

STATE OF NEW YORK

3824

2019-2020 Regular Sessions

IN ASSEMBLY

January 31, 2019

Introduced by M. of A. McDONALD, MOSLEY, D'URSO, WALSH, LAWRENCE, ASHBY
-- Multi-Sponsored by -- M. of A. THIELE -- read once and referred to
the Committee on Governmental Operations

AN ACT to amend the public officers law, in relation to requiring legis-
lators 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 Assem-
bly, 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.

LBD00499-01-9

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

19 § 3. Subdivision 3 of section 73-a of the public officers law, as
 20 amended by section 5 of part A of chapter 399 of the laws of 2011, para-
 21 graph 8 as amended by section 6 of part K of chapter 286 of the laws of
 22 2016 and paragraph 13 as amended by section 1 of part CC of chapter 56
 23 of the laws of 2015, is amended to read as follows:

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

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

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

- 35 (b) List the names of all unemancipated children.
 36 _____
 37 _____
 38 _____
 39 _____
 40 _____

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

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

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

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

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

17	Position	Organization	State or Local Agency
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24 (b) List any office, trusteeship, directorship, partnership, or position
25 of any nature, whether compensated or not, held by the spouse or
26 unemancipated child of the reporting individual, with any firm,
27 corporation, association, partnership, or other organization other
28 than the State of New York. Include compensated honorary positions;
29 do NOT list membership or uncompensated honorary positions. If the
30 listed entity was licensed by any state or local agency, was regu-
31 lated by any state regulatory agency or local agency, or, as a regu-
32 lar and significant part of the business or activity of said entity,
33 did business with, or had matters other than ministerial matters
34 before, any state or local agency, list the name of any such agency.

35	Position	Organization	State or Local Agency
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42 5. (a) List the name, address and description of any occupation,
43 employment (other than the employment listed under Item 2 above),
44 trade, business or profession engaged in by the reporting individ-
45 ual. If such activity was licensed by any state or local agency, was
46 regulated by any state regulatory agency or local agency, or, as a
47 regular and significant part of the business or activity of said
48 entity, did business with, or had matters other than ministerial

1 matters before, any state or local agency, list the name of any such
2 agency.

3				State or
4		Name & Address		Local
5	Position	of Organization	Description	Agency
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11 (b) If the spouse or unemancipated child of the reporting individual was
12 engaged in any occupation, employment, trade, business or profession
13 which activity was licensed by any state or local agency, was regu-
14 lated by any state regulatory agency or local agency, or, as a regu-
15 lar and significant part of the business or activity of said entity,
16 did business with, or had matters other than ministerial matters
17 before, any state or local agency, list the name, address and
18 description of such occupation, employment, trade, business or
19 profession and the name of any such agency.

20				State or
21		Name & Address		Local
22	Position	of Organization	Description	Agency
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28 6. List any interest, in EXCESS of \$1,000, held by the reporting indi-
29 vidual, such individual's spouse or unemancipated child, or partner-
30 ship of which any such person is a member, or corporation, 10% or
31 more of the stock of which is owned or controlled by any such
32 person, whether vested or contingent, in any contract made or
33 executed by a state or local agency and include the name of the
34 entity which holds such interest and the relationship of the report-
35 ing individual or such individual's spouse or such child to such
36 entity and the interest in such contract. Do NOT include bonds and
37 notes. Do NOT list any interest in any such contract on which final
38 payment has been made and all obligations under the contract except
39 for guarantees and warranties have been performed, provided, howev-
40 er, that such an interest must be listed if there has been an ongo-
41 ing dispute during the calendar year for which this statement is
42 filed with respect to any such guarantees or warranties. Do NOT list
43 any interest in a contract made or executed by a local agency after
44 public notice and pursuant to a process for competitive bidding or a
45 process for competitive requests for proposals.

46		Entity	Relationship	Contracting	Category
47	Self,	Which Held	to Entity	State or	of
48	Spouse or	Interest in	and Interest	Local	Value of
49	Child	Contract	in Contract	Agency	Contract

(In Table II)

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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.

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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.

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(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:

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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.

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
		of Matter	(in Table 1)

51	_____		
52	_____		
53	_____		
54	_____		
55	_____		

1 (d) List the name, principal address and general description or the
 2 nature of the business activity of any entity in which the reporting
 3 individual or such individual's spouse had an investment in excess of
 4 \$1,000 excluding investments in securities and interests in real proper-
 5 ty.
 6 9. List each source of gifts, EXCLUDING campaign contributions, in
 7 EXCESS of \$1,000, received during the reporting period for which this
 8 statement is filed by the reporting individual or such individual's
 9 spouse or unemancipated child from the same donor, EXCLUDING gifts from
 10 a relative. INCLUDE the name and address of the donor. The term "gifts"
 11 does not include reimbursements, which term is defined in item 10.
 12 Indicate the value and nature of each such gift.

13	14	15	16	17	18
	Self, Spouse or Child	Name of Donor	Address	Nature of Gift	Category of Value of Gift (In Table I)
18	_____	_____	_____	_____	_____
19	_____	_____	_____	_____	_____
20	_____	_____	_____	_____	_____
21	_____	_____	_____	_____	_____
22	_____	_____	_____	_____	_____

23 10. Identify and briefly describe the source of any reimbursements for
 24 expenditures, EXCLUDING campaign expenditures and expenditures in
 25 connection with official duties reimbursed by the state, in EXCESS
 26 of \$1,000 from each such source. For purposes of this item, the term
 27 "reimbursements" shall mean any travel-related expenses provided by
 28 nongovernmental sources and for activities related to the reporting
 29 individual's official duties such as, speaking engagements, confer-
 30 ences, or factfinding events. The term "reimbursements" does NOT
 31 include gifts reported under item 9.

32	33	34	35	36	37
	Source				Description
33	_____				_____
34	_____				_____
35	_____				_____
36	_____				_____
37	_____				_____

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

48	49	
	Identity	Category of Value*
48	_____	_____
49	_____	_____

(In Table II)

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* 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

1 individual has knowledge thereof except where the reporting individ-
 2 ual or the reporting individual's spouse has transferred assets to
 3 such trust for his or her benefit in which event such securities
 4 shall be listed unless they are not ascertainable by the reporting
 5 individual because the trustee is under an obligation or has been
 6 instructed in writing not to disclose the contents of the trust to
 7 the reporting individual. Securities of which the reporting individ-
 8 ual or the reporting individual's spouse is the owner of record but
 9 in which such individual or the reporting individual's spouse has no
 10 beneficial interest shall not be listed. Indicate percentage of
 11 ownership ONLY if the reporting person or the reporting person's
 12 spouse holds more than five percent (5%) of the stock of a corpo-
 13 ration in which the stock is publicly traded or more than ten
 14 percent (10%) of the stock of a corporation in which the stock is
 15 NOT publicly traded. Also list securities owned for investment
 16 purposes by a corporation more than fifty percent (50%) of the stock
 17 of which is owned or controlled by the reporting individual or such
 18 individual's spouse. For the purpose of this item the term "securi-
 19 ties" shall mean mutual funds, bonds, mortgages, notes, obligations,
 20 warrants and stocks of any class, investment interests in limited or
 21 general partnerships and certificates of deposits (CDs) and such
 22 other evidences of indebtedness and certificates of interest as are
 23 usually referred to as securities. The market value for such secu-
 24 rities shall be reported only if reasonably ascertainable and shall
 25 not be reported if the security is an interest in a general partner-
 26 ship that was listed in item 8 (a) or if the security is corporate
 27 stock, NOT publicly traded, in a trade or business of a reporting
 28 individual or a reporting individual's spouse.

29			Percentage	
30			of corporate	
31			stock owned	
32			or controlled	Category of
33			(if more than	Market Value
34			5% of pub-	as of the close
35			licly traded	of the
36			stock, or	taxable year
37			more than	last occurring
38			10% if stock	prior to
39	Self/	Issuing	not publicly	the filing of
40	Spouse	Entity	traded, is held)	this statement
41		Type of		(In Table II)
		Security		

42 _____
 43 _____
 44 _____
 45 _____
 46 _____

47 17. List below the location, size, general nature, acquisition date,
 48 market value and percentage of ownership of any real property in
 49 which any vested or contingent interest in EXCESS of \$1,000 is held
 50 by the reporting individual or the reporting individual's spouse.
 51 Also list real property owned for investment purposes by a corpo-
 52 ration more than fifty percent (50%) of the stock of which is owned
 53 or controlled by the reporting individual or such individual's

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

5					6	Category	
7	Self/ Spouse/ Corporation	Location	Size	General Nature	Acquisition Date	Percentage of Ownership	of Market Value (In Table II)
9							
10							
11							
12							
13							
14							
15							
16							

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

27			28	Category	
29	Name of Debtor	Type of Obligation, Date Due, and Nature of Collateral, if any	30	of Amount (In Table II)	
31					
32					
33					
34					
35					

36 19. List below all liabilities of the reporting individual and such
 37 individual's spouse, in EXCESS of \$10,000 as of the date of filing
 38 of this statement, other than liabilities to a relative. Do NOT list
 39 liabilities incurred by, or guarantees made by, the reporting indi-
 40 vidual or such individual's spouse or by any proprietorship, part-
 41 nership or corporation in which the reporting individual or such
 42 individual's spouse has an interest, when incurred or made in the
 43 ordinary course of the trade, business or professional practice of
 44 the reporting individual or such individual's spouse. Include the
 45 name of the creditor and any collateral pledged by such individual
 46 to secure payment of any such liability. A reporting individual
 47 shall not list any obligation to pay maintenance in connection with
 48 a matrimonial action, alimony or child support payments. Any loan
 49 issued in the ordinary course of business by a financial institution
 50 to finance educational costs, the cost of home purchase or improve-

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

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

9 _____
 10 _____
 11 _____
 12 _____
 13 _____

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

18 _____
 19 (Signature of Reporting Individual) Date (month/day/year)

20 TABLE I

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

22

TABLE II

23	Category A		none	
24	Category B	\$	1	to under \$ 1,000
25	Category C	\$	1,000	to under \$ 5,000
26	Category D	\$	5,000	to under \$ 20,000
27	Category E	\$	20,000	to under \$ 50,000
28	Category F	\$	50,000	to under \$ 75,000
29	Category G	\$	75,000	to under \$ 100,000
30	Category H	\$	100,000	to under \$ 150,000
31	Category I	\$	150,000	to under \$ 250,000
32	Category J	\$	250,000	to under \$ 500,000
33	Category K	\$	500,000	to under \$ 750,000
34	Category L	\$	750,000	to under \$1,000,000
35	Category M	\$1,000,000	to under	\$1,250,000
36	Category N	\$1,250,000	to under	\$1,500,000
37	Category O	\$1,500,000	to under	\$1,750,000
38	Category P	\$1,750,000	to under	\$2,000,000
39	Category Q	\$2,000,000	to under	\$2,250,000
40	Category R	\$2,250,000	to under	\$2,500,000
41	Category S	\$2,500,000	to under	\$2,750,000
42	Category T	\$2,750,000	to under	\$3,000,000
43	Category U	\$3,000,000	to under	\$3,250,000
44	Category V	\$3,250,000	to under	\$3,500,000
45	Category W	\$3,500,000	to under	\$3,750,000
46	Category X	\$3,750,000	to under	\$4,000,000
47	Category Y	\$4,000,000	to under	\$4,250,000
48	Category Z	\$4,250,000	to under	\$4,500,000
49	Category AA	\$4,500,000	to under	\$4,750,000
50	Category BB	\$4,750,000	to under	\$5,000,000
51	Category CC	\$5,000,000	to under	\$5,250,000
52	Category DD	\$5,250,000	to under	\$5,500,000
53	Category EE	\$5,500,000	to under	\$5,750,000
54	Category FF	\$5,750,000	to under	\$6,000,000
55	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 twenty
18 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 twenty-one. Effective immediately the addition, amendment and/or repeal
22 of any rule or regulation necessary for the implementation of this act
23 on its effective date are authorized to be made on or before such date.