

STATE OF NEW YORK

5688--A

2017-2018 Regular Sessions

IN ASSEMBLY

February 14, 2017

Introduced by M. of A. McDONALD -- read once and referred to the Committee on Governmental Operations -- committee discharged, bill amended, ordered reprinted as amended and recommitted to said committee

AN ACT to amend the public officers law, in relation to requiring legislators and candidates for member of the legislature to provide a link to their financial disclosure statements on their official state and campaign websites

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 (k) of subdivision 2 of
2 section 73-a of the public officers law is designated subparagraph (i)
3 and two new subparagraphs (ii) and (iii) are added to read as follows:

4 (ii) Notwithstanding any other provision of law to the contrary, all
5 members of the legislature who maintain any state website for service in
6 their official capacity shall establish a clearly visible link entitled
7 "MY FINANCIAL DISCLOSURE STATEMENTS" on the front page of their website
8 which shall direct website visitors to current and past financial
9 disclosure forms that the legislator has submitted to the joint commis-
10 sion on public ethics.

11 (iii) Notwithstanding any other provision of law to the contrary,
12 every candidate for member of the legislature who maintains any website
13 for service in their official campaign capacity shall establish a clear-
14 ly visible link entitled "MY FINANCIAL DISCLOSURE STATEMENTS" on the
15 front page of their campaign website which shall direct visitors to
16 current and past financial disclosure forms that the candidate has
17 submitted to the joint commission on public ethics, in accordance with
18 paragraph (a) of this subdivision.

19 § 2. The opening paragraph of paragraph (a) of subdivision 2 of
20 section 73-a of the public officers law, as amended by section 5 of part
21 A of chapter 399 of the laws of 2011, is amended to read as follows:

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

LBD09678-02-7

Every statewide elected official, state officer or employee, member of the legislature, legislative employee and political party chairman and every candidate for statewide elected office or for member of the legislature shall file an annual statement of financial disclosure containing the information and in the form set forth in subdivision three of this section. Every member of the legislature and candidate for member of the legislature must file their annual statement of financial disclosure electronically in an electronic, readable, searchable and downloadable format. On or before the fifteenth day of May with respect to the preceding calendar year: (1) every member of the legislature, every candidate for member of the legislature and legislative employee shall file such statement with the legislative ethics commission which shall provide such statement along with any requests for exemptions or deletions to the joint commission on public ethics for filing and rulings with respect to such requests for exemptions or deletions, on or before the thirtieth day of June; and (2) all other individuals required to file such statement shall file it with the joint commission on public ethics, except that:

§ 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 6 of part K of chapter 286 of the laws of 2016 and paragraph 13 as amended by section 1 of part CC of chapter 56 of the laws of 2015, is amended to read as follows:

3. (a) 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.

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
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(b) List any office, trusteeship, directorship, partnership, or position of any nature, whether compensated or not, held by the spouse or unemancipated child 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
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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
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(b) If the spouse or unemancipated child 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
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6. List any interest, in EXCESS of \$1,000, held by the reporting individual, such individual's spouse or unemancipated child, or partnership of which 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 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	Entity Which Held Interest in Contract	Relationship to Entity and Interest in Contract	Contracting State or Local Agency	Category of Value of Contract
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(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, describe the services rendered for which compensation was paid including a general description of the principal subject areas of matters undertaken by such individual and principal duties performed. Specifically state whether the reporting individual provides services directly to clients. Additionally, if such an individual practices with a firm or corporation and is a partner or shareholder of the firm or corporation, give a general description of principal subject areas of matters undertaken by such firm or corporation.

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

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

1 his or her firm earned fees in excess of \$10,000 during the reporting
2 period for such services rendered in direct connection with:

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

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

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

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

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

22 The disclosure requirement in this question shall not require disclo-
23 sure of clients or customers receiving medical or dental services,
24 mental health services, residential real estate brokering services, or
25 insurance brokering services from the reporting individual or his or her
26 firm. The reporting individual need not identify any client to whom he
27 or she or his or her firm provided legal representation with respect to
28 investigation or prosecution by law enforcement authorities, bankruptcy,
29 or domestic relations matters. With respect to clients represented in
30 other matters, where disclosure of a client's identity is likely to
31 cause harm, the reporting individual shall request an exemption from the
32 joint commission pursuant to paragraph (i-1) of subdivision nine of
33 section ninety-four of the executive law, provided, however, that a
34 reporting individual who first enters public office after July first,
35 two thousand twelve, need not report clients or customers with respect
36 to matters for which the reporting individual or his or her firm was
37 retained prior to entering public office.

38 Client Nature of Services Provided

39 _____
40 _____
41 _____
42 _____
43 _____

44 (b-1) APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES
45 ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR
46 FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE
47 SERVICES THAT ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOU-
48 SAND FIFTEEN (FOR PURPOSES OF THIS QUESTION, "SERVICES" SHALL MEAN
49 CONSULTATION, REPRESENTATION, ADVICE OR OTHER SERVICES):

50 If the reporting individual receives income from employment reportable
51 in question 8(a) and personally provides services to any person or enti-
52 ty, or works as a member or employee of a partnership or corporation
53 that provides such services (referred to hereinafter as a "firm"), the
54 reporting individual shall identify each client or customer to whom the
55 reporting individual personally provided services, or who was referred

1 to the firm by the reporting individual, and from whom the reporting
2 individual or his or her firm earned fees in excess of \$10,000 during
3 the reporting period in direct connection with:

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

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

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

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

12 For such services rendered by the reporting individual directly to
13 each such client, describe each matter that was the subject of such
14 representation, the services actually provided and the payment received.
15 For payments received from clients referred to the firm by the reporting
16 individual, if the reporting individual directly received a referral fee
17 or fees for such referral, identify the client and the payment so
18 received.

19 For purposes of this question, "referred to the firm" shall mean:
20 having intentionally and knowingly taken a specific act or series of
21 acts to intentionally procure for the reporting individual's firm or
22 having knowingly solicited or directed to the reporting individual's
23 firm in whole or substantial part, a person or entity that becomes a
24 client of that firm for the purposes of representation for a matter as
25 defined in clauses (i) through (iv) of this subparagraph, as the result
26 of such procurement, solicitation or direction of the reporting individ-
27 ual. A reporting individual need not disclose activities performed while
28 lawfully acting in his or her capacity as provided in paragraphs (c),
29 (d), (e) and (f) of subdivision seven of section seventy-three of this
30 article.

31	Client	Matter	Nature of Services Provided	Category of Amount (in Table I)
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39 (b-2) APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES
40 ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR
41 FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE
42 SERVICES THAT ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOU-
43 SAND FIFTEEN (FOR PURPOSES OF THIS QUESTION, "SERVICES" SHALL MEAN
44 CONSULTATION, REPRESENTATION, ADVICE OR OTHER SERVICES):

45 (i) With respect to reporting individuals who receive ten thousand
46 dollars or more from employment or activity reportable under question
47 8(a), for each client or customer NOT otherwise disclosed or exempted in
48 question 8 or 13, disclose the name of each client or customer known to
49 the reporting individual to whom the reporting individual provided
50 services: (A) who paid the reporting individual in excess of five thou-
51 sand dollars for such services; or (B) who had been billed with the
52 knowledge of the reporting individual in excess of five thousand dollars
53 by the firm or other entity named in question 8(a) for the reporting
54 individual's services.

1	Client	Services	Category of Amount
2		Actually Provided	(in Table I)

3 FOLLOWING IS AN ILLUSTRATIVE, NON-EXCLUSIVE LIST OF EXAMPLES OF
 4 DESCRIPTIONS OF "SERVICES ACTUALLY PROVIDED":

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

18 (ii) With respect to reporting individuals who disclosed in question
 19 8(a) that the reporting individual did not provide services to a client
 20 but provided services to a firm or business, identify the category of
 21 amount received for providing such services and describe the services
 22 rendered.

23 Services Actually Provided Category of Amount (Table I)

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

28 The disclosure requirement in questions (b-1) and (b-2) shall not
 29 require disclosing clients or customers receiving medical, pharmaceu-
 30 tical or dental services, mental health services, or residential real
 31 estate brokering services from the reporting individual or his or her
 32 firm or if federal law prohibits or limits disclosure. The reporting
 33 individual need not identify any client to whom he or she or his or her
 34 firm provided legal representation with respect to investigation or
 35 prosecution by law enforcement authorities, bankruptcy, family court,
 36 estate planning, or domestic relations matters, nor shall the reporting
 37 individual identify individuals represented pursuant to an insurance
 38 policy but the reporting individual shall in such circumstances only
 39 report the entity that provides compensation to the reporting individ-
 40 ual; with respect to matters in which the client's name is required by
 41 law to be kept confidential (such as matters governed by the family
 42 court act) or in matters in which the reporting individual represents or
 43 provides services to minors, the client's name may be replaced with
 44 initials. To the extent that the reporting individual, or his or her
 45 firm, provided legal representation with respect to an initial public
 46 offering, and professional disciplinary rules, federal law or regu-
 47 lations restrict the disclosure of information relating to such work,

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

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

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

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

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

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

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

48 The joint commission or, as the case may be, the office of court
49 administration shall promptly make a final determination in response to
50 such request, which shall include an explanation for its determination.
51 The office of court administration shall issue its final determination
52 within three days of receiving the request. Notwithstanding any other
53 provision of law or any professional disciplinary rule to the contrary,
54 the disclosure of the identity of any client or customer in response to
55 this question shall not constitute professional misconduct or a ground
56 for disciplinary action of any kind, or form the basis for any civil or

1 criminal cause of action or proceeding. A reporting individual who first
2 enters public office after January first, two thousand sixteen, need not
3 report clients or customers with respect to matters for which the
4 reporting individual or his or her firm was retained prior to entering
5 public office.

6 (c) APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE
7 PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR
8 NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE
9 SERVICES THAT ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOU-
10 SAND FIFTEEN:

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

1 confidentially stored. With respect to clients represented in other
2 matters not otherwise exempt, the reporting individual may request an
3 exemption to publicly disclosing the name of that client from the joint
4 commission pursuant to paragraph (i-1) of subdivision nine of section
5 ninety-four of the executive law, or from the office of court adminis-
6 tration. In such application, the reporting individual shall state the
7 following: "My client is not currently receiving my services or seeking
8 my services in connection with:

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

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

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

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

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

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

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

49 Client	Name of Lobbyist	Description	Category of Amount
50		of Matter	(in Table 1)

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

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

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

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

1	Self/			Category
2	Spouse	Source	Nature	of Amount
3				(In Table I)
4				
5				
6				
7				
8				

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

18		Category
19	Source	of Amount
20		(In Table I)
21		
22		
23		
24		
25		

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

33	Item Assigned	Assigned or	Category
34	or Transferred	Transferred to	of Value
35			(In Table I)
36			
37			
38			
39			
40			

41 16. List below the type and market value of securities held by the
 42 reporting individual or such individual's spouse from each issuing
 43 entity in EXCESS of \$1,000 at the close of the taxable year last
 44 occurring prior to the date of filing, including the name of the
 45 issuing entity exclusive of securities held by the reporting indi-
 46 vidual issued by a professional corporation. Whenever an interest in
 47 securities exists through a beneficial interest in a trust, the
 48 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 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 is the owner of record but in which such individual or the reporting individual's spouse has no beneficial interest shall not be listed. Indicate percentage of ownership ONLY if the reporting person or the reporting person's spouse 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. 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.

Self/ Spouse	Issuing Entity	Type of Security	Percentage of corporate stock owned or controlled (if more than 5% of pub- licly 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)
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17. List below the location, size, general nature, acquisition date, market value and percentage of ownership of any real property in which any vested or contingent interest in EXCESS of \$1,000 is held by the reporting individual or the reporting individual's spouse. Also list real property owned for investment purposes by a corporation more than fifty percent (50%) of the stock of which is owned or controlled by the reporting individual or such individual's

spouse. Do NOT list any real property which is the primary or secondary personal residence of the reporting individual or the reporting individual's spouse, except where there is a co-owner who is other than a relative.

Self/ Spouse/ Corporation	Location	Size	General Nature	Acquisition Date	Percentage of Ownership	Category of Market Value (In Table II)
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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)
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19. List below all liabilities of the reporting individual and such individual's spouse, in EXCESS of \$10,000 as of the date of filing of this statement, other than liabilities to a relative. Do NOT list liabilities incurred by, or guarantees made by, the reporting individual or such individual's spouse or by any proprietorship, partnership or corporation in which the reporting individual or such individual's spouse has an interest, when incurred or made in the ordinary course of the trade, business or professional practice of the reporting individual or such individual's spouse. Include the name of the creditor and any collateral pledged by such individual to secure payment of any such liability. A reporting individual shall not list any obligation to pay maintenance in connection with a matrimonial action, alimony or child support payments. Any loan issued in the ordinary course of business by a financial institution to finance educational costs, the cost of home purchase or improve-

ments for a primary or secondary residence, or purchase of a personally owned motor vehicle, household furniture or appliances shall be excluded. If any such reportable liability has been guaranteed by any third person, list the liability and name the guarantor.

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

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

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

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

1	Category JJJJ	\$8,050,000	to under	\$8,150,000
2	Category KKKK	\$8,150,000	to under	\$8,250,000
3	Category LLLL	\$8,250,000	to under	\$8,350,000
4	Category MMMM	\$8,350,000	to under	\$8,450,000
5	Category NNNN	\$8,450,000	to under	\$8,550,000
6	Category OOOO	\$8,550,000	to under	\$8,650,000
7	Category PPPP	\$8,650,000	to under	\$8,750,000
8	Category QQQQ	\$8,750,000	to under	\$8,850,000
9	Category RRRR	\$8,850,000	to under	\$8,950,000
10	Category SSSS	\$8,950,000	to under	\$9,050,000
11	Category TTTT	\$9,050,000	to under	\$9,150,000
12	Category UUUU	\$9,150,000	to under	\$9,250,000
13	Category VVVV	\$9,250,000	to under	\$9,350,000
14	Category WWWW	\$9,350,000	to under	\$9,450,000
15	Category XXXX	\$9,450,000	to under	\$9,550,000
16	Category YYY Y	\$9,550,000	to under	\$9,650,000
17	Category ZZZZ	\$9,650,000	to under	\$9,750,000
18	Category AAAAA	\$9,750,000	to under	\$9,850,000
19	Category BBBBB	\$9,850,000	to under	\$9,950,000
20	Category CCCCC	\$9,950,000	to under	\$10,000,000
21	Category DDDDD	\$10,000,000	or over	

TABLE II

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

1	Category HH	\$6,250,000 to under \$6,500,000
2	Category II	\$6,500,000 to under \$6,750,000
3	Category JJ	\$6,750,000 to under \$7,000,000
4	Category KK	\$7,000,000 to under \$7,250,000
5	Category LL	\$7,250,000 to under \$7,500,000
6	Category MM	\$7,500,000 to under \$7,750,000
7	Category NN	\$7,750,000 to under \$8,000,000
8	Category OO	\$8,000,000 to under \$8,250,000
9	Category PP	\$8,250,000 to under \$8,500,000
10	Category QQ	\$8,500,000 to under \$8,750,000
11	Category RR	\$8,750,000 to under \$9,000,000
12	Category SS	\$9,000,000 to under \$9,250,000
13	Category TT	\$9,250,000 to under \$9,500,000
14	Category UU	\$9,500,000 or over

15 (b) The joint commission on public ethics shall make available an
16 editable, electronic, readable and searchable version of the annual
17 statement of financial disclosure by January first, two thousand eigh-
18 teen to all those required by law to submit such forms.

19 § 4. This act shall take effect immediately; provided, however, that
20 section two of this act shall take effect on January first, two thousand
21 nineteen.