S T A T E   O F   N E W   Y O R K

4096

2015-2016 Regular Sessions

I N S E N A T E

February 26, 2015

Introduced by COMMITTEE ON RULES -- read twice and ordered printed, and when printed to be committed to the Committee on Rules

AN ACT to amend the public officers law, in relation to financial disclosure by certain members of entities advising or making recommendations to a state officer or state agency, requiring financial disclosure relating to persons residing with a reporting individual and expanding the application of the code of ethics to entities which advise or make recommendations to a state officer or state agency; limiting the power of such entities until certain requirements have been fulfilled; and to repeal paragraphs (e) and (g) of subdivision 1 of section 73-a of the public officers law relating to the definitions of "spouse" and "unemancipated child"

THE PEOPLE OF THE STATE OF NEW YORK, REPRESENTED IN SENATE AND ASSEMBLY, DO ENACT AS FOLLOWS:

Section 1. Subparagraphs (ii) and (iii) of paragraph (c) 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, are amended and a new subparagraph (iv) is added to read as follows:

(ii) officers and employees of statewide elected officials, officers and employees of state departments, boards, bureaus, divisions, commissions, councils or other state agencies, who receive annual compensation in excess of the filing rate established by paragraph (l) of this subdivision or who hold policy-making positions, as annually determined by the appointing authority and set forth in a written instrument which shall be filed with the joint commission on public ethics established by section ninety-four of the executive law during the month of February, provided, however, that the appointing authority shall amend such written instrument after such date within thirty days after the undertaking of policy-making responsibilities by a new employee or any other employee whose name did not appear on the most recent written instrument; [and]

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

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(iii) members or directors of public authorities, other than multi-state authorities, public benefit corporations and commissions at least one of whose members is appointed by the governor, and employees of such authorities, corporations and commissions who receive annual compensation in excess of the filing rate established by paragraph (l) of this subdivision or who hold policy-making positions, as determined annually by the appointing authority and set forth in a written instrument which shall be filed with the joint commission on public ethics established by section ninety-four of the executive law during the month of February, provided, however, that the appointing authority shall amend such written instrument after such date within thirty days after the undertaking of policy-making responsibilities by a new employee or any other employee whose name did not appear on the most recent written instrument[.]; AND

(IV) FOR THE PURPOSES OF THIS SECTION ONLY, SUCH TERM SHALL ALSO INCLUDE MEMBERS OF ANY ENTITY CREATED OR IN EXISTENCE AT ANY TIME DURING THE REPORTING PERIOD THAT ADVISES OR MAKES RECOMMENDATIONS TO A STATE OFFICER OR STATE AGENCY ON THE ALLOCATION OR DISBURSEMENT OF STATE OR FEDERAL MONEYS, NOT ALREADY REQUIRED BY LAW TO FILE SUCH DISCLOSURE.

S 2. Paragraphs (e) and (g) of subdivision 1 of section 73-a of the public officers law are REPEALED.

S 3. 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 37 of subpart A of part H of chapter 55 of the laws of 2014, 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.
   ____ .

   (b)] List the names of all [unemancipated children] THE PERSONS RESIDING WITH THE REPORTING INDIVIDUAL IN THE FILER'S PRIMARY RESIDENCE DURING THE REPORTING PERIOD AND THEIR RELATIONSHIP TO THE REPORTING INDIVIDUAL.

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

Whenever a "value" or "amount" is required to be reported herein, such value or amount shall be reported as being within one of the following

Categories in Table I or Table II of this subdivision as called for in the question: A reporting individual shall indicate the Category by letter only.

Whenever "income" is required to be reported herein, the term "income" shall mean the aggregate net income before taxes from the source identified.

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

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

Position	Organization	State or Local Agency

(b) List any office, trusteeship, directorship, partnership, or position of any nature, whether compensated or not, held by [the spouse or unemancipated child] ANY PERSON RESIDING IN THE PRIMARY RESIDENCE of the reporting individual, with any firm, corporation, association, partnership, or other organization other than the State of New York. Include compensated honorary positions; do NOT list membership or uncompensated honorary positions. If the listed entity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

Position	Organization	State or Local Agency

5. (a) List the name, address and description of any occupation, employment (other than the employment listed under Item 2 above), trade, business or profession engaged in by the reporting individual. If such activity was licensed by any state or local agency, was

regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

Position	Name & Address of Organization	Description	State or Local Agency

(b) If [the spouse or unemancipated child] ANY PERSON RESIDING IN THE PRIMARY RESIDENCE of the reporting individual was engaged in any occupation, employment, trade, business or profession which activity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name, address and description of such occupation, employment, trade, business or profession and the name of any such agency.

Position	Name & Address of Organization	Description	State or Local Agency

6. List any interest, in EXCESS of $1,000, held by the reporting individual[, such individual's spouse or unemancipated child] OR ANY PERSON RESIDING IN THE PRIMARY RESIDENCE OF THE REPORTING INDIVIDUAL, or partnership of which SUCH INDIVIDUAL OR any such person is a member, or corporation, 10% or more of the stock of which is owned or controlled by any such person, whether vested or contingent, in any contract made or executed by a state or local agency and include the name of the entity which holds such interest and the relationship of the reporting individual or [such individual's spouse or such child] ANY PERSON RESIDING IN THE PRIMARY RESIDENCE OF THE REPORTING INDIVIDUAL 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.

Self[, Spouse] or [Child] MEMBER OF HOUSEHOLD	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)

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, give a general description of the principal subject areas of matters undertaken by such individual. 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.

(b) APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE PROVIDED ON OR AFTER JULY FIRST, TWO THOUSAND TWELVE, OR FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE SERVICES THAT ARE PROVIDED ON OR AFTER JULY FIRST, TWO THOUSAND TWELVE:

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

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

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

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

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

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

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

The disclosure requirement in this question shall not require disclosure of clients or customers receiving medical or dental services, mental health services, residential real estate brokering services, or insurance brokering services from the reporting individual or his or her firm. The reporting individual need not identify any client to whom he or she or his or her firm provided legal representation with respect to investigation or prosecution by law enforcement authorities, bankruptcy, or domestic relations matters. With respect to clients represented in other matters, where disclosure of a client's identity is likely to cause harm, the reporting individual shall request an exemption from the joint commission pursuant to paragraph (i) of subdivision nine of section ninety-four of the executive law. Only a reporting individual who first enters public office after July first, two thousand twelve, 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	Nature of Services Provided

(c) APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE PROVIDED ON OR AFTER JANUARY FIRST, TWO THOUSAND FIFTEEN, OR FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE SERVICES THAT ARE PROVIDED ON OR AFTER JANUARY FIRST, TWO THOUSAND FIFTEEN:

If the reporting individual receives income of fifty thousand dollars or greater from any employment or activity reportable under question 8(a), identify each registered lobbyist who has directly referred to such individual a client who was successfully referred to the reporting individual's business and from whom the reporting individual or firm received a fee for services in excess of ten thousand dollars. Report only these referrals that were made to a reporting individual by direct communication from a person known to such reporting individual to be a registered lobbyist at the time the referral is made. With respect to each such referral, the reporting individual shall identify the registered lobbyist who has made the referral, the category of value of the compensation received and a general description of the type of matter so referred. A reporting individual need not disclose activities performed while lawfully acting pursuant to paragraphs (c), (d), (e) and (f) of subdivision seven of section seventy-three of this article. The disclosure requirements in this question shall not require disclosure of clients or customers receiving medical or dental services, mental health services, residential real estate brokering services, or insurance brokering services from the reporting individual or his or her firm. The reporting individual need not identify any client to whom he or she or his or her firm provided legal representation with respect to investigation or prosecution by law enforcement authorities, bankruptcy, or domestic relations matters. With respect to clients represented in other matters, the reporting individual shall request an exemption from the joint commission, which shall be granted for good cause shown. For the purposes of this question, good cause may be shown by circumstances including, but not limited to, where disclosure of a client's identity would reveal trade secrets or have a negative impact on the client's business interests, would cause embarrassment for the client, could reasonably result in retaliation against the client, or would tend to reveal non-public matters regarding a criminal investigation. Only a reporting individual who first enters public office after January 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	Category of Amount (in Table 1)

(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] PERSON RESIDING IN THE PRIMARY RESIDENCE OF THE REPORTING INDIVIDUAL had an investment in excess of $1,000 excluding investments in securities and interests in real property.

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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] ANY PERSON RESIDING IN THE PRIMARY RESIDENCE OF THE REPORTING INDIVIDUAL 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] MEMBER OF HOUSEHOLD	Name of Donor	Address	Nature of Gift	Category of Value of Gift (In Table I)

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

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

Identity	Category of Value* (In Table II)

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

12. (a) Describe the terms of, and the parties to, any contract, promise, or other agreement between the reporting individual and any person, firm, or corporation with respect to the employment of such individual after leaving office or position (other than a leave of absence).

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

13. List below the nature and amount of any income in EXCESS of $1,000 from EACH SOURCE for the reporting individual and [such individual's spouse] ANY PERSON RESIDING IN THE PRIMARY RESIDENCE OF THE REPORTING INDIVIDUAL for the taxable year last occurring prior to the date of filing. 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] MEMBER OF HOUSEHOLD	Source	Nature	Category of Amount (In Table I)

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)

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.

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

16. List below the type and market value of securities held by the reporting individual or [such individual's spouse] ANY PERSON RESIDING IN THE PRIMARY RESIDENCE OF THE REPORTING INDIVIDUAL from each issuing entity in EXCESS of $1,000 at the close of the taxable year last occurring prior to the date of filing, including the name of the issuing entity exclusive of securities held by the reporting individual issued by a professional corporation. Whenever an interest in securities exists through a beneficial interest in a trust, the securities held in such trust shall be listed ONLY IF the reporting individual has knowledge thereof except where the reporting individual or [the reporting individual's spouse] ANY PERSON RESIDING IN THE PRIMARY RESIDENCE OF THE REPORTING INDIVIDUAL has transferred assets to such trust for his or her benefit in which event such securities shall be listed unless they are not ascertainable by the reporting individual because the trustee is under an

obligation or has been instructed in writing not to disclose the contents of the trust to the reporting individual. Securities of which the reporting individual or [the reporting individual's spouse] ANY PERSON RESIDING IN THE PRIMARY RESIDENCE OF THE REPORTING INDIVIDUAL is the owner of record but in which such individual or [the reporting individual's spouse] ANY PERSON RESIDING IN THE PRIMARY RESIDENCE OF THE REPORTING INDIVIDUAL has no beneficial interest shall not be listed. Indicate percentage of ownership ONLY if the reporting person or [the reporting person's spouse] ANY PERSON RESIDING IN THE PRIMARY RESIDENCE OF THE REPORTING INDIVIDUAL holds more than five percent (5%) of the stock of a corporation in which the stock is publicly traded or more than ten percent (10%) of the stock of a corporation in which the stock is NOT publicly traded. Also list securities 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] ANY PERSON RESIDING IN THE PRIMARY RESIDENCE OF THE REPORTING INDIVIDUAL. For the purpose of this item the term "securities" shall mean mutual funds, bonds, mortgages, notes, obligations, warrants and stocks of any class, investment interests in limited or general partnerships and certificates of deposits (CDs) and such other evidences of indebtedness and certificates of interest as are usually referred to as securities. The market value for such securities shall be reported only if reasonably ascertainable and shall not be reported if the security is an interest in a general partnership that was listed in item 8 (a) or if the security is corporate stock, NOT publicly traded, in a trade or business of a reporting individual or [a reporting individual's spouse] ANY PERSON RESIDING IN THE PRIMARY RESIDENCE OF THE REPORTING INDIVIDUAL.

Self/ [Spouse] MEMBER OF HOUSEHOLD	Issuing Entity	Type of Security	Percentage of corporate stock owned or controlled (if more than 5% of publicly traded stock, or more than 10% if stock not publicly traded, is held)	Category of Market Value as of the close of the taxable year last occurring prior to the filing of this statement (In Table II)

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] ANY PERSON RESIDING IN THE PRIMARY RESIDENCE OF THE REPORTING INDI-

VIDUAL. 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] PERSON RESIDING IN THE PRIMARY RESIDENCE OF THE REPORTING INDIVIDUAL. Do NOT list any real property which is the primary or secondary personal residence of the reporting individual or [the reporting individual's spouse] ANY PERSON RESIDING IN THE PRIMARY RESIDENCE OF THE REPORTING INDIVIDUAL, except where there is a co-owner who is other than a relative.

Self/ [Spouse] MEMBER OF HOUSEHOLD/ Corporation	Location	Size	General Nature	Acquisition Date	Percentage of Ownership	Category of Market (In Table II)

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)

19. List below all liabilities of the reporting individual and [such individual's spouse] ANY PERSON RESIDING IN THE PRIMARY RESIDENCE OF THE REPORTING INDIVIDUAL, 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] ANY PERSON RESIDING IN THE PRIMARY RESIDENCE OF THE REPORTING INDIVIDUAL or by any proprietorship, partnership or corporation in which the reporting individual or such [individual's spouse] PERSON RESIDING IN THE PRIMARY RESIDENCE OF THE REPORTING INDIVIDUAL has an interest, when incurred or made in the ordinary course of the trade, business or profes-

sional practice of the reporting individual or such [individual's spouse] PERSON RESIDING IN THE PRIMARY RESIDENCE OF THE REPORTING INDIVIDUAL. 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)

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)

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
Category N	$ 650,000	to under	$ 750,000
Category O	$ 750,000	to under	$ 850,000
Category P	$ 850,000	to under	$ 950,000
Category Q	$ 950,000	to under	$1,050,000
Category R	$1,050,000	to under	$1,150,000
Category S	$1,150,000	to under	$1,250,000
Category T	$1,250,000	to under	$1,350,000
Category U	$1,350,000	to under	$1,450,000
Category V	$1,450,000	to under	$1,550,000

Category W	$1,550,000 to under $1,650,000
Category X	$1,650,000 to under $1,750,000
Category Y	$1,750,000 to under $1,850,000
Category Z	$1,850,000 to under $1,950,000
Category AA	$1,950,000 to under $2,050,000
Category BB	$2,050,000 to under $2,150,000
Category CC	$2,150,000 to under $2,250,000
Category DD	$2,250,000 to under $2,350,000
Category EE	$2,350,000 to under $2,450,000
Category FF	$2,450,000 to under $2,550,000
Category GG	$2,550,000 to under $2,650,000
Category HH	$2,650,000 to under $2,750,000
Category II	$2,750,000 to under $2,850,000
Category JJ	$2,850,000 to under $2,950,000
Category KK	$2,950,000 to under $3,050,000
Category LL	$3,050,000 to under $3,150,000
Category MM	$3,150,000 to under $3,250,000
Category NN	$3,250,000 to under $3,350,000
Category OO	$3,350,000 to under $3,450,000
Category PP	$3,450,000 to under $3,550,000
Category QQ	$3,550,000 to under $3,650,000
Category RR	$3,650,000 to under $3,750,000
Category SS	$3,750,000 to under $3,850,000
Category TT	$3,850,000 to under $3,950,000
Category UU	$3,950,000 to under $4,050,000
Category VV	$4,050,000 to under $4,150,000
Category WW	$4,150,000 to under $4,250,000
Category XX	$4,250,000 to under $4,350,000
Category YY	$4,350,000 to under $4,450,000
Category ZZ	$4,450,000 to under $4,550,000
Category AAA	$4,550,000 to under $4,650,000
Category BBB	$4,650,000 to under $4,750,000
Category CCC	$4,750,000 to under $4,850,000
Category DDD	$4,850,000 to under $4,950,000
Category EEE	$4,950,000 to under $5,050,000
Category FFF	$5,050,000 to under $5,150,000
Category GGG	$5,150,000 to under $5,250,000
Category HHH	$5,250,000 to under $5,350,000
Category III	$5,350,000 to under $5,450,000
Category JJJ	$5,450,000 to under $5,550,000
Category KKK	$5,550,000 to under $5,650,000
Category LLL	$5,650,000 to under $5,750,000
Category MMM	$5,750,000 to under $5,850,000
Category NNN	[$5,580,000] $5,850,000 to under $5,950,000
Category OOO	$5,950,000 to under $6,050,000
Category PPP	$6,050,000 to under $6,150,000
Category QQQ	$6,150,000 to under $6,250,000
Category RRR	$6,250,000 to under $6,350,000
Category SSS	$6,350,000 to under $6,450,000
Category TTT	$6,450,000 to under $6,550,000
Category UUU	$6,550,000 to under $6,650,000
Category VVV	$6,650,000 to under $6,750,000
Category WWW	$6,750,000 to under $6,850,000
Category XXX	$6,850,000 to under $6,950,000
Category YYY	$6,950,000 to under $7,050,000
Category ZZZ	$7,050,000 to under $7,150,000

Category AAAA	$7,150,000 to under $7,250,000
Category BBBB	$7,250,000 to under $7,350,000
Category CCCC	$7,350,000 to under $7,450,000
Category DDDD	$7,450,000 to under $7,550,000
Category EEEE	$7,550,000 to under $7,650,000
Category FFFF	$7,650,000 to under $7,750,000
Category GGGG	$7,750,000 to under $7,850,000
Category HHHH	$7,850,000 to under $7,950,000
Category IIII	$7,950,000 to under $8,050,000
Category JJJJ	$8,050,000 to under $8,150,000
Category KKKK	$8,150,000 to under $8,250,000
Category LLLL	$8,250,000 to under $8,350,000
Category MMMM	$8,350,000 to under $8,450,000
Category NNNN	$8,450,000 to under $8,550,000
Category OOOO	$8,550,000 to under $8,650,000
Category PPPP	$8,650,000 to under $8,750,000
Category QQQQ	$8,750,000 to under $8,850,000
Category RRRR	$8,850,000 to under $8,950,000
Category SSSS	$8,950,000 to under $9,050,000
Category TTTT	$9,050,000 to under $9,150,000
Category UUUU	$9,150,000 to under $9,250,000
Category VVVV	$9,250,000 to under $9,350,000
Category WWWW	$9,350,000 to under $9,450,000
Category XXXX	$9,450,000 to under $9,550,000
Category YYYY	$9,550,000 to under $9,650,000
Category ZZZZ	$9,650,000 to under $9,750,000
Category AAAAA	$9,750,000 to under $9,850,000
Category BBBBB	$9,850,000 to under $9,950,000
Category CCCCC	$9,950,000 to under $10,000,000
Category DDDDD	$10,000,000 or over

TABLE II

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 $ 500,000
Category K	$ 500,000 to under $ 750,000
Category L	$ 750,000 to under $1,000,000
Category M	$1,000,000 to under $1,250,000
Category N	$1,250,000 to under $1,500,000
Category O	$1,500,000 to under $1,750,000
Category P	$1,750,000 to under $2,000,000
Category Q	$2,000,000 to under $2,250,000
Category R	$2,250,000 to under $2,500,000
Category S	$2,500,000 to under $2,750,000
Category T	$2,750,000 to under $3,000,000
Category U	$3,000,000 to under $3,250,000
Category V	$3,250,000 to under $3,500,000
Category W	$3,500,000 to under $3,750,000
Category X	$3,750,000 to under $4,000,000

Category Y	$4,000,000 to under $4,250,000
Category Z	$4,250,000 to under $4,500,000
Category AA	$4,500,000 to under $4,750,000
Category BB	$4,750,000 to under $5,000,000
Category CC	$5,000,000 to under $5,250,000
Category DD	$5,250,000 to under $5,500,000
Category EE	$5,500,000 to under $5,750,000
Category FF	$5,750,000 to under $6,000,000
Category GG	$6,000,000 to under $6,250,000
Category HH	$6,250,000 to under $6,500,000
Category II	$6,500,000 to under $6,750,000
Category JJ	$6,750,000 to under $7,000,000
Category KK	$7,000,000 to under $7,250,000
Category LL	$7,250,000 to under $7,500,000
Category MM	$7,500,000 to under $7,750,000
Category NN	$7,750,000 to under $8,000,000
Category OO	$8,000,000 to under $8,250,000
Category PP	$8,250,000 to under $8,500,000
Category QQ	$8,500,000 to under $8,750,000
Category RR	$8,750,000 to under $9,000,000
Category SS	$9,000,000 to under $9,250,000
Category TT	$9,250,000 to under $9,500,000
Category UU	$9,500,000 or over

S 4. Subdivision 1 of section 74 of the public officers law, as amended by chapter 1012 of the laws of 1965, the opening paragraph as amended by chapter 14 of the laws of 2007, is amended to read as follows:

1. [Definition] DEFINITIONS. As used in this section:

A. The term "state agency" shall mean any state department, or division, board, commission, or bureau of any state department or any public benefit corporation or public authority at least one of whose members is appointed by the governor or corporations closely affiliated with specific state agencies as defined by paragraph (d) of subdivision five of section fifty-three-a of the state finance law or their successors.

B. FOR THE PURPOSES OF THIS SECTION ONLY, THE TERM "STATE AGENCY" SHALL ALSO INCLUDE ANY ENTITY CREATED THAT ADVISES OR MAKES RECOMMENDATIONS TO A STATE OFFICER OR STATE AGENCY ON THE ALLOCATION OR DISBURSEMENT OF STATE OR FEDERAL MONEYS.

C. The term "legislative employee" shall mean any officer or employee of the legislature but it shall not include members of the legislature.

S 5. No member of any entity in existence upon the effective date of this section or created thereafter that was created for the purpose of advising or making recommendations to a state officer, agency, authority or public benefit corporation on the allocation or disbursement of state or federal moneys may take any action including, but not limited to discussing and voting on such advice or recommendations, until the joint commission on public ethics certifies, in writing, to the director of the budget that the member has filed the financial disclosure form contained in section 73-a of the public officers law with such commission. No state officer, agency, authority or public benefit corporation may execute any contract or grant, on or after July 15, 2015, upon the advice or recommendation of any entity until such time as the members of such entity providing such advice or recommendations certifies that all members, the members' spouses, the natural or adopted descendants of the members or of the members' spouses, any sibling of the members or of the members' spouses, any person sharing the home of any of the foregoing, or any staff member, employee or agent of the members have (i) no financial interest, direct or indirect, in connection with the requested contract or grant agreement, (ii) not received and will not receive any financial benefit, either directly or indirectly from the contractor or grantee that is a party to the requested contract or grant agreement and (iii) no known conflicts of interest as set forth in section 74 of the public officers law in connection with the requested contract or grant agreement.

S 6. This act shall take effect immediately; provided, that sections one, two, three and four of this act shall apply to annual statements of financial disclosure filed for calendar years commencing on or after January 1, 2015.