

# 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.

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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.

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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.

31 Client	32 Matter	33 Nature of Services Provided	34 Category 35 of Amount 36 (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 2	Client	Services Actually Provided	Category of Amount (in Table I)
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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)

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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



(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)

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

Source	Description

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

Identity	Category of Value*

(In Table II)

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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	Type of	not publicly	the filing of
40	Spouse	Entity	Security	traded, is held)	this statement
41					(In Table II)

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 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.