

STATE OF NEW YORK

1560

2023-2024 Regular Sessions

IN ASSEMBLY

January 17, 2023

Introduced by M. of A. McDONALD, WALSH, VANEL, MORINELLO, D. ROSENTHAL, SANTABARBARA, THIELE, SAYEGH, MILLER, SEAWRIGHT -- Multi-Sponsored by -- M. of A. SIMON, TAGUE -- read once and referred to the Committee on Governmental Operations

AN ACT to amend the public officers law, in relation to electronic financial disclosures of members and candidates of the legislature

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

1 Section 1. The opening paragraph of paragraph (a) of subdivision 2 of
2 section 73-a of the public officers law, as amended by section 7 of part
3 QQ of chapter 56 of the laws of 2022, is amended to read as follows:

4 Every statewide elected official, state officer or employee, member of
5 the legislature, legislative employee and political party chair and
6 every candidate for statewide elected office or for member of the legis-
7 lature shall file an annual statement of financial disclosure containing
8 the information and in the form set forth in subdivision three of this
9 section. Every member of the legislature and candidate for member of the
10 legislature must file their annual statement of financial disclosure
11 electronically in an electronic, readable, searchable and downloadable
12 format. On or before the fifteenth day of May with respect to the
13 preceding calendar year: (1) every member of the legislature, every
14 candidate for member of the legislature and legislative employee shall
15 file such statement with the legislative ethics commission which shall
16 provide such statement along with any requests for exemptions or
17 deletions to the commission on ethics and lobbying in government for
18 filing and rulings with respect to such requests for exemptions or
19 deletions, on or before the thirtieth day of June; and (2) all other
20 individuals required to file such statement shall file it with the
21 commission on ethics and lobbying in government, except that:

22 § 2. Subdivision 3 of section 73-a of the public officers law, as
23 amended by section 18 of part QQ of chapter 56 of the laws of 2022,

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

LBD04016-02-3

1 subparagraphs (b), (b-2), and (c) of paragraph 8 as separately amended
2 by section 8 of part QQ of chapter 56 of the laws of 2022, is amended to
3 read as follows:

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

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

7 1. Name _____

8 2. (a) Title of Position _____

9 (b) Department, Agency or other Governmental Entity _____

10 (c) Address of Present Office _____

11 (d) Office Telephone Number _____

12 3. (a) Marital Status _____. If married, please give spouse's
13 full name.

14 _____
15 (b) Full name of domestic partner (if applicable).
16 _____

17 (c) List the names of all unemancipated children.

18 _____
19 _____
20 _____
21 _____
22 _____

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

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

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

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

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

47
48 Position Organization State or Local Agency

1 _____
 2 _____
 3 _____
 4 _____
 5 _____

6 (b) List any office, trusteeship, directorship, partnership, or position
 7 of any nature, whether compensated or not, held by the spouse,
 8 domestic partner or unemancipated child of the reporting individual,
 9 with any firm, corporation, association, partnership, or other
 10 organization other than the State of New York. Include compensated
 11 honorary positions; do NOT list membership or uncompensated honorary
 12 positions. If the listed entity was licensed by any state or local
 13 agency, was regulated by any state regulatory agency or local agen-
 14 cy, or, as a regular and significant part of the business or activi-
 15 ty of said entity, did business with, or had matters other than
 16 ministerial matters before, any state or local agency, list the name
 17 of any such agency.

18		State or
19	Position	Local Agency
	Organization	
20	_____	
21	_____	
22	_____	
23	_____	
24	_____	

25 5. (a) List the name, address and description of any occupation,
 26 employment (other than the employment listed under Item 2 above),
 27 trade, business or profession engaged in by the reporting individ-
 28 ual. If such activity was licensed by any state or local agency, was
 29 regulated by any state regulatory agency or local agency, or, as a
 30 regular and significant part of the business or activity of said
 31 entity, did business with, or had matters other than ministerial
 32 matters before, any state or local agency, list the name of any such
 33 agency.

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

42 (b) If the spouse, domestic partner or unemancipated child of the
 43 reporting individual was engaged in any occupation, employment,
 44 trade, business or profession which activity was licensed by any
 45 state or local agency, was regulated by any state regulatory agency
 46 or local agency, or, as a regular and significant part of the busi-
 47 ness or activity of said entity, did business with, or had matters
 48 other than ministerial matters before, any state or local agency,

1 list the name, address and description of such occupation, employ-
2 ment, trade, business or profession and the name of any such agency.

3		Name & Address		State or
4	Position	of Organization	Description	Local
5				Agency
6	<hr/>			
7	<hr/>			
8	<hr/>			
9	<hr/>			
10	<hr/>			

11 6. List any interest, in EXCESS of \$1,000, held by the reporting indi-
 12 vidual, such individual's spouse, domestic partner or unemancipated
 13 child, or partnership of which any such person is a member, or
 14 corporation, 10% or more of the stock of which is owned or
 15 controlled by any such person, whether vested or contingent, in any
 16 contract made or executed by a state or local agency and include the
 17 name of the entity which holds such interest and the relationship of
 18 the reporting individual or such individual's spouse, domestic part-
 19 ner or such child to such entity and the interest in such contract.
 20 Do NOT include bonds and notes. Do NOT list any interest in any such
 21 contract on which final payment has been made and all obligations
 22 under the contract except for guarantees and warranties have been
 23 performed, provided, however, that such an interest must be listed
 24 if there has been an ongoing dispute during the calendar year for
 25 which this statement is filed with respect to any such guarantees or
 26 warranties. Do NOT list any interest in a contract made or executed
 27 by a local agency after public notice and pursuant to a process for
 28 competitive bidding or a process for competitive requests for
 29 proposals.

30		Entity	Relationship	Contracting	Category
31	Self,	Which Held	to Entity	State or	of
32	Spouse,	Interest in	and Interest	Local	Value of
33	Domestic	Contract	in Contract	Agency	Contract
34	Partner or				
35	Child				(In Table II)
36	<hr/>				
37	<hr/>				
38	<hr/>				
39	<hr/>				
40	<hr/>				

41 7. List any position the reporting individual held as an officer of any
 42 political party or political organization, as a member of any poli-
 43 tical party committee, or as a political party district leader. The
 44 term "party" shall have the same meaning as "party" in the election
 45 law. The term "political organization" means any party or independ-
 46 ent body as defined in the election law or any organization that is
 47 affiliated with or a subsidiary of a party or independent body.

1 _____
 2 _____
 3 _____
 4 _____
 5 _____

6 8. (a) If the reporting individual practices law, is licensed by the
 7 department of state as a real estate broker or agent or practices a
 8 profession licensed by the department of education, or works as a member
 9 or employee of a firm required to register pursuant to section one-e of
 10 the legislative law as a lobbyist, describe the services rendered for
 11 which compensation was paid including a general description of the prin-
 12 cipal subject areas of matters undertaken by such individual and princi-
 13 pal duties performed. Specifically state whether the reporting individ-
 14 ual provides services directly to clients. Additionally, if such an
 15 individual practices with a firm or corporation and is a partner or
 16 shareholder of the firm or corporation, give a general description of
 17 principal subject areas of matters undertaken by such firm or corpo-
 18 ration.

19 _____
 20 _____
 21 _____
 22 _____
 23 _____

24 (b) APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE
 25 PROVIDED ON OR AFTER JULY FIRST, TWO THOUSAND TWELVE AND BEFORE DECEMBER
 26 THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR NEW MATTERS FOR EXISTING
 27 CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE SERVICES THAT ARE PROVIDED ON
 28 OR AFTER JULY FIRST, TWO THOUSAND TWELVE AND BEFORE DECEMBER
 29 THIRTY-FIRST, TWO THOUSAND FIFTEEN:

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

- 38 (i) A contract in an amount totaling \$50,000 or more from the state or
- 39 any state agency for services, materials, or property;
- 40 (ii) A grant of \$25,000 or more from the state or any state agency
- 41 during the reporting period;
- 42 (iii) A grant obtained through a legislative initiative during the
- 43 reporting period; or
- 44 (iv) A case, proceeding, application or other matter that is not a
- 45 ministerial matter before a state agency during the reporting period.

46 For purposes of this question, "referred to the firm" shall mean:
 47 having intentionally and knowingly taken a specific act or series of
 48 acts to intentionally procure for the reporting individual's firm or
 49 knowingly solicit or direct to the reporting individual's firm in whole
 50 or substantial part, a person or entity that becomes a client of that
 51 firm for the purposes of representation for a matter as defined in
 52 subparagraphs (i) through (iv) of this paragraph, as the result of such

1 procurement, solicitation or direction of the reporting individual. A
2 reporting individual need not disclose activities performed while
3 lawfully acting pursuant to paragraphs (c), (d), (e) and (f) of subdivi-
4 sion seven of section seventy-three of this article.

5 The disclosure requirement in this question shall not require disclo-
6 sure of clients or customers receiving medical or dental services,
7 mental health services, residential real estate brokering services, or
8 insurance brokering services from the reporting individual or his or her
9 firm. The reporting individual need not identify any client to whom he
10 or she or his or her firm provided legal representation with respect to
11 investigation or prosecution by law enforcement authorities, bankruptcy,
12 or domestic relations matters. With respect to clients represented in
13 other matters, where disclosure of a client's identity is likely to
14 cause harm, the reporting individual shall request an exemption from the
15 commission on ethics and lobbying in government pursuant to section
16 ninety-four of the executive law, provided, however, that a reporting
17 individual who first enters public office after July first, two thousand
18 twelve, need not report clients or customers with respect to matters for
19 which the reporting individual or his or her firm was retained prior to
20 entering public office.

21 Client	Nature of Services Provided
22	
23	
24	
25	
26	

27 (b-1) APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES
28 ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR
29 FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE
30 SERVICES THAT ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOU-
31 SAND FIFTEEN (FOR PURPOSES OF THIS QUESTION, "SERVICES" SHALL MEAN
32 CONSULTATION, REPRESENTATION, ADVICE OR OTHER SERVICES):

33 If the reporting individual receives income from employment reportable
34 in question 8(a) and personally provides services to any person or enti-
35 ty, or works as a member or employee of a partnership or corporation
36 that provides such services (referred to hereinafter as a "firm"), the
37 reporting individual shall identify each client or customer to whom the
38 reporting individual personally provided services, or who was referred
39 to the firm by the reporting individual, and from whom the reporting
40 individual or his or her firm earned fees in excess of \$10,000 during
41 the reporting period in direct connection with:

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

50 For such services rendered by the reporting individual directly to
51 each such client, describe each matter that was the subject of such
52 representation, the services actually provided and the payment received.
53 For payments received from clients referred to the firm by the reporting
54 individual, if the reporting individual directly received a referral fee

1 or fees for such referral, identify the client and the payment so
 2 received.
 3 For purposes of this question, "referred to the firm" shall mean:
 4 having intentionally and knowingly taken a specific act or series of
 5 acts to intentionally procure for the reporting individual's firm or
 6 having knowingly solicited or directed to the reporting individual's
 7 firm in whole or substantial part, a person or entity that becomes a
 8 client of that firm for the purposes of representation for a matter as
 9 defined in clauses (i) through (iv) of this subparagraph, as the result
 10 of such procurement, solicitation or direction of the reporting individ-
 11 ual. A reporting individual need not disclose activities performed while
 12 lawfully acting in his or her capacity as provided in paragraphs (c),
 13 (d), (e) and (f) of subdivision seven of section seventy-three of this
 14 article.

15	Client	Matter	Nature of Services Provided	Category of Amount (in Table I)
16				
17				
18				
19				
20				
21				
22				

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

29 (i) With respect to reporting individuals who receive ten thousand
 30 dollars or more from employment or activity reportable under question
 31 8(a), for each client or customer NOT otherwise disclosed or exempted in
 32 question 8 or 13, disclose the name of each client or customer known to
 33 the reporting individual to whom the reporting individual provided
 34 services: (A) who paid the reporting individual in excess of five thou-
 35 sand dollars for such services; or (B) who had been billed with the
 36 knowledge of the reporting individual in excess of five thousand dollars
 37 by the firm or other entity named in question 8(a) for the reporting
 38 individual's services.

39	Client	Services Actually Provided	Category of Amount (in Table I)
40			

- 41 FOLLOWING IS AN ILLUSTRATIVE, NON-EXCLUSIVE LIST OF EXAMPLES OF
 42 DESCRIPTIONS OF "SERVICES ACTUALLY PROVIDED":
- 43 * REVIEWED DOCUMENTS AND CORRESPONDENCE;
 - 44 * REPRESENTED CLIENT (IDENTIFY CLIENT BY NAME) IN LEGAL PROCEEDING;
 - 45 * PROVIDED LEGAL ADVICE ON CLIENT MATTER (IDENTIFY CLIENT BY NAME);
 - 46 * CONSULTED WITH CLIENT OR CONSULTED WITH LAW PARTNERS/ASSOCIATES/MEMBERS
 47 OF FIRM ON CLIENT MATTER (IDENTIFY CLIENT BY NAME);

- 1 * PREPARED CERTIFIED FINANCIAL STATEMENT FOR CLIENT (IDENTIFY CLIENT BY
 2 NAME);
- 3 * REFERRED INDIVIDUAL OR ENTITY (IDENTIFY CLIENT BY NAME) FOR
 4 REPRESENTATION OR CONSULTATION;
- 5 * COMMERCIAL BROKERING SERVICES (IDENTIFY CUSTOMER BY NAME);
- 6 * PREPARED CERTIFIED ARCHITECTURAL OR ENGINEERING
 7 RENDERINGS FOR CLIENT (IDENTIFY CUSTOMER BY NAME);
- 8 * COURT APPOINTED GUARDIAN OR EVALUATOR (IDENTIFY COURT NOT CLIENT).
- 9 (ii) With respect to reporting individuals who disclosed in question
 10 8(a) that the reporting individual did not provide services to a client
 11 but provided services to a firm or business, identify the category of
 12 amount received for providing such services and describe the services
 13 rendered.
- 14 Services Actually Provided Category of Amount (Table I)

15 A reporting individual need not disclose activities performed while
 16 lawfully acting in his or her capacity as provided in paragraphs (c),
 17 (d), (e) and (f) of subdivision seven of section seventy-three of this
 18 article.

19 The disclosure requirement in questions (b-1) and (b-2) shall not
 20 require disclosing clients or customers receiving medical, pharmaceu-
 21 tical or dental services, mental health services, or residential real
 22 estate brokering services from the reporting individual or his or her
 23 firm or if federal law prohibits or limits disclosure. The reporting
 24 individual need not identify any client to whom he or she or his or her
 25 firm provided legal representation with respect to investigation or
 26 prosecution by law enforcement authorities, bankruptcy, family court,
 27 estate planning, or domestic relations matters, nor shall the reporting
 28 individual identify individuals represented pursuant to an insurance
 29 policy but the reporting individual shall in such circumstances only
 30 report the entity that provides compensation to the reporting individ-
 31 ual; with respect to matters in which the client's name is required by
 32 law to be kept confidential (such as matters governed by the family
 33 court act) or in matters in which the reporting individual represents or
 34 provides services to minors, the client's name may be replaced with
 35 initials. To the extent that the reporting individual, or his or her
 36 firm, provided legal representation with respect to an initial public
 37 offering, and professional disciplinary rules, federal law or regu-
 38 lations restrict the disclosure of information relating to such work,
 39 the reporting individual shall (i) disclose the identity of the client
 40 and the services provided relating to the initial public offering to the
 41 office of court administration, who will maintain such information
 42 confidentially in a locked box; and (ii) include in his or her response
 43 to questions (b-1) and (b-2) that pursuant to this paragraph, a disclo-
 44 sure to the office of court administration has been made. Upon such time
 45 that the disclosure of information maintained in the locked box is no
 46 longer restricted by professional disciplinary rules, federal law or
 47 regulation, the reporting individual shall disclose such information in
 48 an amended disclosure statement in response to the disclosure require-
 49 ments in questions (b-1) and (b-2). The office of court administration
 50 shall develop and maintain a secure portal through which information
 51 submitted to it pursuant to this paragraph can be safely and confiden-
 52 tially stored. With respect to clients represented in other matters not
 53 otherwise exempt, the reporting individual may request an exemption to

1 publicly disclosing the name of that client from the commission on
2 ethics and lobbying in government pursuant to section ninety-four of the
3 executive law, or from the office of court administration. In such
4 application, the reporting individual shall state the following: "My
5 client is not currently receiving my services or seeking my services in
6 connection with:

7 (i) A proposed bill or resolution in the senate or assembly during the
8 reporting period;

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

11 (iii) A grant of \$10,000 or more from the state or any state agency
12 during the reporting period;

13 (iv) A grant obtained through a legislative initiative during the
14 reporting period; or

15 (v) A case, proceeding, application or other matter that is not a
16 ministerial matter before a state agency during the reporting period."

17 In reviewing the request for an exemption, the commission on ethics
18 and lobbying in government or the office of court administration may
19 consult with bar or other professional associations and the legislative
20 ethics commission for individuals subject to its jurisdiction and may
21 consider the rules of professional conduct. In making its determination,
22 the commission on ethics and lobbying in government or the office of
23 court administration shall conduct its own inquiry and shall consider
24 factors including, but not limited to: (i) the nature and the size of
25 the client; (ii) whether the client has any business before the state;
26 and if so, how significant the business is; and whether the client has
27 any particularized interest in pending legislation and if so how signif-
28 icant the interest is; (iii) whether disclosure may reveal trade
29 secrets; (iv) whether disclosure could reasonably result in retaliation
30 against the client; (v) whether disclosure may cause undue harm to the
31 client; (vi) whether disclosure may result in undue harm to the attor-
32 ney-client relationship; and (vii) whether disclosure may result in an
33 unnecessary invasion of privacy to the client.

34 The commission on ethics and lobbying in government or, as the case
35 may be, the office of court administration shall promptly make a final
36 determination in response to such request, which shall include an expla-
37 nation for its determination. The office of court administration shall
38 issue its final determination within three days of receiving the
39 request. Notwithstanding any other provision of law or any professional
40 disciplinary rule to the contrary, the disclosure of the identity of any
41 client or customer in response to this question shall not constitute
42 professional misconduct or a ground for disciplinary action of any kind,
43 or form the basis for any civil or criminal cause of action or proceed-
44 ing. A reporting individual who first enters public office after January
45 first, two thousand sixteen, need not report clients or customers with
46 respect to matters for which the reporting individual or his or her firm
47 was retained prior to entering public office.

48 (c) APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE
49 PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR
50 NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE
51 SERVICES THAT ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOU-
52 SAND FIFTEEN:

53 If the reporting individual receives income of ten thousand dollars or
54 greater from any employment or activity reportable under question 8(a),
55 identify each registered lobbyist who has directly referred to such
56 individual a client who was successfully referred to the reporting indi-

1 vidual's business and from whom the reporting individual or firm
2 received a fee for services in excess of five thousand dollars. Report
3 only those referrals that were made to a reporting individual by direct
4 communication from a person known to such reporting individual to be a
5 registered lobbyist at the time the referral is made. With respect to
6 each such referral, the reporting individual shall identify the client,
7 the registered lobbyist who has made the referral, the category of value
8 of the compensation received and a general description of the type of
9 matter so referred. A reporting individual need not disclose activities
10 performed while lawfully acting pursuant to paragraphs (c), (d), (e) and
11 (f) of subdivision seven of section seventy-three of this article. The
12 disclosure requirements in this question shall not require disclosing
13 clients or customers receiving medical, pharmaceutical or dental
14 services, mental health services, or residential real estate brokering
15 services from the reporting individual or his or her firm or if federal
16 law prohibits or limits disclosure. The reporting individual need not
17 identify any client to whom he or she or his or her firm provided legal
18 representation with respect to investigation or prosecution by law
19 enforcement authorities, bankruptcy, family court, estate planning, or
20 domestic relations matters, nor shall the reporting individual identify
21 individuals represented pursuant to an insurance policy but the report-
22 ing individual shall in such circumstances only report the entity that
23 provides compensation to the reporting individual; with respect to
24 matters in which the client's name is required by law to be kept confi-
25 dential (such as matters governed by the family court act) or in matters
26 in which the reporting individual represents or provides services to
27 minors, the client's name may be replaced with initials. To the extent
28 that the reporting individual, or his or her firm, provided legal repre-
29 sentation with respect to an initial public offering, and federal law or
30 regulations restricts the disclosure of information relating to such
31 work, the reporting individual shall (i) disclose the identity of the
32 client and the services provided relating to the initial public offering
33 to the office of court administration, who will maintain such informa-
34 tion confidentially in a locked box; and (ii) include in his or her
35 response a statement that pursuant to this paragraph, a disclosure to
36 the office of court administration has been made. Upon such time that
37 the disclosure of information maintained in the locked box is no longer
38 restricted by federal law or regulation, the reporting individual shall
39 disclose such information in an amended disclosure statement in response
40 to the disclosure requirements of this paragraph. The office of court
41 administration shall develop and maintain a secure portal through which
42 information submitted to it pursuant to this paragraph can be safely and
43 confidentially stored. With respect to clients represented in other
44 matters not otherwise exempt, the reporting individual may request an
45 exemption to publicly disclosing the name of that client from the
46 commission on ethics and lobbying in government pursuant to section
47 ninety-four of the executive law, or from the office of court adminis-
48 tration. In such application, the reporting individual shall state the
49 following: "My client is not currently receiving my services or seeking
50 my services in connection with:

- 51 (i) A proposed bill or resolution in the senate or assembly during the
52 reporting period;
- 53 (ii) A contract in an amount totaling \$10,000 or more from the state
54 or any state agency for services, materials, or property;
- 55 (iii) A grant of \$10,000 or more from the state or any state agency
56 during the reporting period;

1 (iv) A grant obtained through a legislative initiative during the
2 reporting period; or

3 (v) A case, proceeding, application or other matter that is not a
4 ministerial matter before a state agency during the reporting period."

5 In reviewing the request for an exemption, the commission on ethics
6 and lobbying in government or the office of court administration may
7 consult with bar or other professional associations and the legislative
8 ethics commission for individuals subject to its jurisdiction and may
9 consider the rules of professional conduct. In making its determination,
10 the commission on ethics and lobbying in government or the office of
11 court administration shall conduct its own inquiry and shall consider
12 factors including, but not limited to: (i) the nature and the size of
13 the client; (ii) whether the client has any business before the state;
14 and if so, how significant the business is; and whether the client has
15 any particularized interest in pending legislation and if so how signif-
16 icant the interest is; (iii) whether disclosure may reveal trade
17 secrets; (iv) whether disclosure could reasonably result in retaliation
18 against the client; (v) whether disclosure may cause undue harm to the
19 client; (vi) whether disclosure may result in undue harm to the attor-
20 ney-client relationship; and (vii) whether disclosure may result in an
21 unnecessary invasion of privacy to the client.

22 The commission on ethics and lobbying in government or, as the case
23 may be, the office of court administration shall promptly make a final
24 determination in response to such request, which shall include an expla-
25 nation for its determination. The office of court administration shall
26 issue its final determination within three days of receiving the
27 request. Notwithstanding any other provision of law or any professional
28 disciplinary rule to the contrary, the disclosure of the identity of any
29 client or customer in response to this question shall not constitute
30 professional misconduct or a ground for disciplinary action of any kind,
31 or form the basis for any civil or criminal cause of action or proceed-
32 ing. A reporting individual who first enters public office after Decem-
33 ber thirty-first, two thousand fifteen, need not report clients or
34 customers with respect to matters for which the reporting individual or
35 his or her firm was retained prior to entering public office.

36 Client Name of Lobbyist Description Category of Amount
37 of Matter (in Table 1)

43 (d) List the name, principal address and general description or the
44 nature of the business activity of any entity in which the reporting
45 individual or such individual's spouse or domestic partner had an
46 investment in excess of \$1,000 excluding investments in securities and
47 interests in real property.

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

1	2	3	4	5	6	7
	Self, Spouse, Domestic Partner or Child	Name of Donor	Address	Nature of Gift		Category of Value of Gift (In Table I)
7	_____					
8	_____					
9	_____					
10	_____					
11	_____					

12 10. Identify and briefly describe the source of any reimbursements for
13 expenditures, EXCLUDING campaign expenditures and expenditures in
14 connection with official duties reimbursed by the state, in EXCESS
15 of \$1,000 from each such source. For purposes of this item, the term
16 "reimbursements" shall mean any travel-related expenses provided by
17 nongovernmental sources and for activities related to the reporting
18 individual's official duties such as, speaking engagements, confer-
19 ences, or factfinding events. The term "reimbursements" does NOT
20 include gifts reported under item 9.

21	22	23	24	25	26
	Source				Description
22	_____				
23	_____				
24	_____				
25	_____				
26	_____				

27 11. List the identity and value, if reasonably ascertainable, of each
28 interest in a trust, estate or other beneficial interest, including
29 retirement plans (other than retirement plans of the state of New
30 York or the city of New York), and deferred compensation plans
31 (e.g., 401, 403(b), 457, etc.) established in accordance with the
32 internal revenue code, in which the REPORTING INDIVIDUAL held a
33 beneficial interest in EXCESS of \$1,000 at any time during the
34 preceding year. Do NOT report interests in a trust, estate or other
35 beneficial interest established by or for, or the estate of, a rela-
36 tive.

37	38	39	40	41	42	43	44
	Identity						Category of Value* (In Table II)
40	_____						
41	_____						
42	_____						
43	_____						
44	_____						

45 * The value of such interest shall be reported only if reasonably
46 ascertainable.

1 12. (a) Describe the terms of, and the parties to, any contract, prom-
 2 ise, or other agreement between the reporting individual and any
 3 person, firm, or corporation with respect to the employment of such
 4 individual after leaving office or position (other than a leave of
 5 absence).

6 _____
 7 _____
 8 _____
 9 _____
 10 _____

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

17 _____
 18 _____
 19 _____
 20 _____
 21 _____

22 13. List below the nature and amount of any income in EXCESS of \$1,000
 23 from EACH SOURCE for the reporting individual and such individual's
 24 spouse or domestic partner for the taxable year last occurring prior
 25 to the date of filing. Each such source must be described with
 26 particularity. Nature of income includes, but is not limited to, all
 27 income (other than that received from the employment listed under
 28 Item 2 above) from compensated employment whether public or private,
 29 directorships and other fiduciary positions, contractual arrange-
 30 ments, teaching income, partnerships, honorariums, lecture fees,
 31 consultant fees, bank and bond interest, dividends, income derived
 32 from a trust, real estate rents, and recognized gains from the sale
 33 or exchange of real or other property. Income from a business or
 34 profession and real estate rents shall be reported with the source
 35 identified by the building address in the case of real estate rents
 36 and otherwise by the name of the entity and not by the name of the
 37 individual customers, clients or tenants, with the aggregate net
 38 income before taxes for each building address or entity. The
 39 receipt of maintenance received in connection with a matrimonial
 40 action, alimony and child support payments shall not be listed.

41	Self/			Category
42	Spouse	Source	Nature	of Amount
43	or Domestic			(In Table I)
44	Partner			

45 _____
 46 _____
 47 _____
 48 _____
 49 _____

1 14. List the sources of any deferred income (not retirement income) in
 2 EXCESS of \$1,000 from each source to be paid to the reporting indi-
 3 vidual following the close of the calendar year for which this
 4 disclosure statement is filed, other than deferred compensation
 5 reported in item 11 hereinabove. Deferred income derived from the
 6 practice of a profession shall be listed in the aggregate and shall
 7 identify as the source, the name of the firm, corporation, partner-
 8 ship or association through which the income was derived, but shall
 9 not identify individual clients.

10		Category
11	Source	of Amount
12		(In Table I)

13		
14		
15		
16		
17		

18 15. List each assignment of income in EXCESS of \$1,000, and each trans-
 19 fer other than to a relative during the reporting period for which
 20 this statement is filed for less than fair consideration of an
 21 interest in a trust, estate or other beneficial interest, securities
 22 or real property, by the reporting individual, in excess of \$1,000,
 23 which would otherwise be required to be reported herein and is not
 24 or has not been so reported.

25	Item Assigned	Assigned or	Category
26	or Transferred	Transferred to	of Value
27			(In Table I)

28		
29		
30		
31		
32		

33 16. List below the type and market value of securities held by the
 34 reporting individual or such individual's spouse or domestic partner
 35 from each issuing entity in EXCESS of \$1,000 at the close of the
 36 taxable year last occurring prior to the date of filing, including
 37 the name of the issuing entity exclusive of securities held by the
 38 reporting individual issued by a professional corporation. Whenever
 39 an interest in securities exists through a beneficial interest in a
 40 trust, the securities held in such trust shall be listed ONLY IF the
 41 reporting individual has knowledge thereof except where the report-
 42 ing individual or the reporting individual's spouse or domestic
 43 partner has transferred assets to such trust for his or her benefit
 44 in which event such securities shall be listed unless they are not
 45 ascertainable by the reporting individual because the trustee is
 46 under an obligation or has been instructed in writing not to
 47 disclose the contents of the trust to the reporting individual.
 48 Securities of which the reporting individual or the reporting indi-
 49 vidual's spouse or domestic partner is the owner of record but in
 50 which such individual or the reporting individual's spouse or domes-

1 tic partner has no beneficial interest shall not be listed. Indicate
2 percentage of ownership ONLY if the reporting person or the report-
3 ing person's spouse or domestic partner holds more than five percent
4 (5%) of the stock of a corporation in which the stock is publicly
5 traded or more than ten percent (10%) of the stock of a corporation
6 in which the stock is NOT publicly traded. Also list securities
7 owned for investment purposes by a corporation more than fifty
8 percent (50%) of the stock of which is owned or controlled by the
9 reporting individual or such individual's spouse or domestic part-
10 ner. For the purpose of this item the term "securities" shall mean
11 mutual funds, bonds, mortgages, notes, obligations, warrants and
12 stocks of any class, investment interests in limited or general
13 partnerships and certificates of deposits (CDs) and such other
14 evidences of indebtedness and certificates of interest as are usual-
15 ly referred to as securities. The market value for such securities
16 shall be reported only if reasonably ascertainable and shall not be
17 reported if the security is an interest in a general partnership
18 that was listed in item 8 (a) or if the security is corporate stock,
19 NOT publicly traded, in a trade or business of a reporting individ-
20 ual or a reporting individual's spouse or domestic partner.

21				Percentage	
22				of corporate	
23				stock owned	
24				or controlled	Category of
25				(if more than	Market Value
26				5% of pub-	as of the close
27				licly traded	of the
28				stock, or	taxable year
29				more than	last occurring
30				10% if stock	prior to
31	Self/	Issuing	Type of	not publicly	the filing of
32	Spouse	Entity	Security	traded, is held)	this statement
33	or				(In Table II)
34	Domestic				
35	Partner				

36 _____
37 _____
38 _____
39 _____
40 _____

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

1	Self/			Percentage	Category
2	Spouse/	General	Acquisition	of	of Market
3	Domestic	Nature	Date	Ownership	Value
4	Partner				(In
5	Corporation	Location	Size		Table II)
6	<hr/>				
7	<hr/>				
8	<hr/>				
9	<hr/>				
10	<hr/>				

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

21		Type of Obligation,	Category
22		Date Due, and Nature	of
23	Name of Debtor	of Collateral, if any	Amount
24			(In Table II)
25	<hr/>		
26	<hr/>		
27	<hr/>		
28	<hr/>		
29	<hr/>		

30 19. List below all liabilities of the reporting individual and such
 31 individual's spouse or domestic partner, in EXCESS of \$10,000 as of
 32 the date of filing of this statement, other than liabilities to a
 33 relative. Do NOT list liabilities incurred by, or guarantees made
 34 by, the reporting individual or such individual's spouse or domestic
 35 partner or by any proprietorship, partnership or corporation in
 36 which the reporting individual or such individual's spouse or domes-
 37 tic partner has an interest, when incurred or made in the ordinary
 38 course of the trade, business or professional practice of the
 39 reporting individual or such individual's spouse or domestic part-
 40 ner. Include the name of the creditor and any collateral pledged by
 41 such individual to secure payment of any such liability. A reporting
 42 individual shall not list any obligation to pay maintenance in
 43 connection with a matrimonial action, alimony or child support
 44 payments. Any loan issued in the ordinary course of business by a
 45 financial institution to finance educational costs, the cost of home
 46 purchase or improvements for a primary or secondary residence, or
 47 purchase of a personally owned motor vehicle, household furniture or
 48 appliances shall be excluded. If any such reportable liability has
 49 been guaranteed by any third person, list the liability and name the
 50 guarantor.

1 2 3 4	Name of Creditor or Guarantor	Type of Liability and Collateral, if any	Category of Amount (In Table II)
5			
6			
7			
8			
9			

10 The requirements of law relating to the reporting of financial
 11 interests are in the public interest and no adverse inference of
 12 unethical or illegal conduct or behavior will be drawn merely from
 13 compliance with these requirements.

14 _____
 15 (Signature of Reporting Individual) Date (month/day/year)

16		TABLE I	
17	Category A	none	
18	Category B	\$ 1 to under \$	1,000
19	Category C	\$ 1,000 to under \$	5,000
20	Category D	\$ 5,000 to under \$	20,000
21	Category E	\$ 20,000 to under \$	50,000
22	Category F	\$ 50,000 to under \$	75,000
23	Category G	\$ 75,000 to under \$	100,000
24	Category H	\$ 100,000 to under \$	150,000
25	Category I	\$ 150,000 to under \$	250,000
26	Category J	\$ 250,000 to under \$	350,000
27	Category K	\$ 350,000 to under \$	450,000
28	Category L	\$ 450,000 to under \$	550,000
29	Category M	\$ 550,000 to under \$	650,000
30	Category N	\$ 650,000 to under \$	750,000
31	Category O	\$ 750,000 to under \$	850,000
32	Category P	\$ 850,000 to under \$	950,000
33	Category Q	\$ 950,000 to under \$	1,050,000
34	Category R	\$1,050,000 to under \$	1,150,000
35	Category S	\$1,150,000 to under \$	1,250,000
36	Category T	\$1,250,000 to under \$	1,350,000
37	Category U	\$1,350,000 to under \$	1,450,000
38	Category V	\$1,450,000 to under \$	1,550,000
39	Category W	\$1,550,000 to under \$	1,650,000
40	Category X	\$1,650,000 to under \$	1,750,000
41	Category Y	\$1,750,000 to under \$	1,850,000
42	Category Z	\$1,850,000 to under \$	1,950,000
43	Category AA	\$1,950,000 to under \$	2,050,000
44	Category BB	\$2,050,000 to under \$	2,150,000
45	Category CC	\$2,150,000 to under \$	2,250,000
46	Category DD	\$2,250,000 to under \$	2,350,000
47	Category EE	\$2,350,000 to under \$	2,450,000
48	Category FF	\$2,450,000 to under \$	2,550,000
49	Category GG	\$2,550,000 to under \$	2,650,000
50	Category HH	\$2,650,000 to under \$	2,750,000
51	Category II	\$2,750,000 to under \$	2,850,000
52	Category JJ	\$2,850,000 to under \$	2,950,000

1	Category KK	\$2,950,000	to under	\$3,050,000
2	Category LL	\$3,050,000	to under	\$3,150,000
3	Category MM	\$3,150,000	to under	\$3,250,000
4	Category NN	\$3,250,000	to under	\$3,350,000
5	Category OO	\$3,350,000	to under	\$3,450,000
6	Category PP	\$3,450,000	to under	\$3,550,000
7	Category QQ	\$3,550,000	to under	\$3,650,000
8	Category RR	\$3,650,000	to under	\$3,750,000
9	Category SS	\$3,750,000	to under	\$3,850,000
10	Category TT	\$3,850,000	to under	\$3,950,000
11	Category UU	\$3,950,000	to under	\$4,050,000
12	Category VV	\$4,050,000	to under	\$4,150,000
13	Category WW	\$4,150,000	to under	\$4,250,000
14	Category XX	\$4,250,000	to under	\$4,350,000
15	Category YY	\$4,350,000	to under	\$4,450,000
16	Category ZZ	\$4,450,000	to under	\$4,550,000
17	Category AAA	\$4,550,000	to under	\$4,650,000
18	Category BBB	\$4,650,000	to under	\$4,750,000
19	Category CCC	\$4,750,000	to under	\$4,850,000
20	Category DDD	\$4,850,000	to under	\$4,950,000
21	Category EEE	\$4,950,000	to under	\$5,050,000
22	Category FFF	\$5,050,000	to under	\$5,150,000
23	Category GGG	\$5,150,000	to under	\$5,250,000
24	Category HHH	\$5,250,000	to under	\$5,350,000
25	Category III	\$5,350,000	to under	\$5,450,000
26	Category JJJ	\$5,450,000	to under	\$5,550,000
27	Category KKK	\$5,550,000	to under	\$5,650,000
28	Category LLL	\$5,650,000	to under	\$5,750,000
29	Category MMM	\$5,750,000	to under	\$5,850,000
30	Category NNN	\$5,850,000	to under	\$5,950,000
31	Category OOO	\$5,950,000	to under	\$6,050,000
32	Category PPP	\$6,050,000	to under	\$6,150,000
33	Category QQQ	\$6,150,000	to under	\$6,250,000
34	Category RRR	\$6,250,000	to under	\$6,350,000
35	Category SSS	\$6,350,000	to under	\$6,450,000
36	Category TTT	\$6,450,000	to under	\$6,550,000
37	Category UUU	\$6,550,000	to under	\$6,650,000
38	Category VVV	\$6,650,000	to under	\$6,750,000
39	Category WWW	\$6,750,000	to under	\$6,850,000
40	Category XXX	\$6,850,000	to under	\$6,950,000
41	Category YYY	\$6,950,000	to under	\$7,050,000
42	Category ZZZ	\$7,050,000	to under	\$7,150,000
43	Category AAAA	\$7,150,000	to under	\$7,250,000
44	Category BBBB	\$7,250,000	to under	\$7,350,000
45	Category CCCC	\$7,350,000	to under	\$7,450,000
46	Category DDDD	\$7,450,000	to under	\$7,550,000
47	Category EEEE	\$7,550,000	to under	\$7,650,000
48	Category FFFF	\$7,650,000	to under	\$7,750,000
49	Category GGGG	\$7,750,000	to under	\$7,850,000
50	Category HHHH	\$7,850,000	to under	\$7,950,000
51	Category IIII	\$7,950,000	to under	\$8,050,000
52	Category JJJJ	\$8,050,000	to under	\$8,150,000
53	Category KKKK	\$8,150,000	to under	\$8,250,000
54	Category LLLL	\$8,250,000	to under	\$8,350,000
55	Category MMMM	\$8,350,000	to under	\$8,450,000
56	Category NNNN	\$8,450,000	to under	\$8,550,000

1	Category OOOO	\$8,550,000	to under	\$8,650,000
2	Category PPPP	\$8,650,000	to under	\$8,750,000
3	Category QQQQ	\$8,750,000	to under	\$8,850,000
4	Category RRRR	\$8,850,000	to under	\$8,950,000
5	Category SSSS	\$8,950,000	to under	\$9,050,000
6	Category TTTT	\$9,050,000	to under	\$9,150,000
7	Category UUUU	\$9,150,000	to under	\$9,250,000
8	Category VVVV	\$9,250,000	to under	\$9,350,000
9	Category WWWW	\$9,350,000	to under	\$9,450,000
10	Category XXXX	\$9,450,000	to under	\$9,550,000
11	Category YYYYY	\$9,550,000	to under	\$9,650,000
12	Category ZZZZ	\$9,650,000	to under	\$9,750,000
13	Category AAAAA	\$9,750,000	to under	\$9,850,000
14	Category BBBBB	\$9,850,000	to under	\$9,950,000
15	Category CCCCC	\$9,950,000	to under	\$10,000,000
16	Category DDDDD	\$10,000,000	or over	

17				TABLE II
18	Category A		none	
19	Category B	\$	1	to under \$ 1,000
20	Category C	\$	1,000	to under \$ 5,000
21	Category D	\$	5,000	to under \$ 20,000
22	Category E	\$	20,000	to under \$ 50,000
23	Category F	\$	50,000	to under \$ 75,000
24	Category G	\$	75,000	to under \$ 100,000
25	Category H	\$	100,000	to under \$ 150,000
26	Category I	\$	150,000	to under \$ 250,000
27	Category J	\$	250,000	to under \$ 500,000
28	Category K	\$	500,000	to under \$ 750,000
29	Category L	\$	750,000	to under \$1,000,000
30	Category M	\$1,000,000	to under	\$1,250,000
31	Category N	\$1,250,000	to under	\$1,500,000
32	Category O	\$1,500,000	to under	\$1,750,000
33	Category P	\$1,750,000	to under	\$2,000,000
34	Category Q	\$2,000,000	to under	\$2,250,000
35	Category R	\$2,250,000	to under	\$2,500,000
36	Category S	\$2,500,000	to under	\$2,750,000
37	Category T	\$2,750,000	to under	\$3,000,000
38	Category U	\$3,000,000	to under	\$3,250,000
39	Category V	\$3,250,000	to under	\$3,500,000
40	Category W	\$3,500,000	to under	\$3,750,000
41	Category X	\$3,750,000	to under	\$4,000,000
42	Category Y	\$4,000,000	to under	\$4,250,000
43	Category Z	\$4,250,000	to under	\$4,500,000
44	Category AA	\$4,500,000	to under	\$4,750,000
45	Category BB	\$4,750,000	to under	\$5,000,000
46	Category CC	\$5,000,000	to under	\$5,250,000
47	Category DD	\$5,250,000	to under	\$5,500,000
48	Category EE	\$5,500,000	to under	\$5,750,000
49	Category FF	\$5,750,000	to under	\$6,000,000
50	Category GG	\$6,000,000	to under	\$6,250,000
51	Category HH	\$6,250,000	to under	\$6,500,000
52	Category II	\$6,500,000	to under	\$6,750,000
53	Category JJ	\$6,750,000	to under	\$7,000,000
54	Category KK	\$7,000,000	to under	\$7,250,000
55	Category LL	\$7,250,000	to under	\$7,500,000

1	Category MM	\$7,500,000 to under \$7,750,000
2	Category NN	\$7,750,000 to under \$8,000,000
3	Category OO	\$8,000,000 to under \$8,250,000
4	Category PP	\$8,250,000 to under \$8,500,000
5	Category QQ	\$8,500,000 to under \$8,750,000
6	Category RR	\$8,750,000 to under \$9,000,000
7	Category SS	\$9,000,000 to under \$9,250,000
8	Category TT	\$9,250,000 to under \$9,500,000
9	Category UU	\$9,500,000 or over

10 (b) The commission on ethics and lobbying in government shall make
11 available an editable, electronic, readable and searchable version of
12 the annual statement of financial disclosure by January first, two thou-
13 sand twenty-four to all those required by law to submit such forms.

14 § 3. This act shall take effect immediately; provided however that
15 section one of this act shall take effect January 1, 2025.