	16. List below the type and market value of securities held by the		
10	reporting individual or such individual's spouse from each issuing		
11	entity in EXCESS of \$1,000 at the close of the taxable year last		
12	occurring prior to the date of filing, including the name of the		
13	issuing entity exclusive of securities held by the reporting indi-		
14	vidual issued by a professional corporation. Whenever an interest in		
15	securities exists through a beneficial interest in a trust, the		
16	securities held in such trust shall be listed ONLY IF the reporting		
17	individual has knowledge thereof except where the reporting individ-		
18	ual or the reporting individual's spouse has transferred assets to		
19	such trust for his or her benefit in which event such securities		
20	shall be listed unless they are not ascertainable by the reporting		
21	individual because the trustee is under an obligation or has been		
22	instructed in writing not to disclose the contents of the trust to		
23	the reporting individual. Securities of which the reporting individ-		
24	ual or the reporting individual's spouse is the owner of record but		
25	in which such individual or the reporting individual's spouse has no		
26	beneficial interest shall not be listed. Indicate percentage of		
27	ownership ONLY if the reporting person or the reporting person's		
28	spouse holds more than five percent (5%) of the stock of a corpo-		
29	ration in which the stock is publicly traded or more than ten		
30	percent (10%) of the stock of a corporation in which the stock is		
31	NOT publicly traded. Also list securities owned for investment		
32	purposes by a corporation more than fifty percent (50%) of the stock		
33	of which is owned or controlled by the reporting individual or such		
34	individual's spouse. For the purpose of this item the term "securi-		
35	ties" shall mean mutual funds, bonds, mortgages, notes, obligations,		
36	warrants and stocks of any class, investment interests in limited or		
37	general partnerships and certificates of deposits (CDs) and such		
38	other evidences of indebtedness and certificates of interest as are		
39	usually referred to as securities. The market value for such secu-		
40	rities shall be reported only if reasonably ascertainable and shall		
41	not be reported if the security is an interest in a general partner-		
42	ship that was listed in item 8 (a) or if the security is corporate		
43	stock, NOT publicly traded, in a trade or business of a reporting		
44	individual or a reporting individual's spouse.		
45		Percentage	
46		of corporate	
47		stock owned	
48		or controlled	Category of
49		(if more than	Market Value
50		5% of pub-	as of the close
51		licly traded	of the
52		stock, or	taxable year
53		more than	last occurring

	Self/ Spouse	Issuing Entity	Type of Security	10% if stock not publicly traded, is held)	prior to the filing of this statement (In Table II)
5					
6					
7					
8					
9					

17. List below the location, size, general nature, acquisition date, market value and percentage of ownership of any real property in which any vested or contingent interest in EXCESS of \$1,000 is held by the reporting individual or the reporting individual's spouse. Also list real property owned for investment purposes by a corporation more than fifty percent (50%) of the stock of which is owned or controlled by the reporting individual or such individual's spouse. Do NOT list any real property which is the primary or secondary personal residence of the reporting individual or the reporting individual's spouse, except where there is a co-owner who is other than a relative.

	Self/ Spouse/ Corporation	Location	Size	General Nature	Acquisition Date	Percentage of Ownership	Category of Market Value (In Table II)
28							
29							
30							
31							
32							

18. List below all notes and accounts receivable, other than from goods or services sold, held by the reporting individual at the close of the taxable year last occurring prior to the date of filing and other debts owed to such individual at the close of the taxable year last occurring prior to the date of filing, in EXCESS of \$1,000, including the name of the debtor, type of obligation, date due and the nature of the collateral securing payment of each, if any, excluding securities reported in item 16 hereinabove. Debts, notes and accounts receivable owed to the individual by a relative shall not be reported.

	Name of Debtor	Type of Obligation, Date Due, and Nature of Collateral, if any	Category of Amount (In Table II)
47			
48			
49			

19. List below all liabilities of the reporting individual and such individual's spouse, in EXCESS of \$10,000 as of the date of filing of this statement, other than liabilities to a relative. Do NOT list liabilities incurred by, or guarantees made by, the reporting individual or such individual's spouse or by any proprietorship, partnership or corporation in which the reporting individual or such individual's spouse has an interest, when incurred or made in the ordinary course of the trade, business or professional practice of the reporting individual or such individual's spouse. Include the name of the creditor and any collateral pledged by such individual to secure payment of any such liability. A reporting individual shall not list any obligation to pay maintenance in connection with a matrimonial action, alimony or child support payments. Any loan issued in the ordinary course of business by a financial institution to finance educational costs, the cost of home purchase or improvements for a primary or secondary residence, or purchase of a personally owned motor vehicle, household furniture or appliances shall be excluded. If any such reportable liability has been guaranteed by any third person, list the liability and name the guarantor.

Name of Creditor or Guarantor	Type of Liability and Collateral, if any	Category of Amount (In Table II)
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The requirements of law relating to the reporting of financial interests are in the public interest and no adverse inference of unethical or illegal conduct or behavior will be drawn merely from compliance with these requirements.

(Signature of Reporting Individual)	Date (month/day/year)
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TABLE I

Category A	none		
Category B	\$	1 to under	\$ 1,000
Category C	\$	1,000 to under	\$ 5,000
Category D	\$	5,000 to under	\$ 20,000
Category E	\$	20,000 to under	\$ 50,000
Category F	\$	50,000 to under	\$ 75,000
Category G	\$	75,000 to under	\$ 100,000
Category H	\$	100,000 to under	\$ 150,000
Category I	\$	150,000 to under	\$ 250,000
Category J	\$	250,000 to under	\$ 350,000
Category K	\$	350,000 to under	\$ 450,000
Category L	\$	450,000 to under	\$ 550,000
Category M	\$	550,000 to under	\$ 650,000

1	Category N	\$ 650,000	to under	\$ 750,000
2	Category O	\$ 750,000	to under	\$ 850,000
3	Category P	\$ 850,000	to under	\$ 950,000
4	Category Q	\$ 950,000	to under	\$1,050,000
5	Category R	\$1,050,000	to under	\$1,150,000
6	Category S	\$1,150,000	to under	\$1,250,000
7	Category T	\$1,250,000	to under	\$1,350,000
8	Category U	\$1,350,000	to under	\$1,450,000
9	Category V	\$1,450,000	to under	\$1,550,000
10	Category W	\$1,550,000	to under	\$1,650,000
11	Category X	\$1,650,000	to under	\$1,750,000
12	Category Y	\$1,750,000	to under	\$1,850,000
13	Category Z	\$1,850,000	to under	\$1,950,000
14	Category AA	\$1,950,000	to under	\$2,050,000
15	Category BB	\$2,050,000	to under	\$2,150,000
16	Category CC	\$2,150,000	to under	\$2,250,000
17	Category DD	\$2,250,000	to under	\$2,350,000
18	Category EE	\$2,350,000	to under	\$2,450,000
19	Category FF	\$2,450,000	to under	\$2,550,000
20	Category GG	\$2,550,000	to under	\$2,650,000
21	Category HH	\$2,650,000	to under	\$2,750,000
22	Category II	\$2,750,000	to under	\$2,850,000
23	Category JJ	\$2,850,000	to under	\$2,950,000
24	Category KK	\$2,950,000	to under	\$3,050,000
25	Category LL	\$3,050,000	to under	\$3,150,000
26	Category MM	\$3,150,000	to under	\$3,250,000
27	Category NN	\$3,250,000	to under	\$3,350,000
28	Category OO	\$3,350,000	to under	\$3,450,000
29	Category PP	\$3,450,000	to under	\$3,550,000
30	Category QQ	\$3,550,000	to under	\$3,650,000
31	Category RR	\$3,650,000	to under	\$3,750,000
32	Category SS	\$3,750,000	to under	\$3,850,000
33	Category TT	\$3,850,000	to under	\$3,950,000
34	Category UU	\$3,950,000	to under	\$4,050,000
35	Category VV	\$4,050,000	to under	\$4,150,000
36	Category WW	\$4,150,000	to under	\$4,250,000
37	Category XX	\$4,250,000	to under	\$4,350,000
38	Category YY	\$4,350,000	to under	\$4,450,000
39	Category ZZ	\$4,450,000	to under	\$4,550,000
40	Category AAA	\$4,550,000	to under	\$4,650,000
41	Category BBB	\$4,650,000	to under	\$4,750,000
42	Category CCC	\$4,750,000	to under	\$4,850,000
43	Category DDD	\$4,850,000	to under	\$4,950,000
44	Category EEE	\$4,950,000	to under	\$5,050,000
45	Category FFF	\$5,050,000	to under	\$5,150,000
46	Category GGG	\$5,150,000	to under	\$5,250,000
47	Category HHH	\$5,250,000	to under	\$5,350,000
48	Category III	\$5,350,000	to under	\$5,450,000
49	Category JJJ	\$5,450,000	to under	\$5,550,000
50	Category KKK	\$5,550,000	to under	\$5,650,000
51	Category LLL	\$5,650,000	to under	\$5,750,000
52	Category MMM	\$5,750,000	to under	\$5,850,000
53	Category NNN	\$5,580,000	\$5,850,000	to under \$5,950,000
54	Category OOO	\$5,950,000	to under	\$6,050,000
55	Category PPP	\$6,050,000	to under	\$6,150,000
56	Category QQQ	\$6,150,000	to under	\$6,250,000

1	Category RRR	\$6,250,000	to under	\$6,350,000
2	Category SSS	\$6,350,000	to under	\$6,450,000
3	Category TTT	\$6,450,000	to under	\$6,550,000
4	Category UUU	\$6,550,000	to under	\$6,650,000
5	Category VVV	\$6,650,000	to under	\$6,750,000
6	Category WWW	\$6,750,000	to under	\$6,850,000
7	Category XXX	\$6,850,000	to under	\$6,950,000
8	Category YYY	\$6,950,000	to under	\$7,050,000
9	Category ZZZ	\$7,050,000	to under	\$7,150,000
10	Category AAAA	\$7,150,000	to under	\$7,250,000
11	Category BBBB	\$7,250,000	to under	\$7,350,000
12	Category CCCC	\$7,350,000	to under	\$7,450,000
13	Category DDDD	\$7,450,000	to under	\$7,550,000
14	Category EEEE	\$7,550,000	to under	\$7,650,000
15	Category FFFF	\$7,650,000	to under	\$7,750,000
16	Category GGGG	\$7,750,000	to under	\$7,850,000
17	Category HHHH	\$7,850,000	to under	\$7,950,000
18	Category IIII	\$7,950,000	to under	\$8,050,000
19	Category JJJJ	\$8,050,000	to under	\$8,150,000
20	Category KKKK	\$8,150,000	to under	\$8,250,000
21	Category LLLL	\$8,250,000	to under	\$8,350,000
22	Category MMMM	\$8,350,000	to under	\$8,450,000
23	Category NNNN	\$8,450,000	to under	\$8,550,000
24	Category OOOO	\$8,550,000	to under	\$8,650,000
25	Category PPPP	\$8,650,000	to under	\$8,750,000
26	Category QQQQ	\$8,750,000	to under	\$8,850,000
27	Category RRRR	\$8,850,000	to under	\$8,950,000
28	Category SSSS	\$8,950,000	to under	\$9,050,000
29	Category TTTT	\$9,050,000	to under	\$9,150,000
30	Category UUUU	\$9,150,000	to under	\$9,250,000
31	Category VVVV	\$9,250,000	to under	\$9,350,000
32	Category WWWW	\$9,350,000	to under	\$9,450,000
33	Category XXXX	\$9,450,000	to under	\$9,550,000
34	Category YYYY	\$9,550,000	to under	\$9,650,000
35	Category ZZZZ	\$9,650,000	to under	\$9,750,000
36	Category AAAAA	\$9,750,000	to under	\$9,850,000
37	Category BBBBB	\$9,850,000	to under	\$9,950,000
38	Category CCCCC	\$9,950,000	to under	\$10,000,000
39	Category DDDDD	\$10,000,000	or over	

TABLE II

40				
41	Category A		none	
42	Category B	\$	1 to under	\$ 1,000
43	Category C	\$	1,000 to under	\$ 5,000
44	Category D	\$	5,000 to under	\$ 20,000
45	Category E	\$	20,000 to under	\$ 50,000
46	Category F	\$	50,000 to under	\$ 75,000
47	Category G	\$	75,000 to under	\$ 100,000
48	Category H	\$	100,000 to under	\$ 150,000
49	Category I	\$	150,000 to under	\$ 250,000
50	Category J	\$	250,000 to under	\$ 500,000
51	Category K	\$	500,000 to under	\$ 750,000
52	Category L	\$	750,000 to under	\$1,000,000
53	Category M	\$1,000,000	to under	\$1,250,000
54	Category N	\$1,250,000	to under	\$1,500,000
55	Category O	\$1,500,000	to under	\$1,750,000

1	Category P	\$1,750,000	to under	\$2,000,000
2	Category Q	\$2,000,000	to under	\$2,250,000
3	Category R	\$2,250,000	to under	\$2,500,000
4	Category S	\$2,500,000	to under	\$2,750,000
5	Category T	\$2,750,000	to under	\$3,000,000
6	Category U	\$3,000,000	to under	\$3,250,000
7	Category V	\$3,250,000	to under	\$3,500,000
8	Category W	\$3,500,000	to under	\$3,750,000
9	Category X	\$3,750,000	to under	\$4,000,000
10	Category Y	\$4,000,000	to under	\$4,250,000
11	Category Z	\$4,250,000	to under	\$4,500,000
12	Category AA	\$4,500,000	to under	\$4,750,000
13	Category BB	\$4,750,000	to under	\$5,000,000
14	Category CC	\$5,000,000	to under	\$5,250,000
15	Category DD	\$5,250,000	to under	\$5,500,000
16	Category EE	\$5,500,000	to under	\$5,750,000
17	Category FF	\$5,750,000	to under	\$6,000,000
18	Category GG	\$6,000,000	to under	\$6,250,000
19	Category HH	\$6,250,000	to under	\$6,500,000
20	Category II	\$6,500,000	to under	\$6,750,000
21	Category JJ	\$6,750,000	to under	\$7,000,000
22	Category KK	\$7,000,000	to under	\$7,250,000
23	Category LL	\$7,250,000	to under	\$7,500,000
24	Category MM	\$7,500,000	to under	\$7,750,000
25	Category NN	\$7,750,000	to under	\$8,000,000
26	Category OO	\$8,000,000	to under	\$8,250,000
27	Category PP	\$8,250,000	to under	\$8,500,000
28	Category QQ	\$8,500,000	to under	\$8,750,000
29	Category RR	\$8,750,000	to under	\$9,000,000
30	Category SS	\$9,000,000	to under	\$9,250,000
31	Category TT	\$9,250,000	to under	\$9,500,000
32	Category UU	\$9,500,000	or over	

33 § 3. This act shall take effect on the thirtieth day after it shall
34 have become a law.