

STATE OF NEW YORK

3469--A

2021-2022 Regular Sessions

IN ASSEMBLY

January 26, 2021

Introduced by M. of A. McDONALD, WALSH, ASHBY, MORINELLO, LUPARDO --
Multi-Sponsored by -- M. of A. TAGUE, THIELE -- read once and referred
to the Committee on Governmental Operations -- recommitted to the
Committee on Governmental Operations in accordance with Assembly Rule
3, sec. 2 -- committee discharged, bill amended, ordered reprinted as
amended and recommitted to said committee

AN ACT to amend the public officers law, in relation to requiring 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.

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

LBD01851-03-2

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

Every statewide elected official, state officer or employee, member of the legislature, legislative employee and political party chair and every candidate for statewide elected office or for member of the legislature shall file an annual statement of financial disclosure containing the information and in the form set forth in subdivision three of this section.

Every member of the legislature and candidate for member of the legislature must file their annual statement of financial disclosure electronically in an electronic, readable, searchable and downloadable format.

On or before the fifteenth day of May with respect to the preceding calendar year: (1) every member of the legislature, every candidate for member of the legislature and legislative employee shall file such statement with the legislative ethics commission which shall provide such statement along with any requests for exemptions or deletions to the commission on ethics and lobbying in government for filing and rulings with respect to such requests for exemptions or deletions, on or before the thirtieth day of June; and (2) all other individuals required to file such statement shall file it with the commission on ethics and lobbying in government, except that:

§ 3. Subdivision 3 of section 73-a of the public officers law, as amended by section 18 of part QQ of chapter 56 of the laws of 2022, subparagraphs (b), (b-2) and (c) of paragraph 8 as separately amended by section 8 of part QQ of chapter 56 of the laws of 2022 and paragraph 13 as amended by section 1 of part CC of chapter 56 of the laws of 2015, is amended to read as follows:

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

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

1. Name _____

2. (a) Title of Position _____

(b) Department, Agency or other Governmental Entity _____

(c) Address of Present Office _____

(d) Office Telephone Number _____

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

_____.

(b) Full name of domestic partner (if applicable).

_____.

(c) List the names of all unemancipated children.

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

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

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

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

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

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

Position	Organization	State or Local Agency
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5. (a) List the name, address and description of any occupation, employment (other than the employment listed under Item 2 above),

trade, business or profession engaged in by the reporting individual. If such activity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

Position	Name & Address of Organization	Description	State or Local Agency

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

Position	Name & Address of Organization	Description	State or Local Agency

6. List any interest, in EXCESS of \$1,000, held by the reporting individual, such individual's spouse, domestic partner or unemancipated child, or partnership of which any such person is a member, or corporation, 10% or more of the stock of which is owned or controlled by any such person, whether vested or contingent, in any contract made or executed by a state or local agency and include the name of the entity which holds such interest and the relationship of the reporting individual or such individual's spouse, domestic partner or such child to such entity and the interest in such contract. Do NOT include bonds and notes. Do NOT list any interest in any such contract on which final payment has been made and all obligations under the contract except for guarantees and warranties have been performed, provided, however, that such an interest must be listed if there has been an ongoing dispute during the calendar year for which this statement is filed with respect to any such guarantees or warranties. Do NOT list any interest in a contract made or executed by a local agency after public notice and pursuant to a process for

1 competitive bidding or a process for competitive requests for
2 proposals.

3	Entity	Relationship	Contracting	Category
4	Self, Which Held	to Entity	State or	of
5	Spouse, Interest in	and Interest	Local	Value of
6	Domestic Contract	in Contract	Agency	Contract
7	Partner or			
8	Child			

(In Table II)

9 _____
10 _____
11 _____
12 _____
13 _____

14 7. List any position the reporting individual held as an officer of any
15 political party or political organization, as a member of any poli-
16 tical party committee, or as a political party district leader. The
17 term "party" shall have the same meaning as "party" in the election
18 law. The term "political organization" means any party or independ-
19 ent body as defined in the election law or any organization that is
20 affiliated with or a subsidiary of a party or independent body.

21 _____
22 _____
23 _____
24 _____
25 _____

26 8. (a) If the reporting individual practices law, is licensed by the
27 department of state as a real estate broker or agent or practices a
28 profession licensed by the department of education, or works as a member
29 or employee of a firm required to register pursuant to section one-e of
30 the legislative law as a lobbyist, describe the services rendered for
31 which compensation was paid including a general description of the prin-
32 cipal subject areas of matters undertaken by such individual and princi-
33 pal duties performed. Specifically state whether the reporting individ-
34 ual provides services directly to clients. Additionally, if such an
35 individual practices with a firm or corporation and is a partner or
36 shareholder of the firm or corporation, give a general description of
37 principal subject areas of matters undertaken by such firm or corpo-
38 ration.

39 _____
40 _____
41 _____
42 _____
43 _____

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

1 OR AFTER JULY FIRST, TWO THOUSAND TWELVE AND BEFORE DECEMBER
2 THIRTY-FIRST, TWO THOUSAND FIFTEEN:

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

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

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

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

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

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 knowingly solicit or direct to the reporting individual's firm in whole
23 or substantial part, a person or entity that becomes a client of that
24 firm for the purposes of representation for a matter as defined in
25 subparagraphs (i) through (iv) of this paragraph, as the result of such
26 procurement, solicitation or direction of the reporting individual. A
27 reporting individual need not disclose activities performed while
28 lawfully acting pursuant to paragraphs (c), (d), (e) and (f) of subdivi-
29 sion seven of section seventy-three of this article.

30 The disclosure requirement in this question shall not require disclo-
31 sure of clients or customers receiving medical or dental services,
32 mental health services, residential real estate brokering services, or
33 insurance brokering services from the reporting individual or his or her
34 firm. The reporting individual need not identify any client to whom he
35 or she or his or her firm provided legal representation with respect to
36 investigation or prosecution by law enforcement authorities, bankruptcy,
37 or domestic relations matters. With respect to clients represented in
38 other matters, where disclosure of a client's identity is likely to
39 cause harm, the reporting individual shall request an exemption from the
40 commission on ethics and lobbying in government pursuant to section
41 ninety-four of the executive law, provided, however, that a reporting
42 individual who first enters public office after July first, two thousand
43 twelve, need not report clients or customers with respect to matters for
44 which the reporting individual or his or her firm was retained prior to
45 entering public office.

46 Client

Nature of Services Provided

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48	
49	
50	
51	

52 (b-1) APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES
53 ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR
54 FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE
55 SERVICES THAT ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOU-

SAND FIFTEEN (FOR PURPOSES OF THIS QUESTION, "SERVICES" SHALL MEAN CONSULTATION, REPRESENTATION, ADVICE OR OTHER SERVICES):

If the reporting individual receives income from employment reportable in question 8(a) and 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"), the reporting individual shall identify each client or customer to whom the reporting individual personally provided services, or who was referred to the firm by the reporting individual, and from whom the reporting individual or his or her firm earned fees in excess of \$10,000 during the reporting period in direct connection with:

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

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

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

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

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

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

Client	Matter	Nature of Services Provided	Category of Amount (in Table I)
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(b-2) APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE PROVIDED ON OR AFTER 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 DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN (FOR PURPOSES OF THIS QUESTION, "SERVICES" SHALL MEAN CONSULTATION, REPRESENTATION, ADVICE OR OTHER SERVICES):

(i) With respect to reporting individuals who receive ten thousand dollars or more from employment or activity reportable under question

8(a), for each client or customer NOT otherwise disclosed or exempted in question 8 or 13, disclose the name of each client or customer known to the reporting individual to whom the reporting individual provided services: (A) who paid the reporting individual in excess of five thousand dollars for such services; or (B) who had been billed with the knowledge of the reporting individual in excess of five thousand dollars by the firm or other entity named in question 8(a) for the reporting individual's services.

Client	Services Actually Provided	Category of Amount (in Table I)
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FOLLOWING IS AN ILLUSTRATIVE, NON-EXCLUSIVE LIST OF EXAMPLES OF DESCRIPTIONS OF "SERVICES ACTUALLY PROVIDED":

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

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

Services Actually Provided	Category of Amount (Table I)
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A reporting individual need not disclose activities performed while lawfully acting in his or her capacity as provided in paragraphs (c), (d), (e) and (f) of subdivision seven of section seventy-three of this article.

The disclosure requirement in questions (b-1) and (b-2) shall not require disclosing clients or customers receiving medical, pharmaceutical or dental services, mental health services, or residential real estate brokering services from the reporting individual or his or her firm or if federal law prohibits or limits disclosure. The reporting individual need not identify any client to whom he or she or his or her firm provided legal representation with respect to investigation or prosecution by law enforcement authorities, bankruptcy, family court, estate planning, or domestic relations matters, nor shall the reporting individual identify individuals represented pursuant to an insurance policy but the reporting individual shall in such circumstances only report the entity that provides compensation to the reporting individ-

ual; with respect to matters in which the client's name is required by law to be kept confidential (such as matters governed by the family court act) or in matters in which the reporting individual represents or provides services to minors, the client's name may be replaced with initials. To the extent that the reporting individual, or his or her firm, provided legal representation with respect to an initial public offering, and professional disciplinary rules, federal law or regulations restrict the disclosure of information relating to such work, the reporting individual shall (i) disclose the identity of the client and the services provided relating to the initial public offering to the office of court administration, who will maintain such information confidentially in a locked box; and (ii) include in his or her response to questions (b-1) and (b-2) that pursuant to this paragraph, a disclosure to the office of court administration has been made. Upon such time that the disclosure of information maintained in the locked box is no longer restricted by professional disciplinary rules, federal law or regulation, the reporting individual shall disclose such information in an amended disclosure statement in response to the disclosure requirements in questions (b-1) and (b-2). The office of court administration shall develop and maintain a secure portal through which information submitted to it pursuant to this paragraph can be safely and confidentially stored. With respect to clients represented in other matters not otherwise exempt, the reporting individual may request an exemption to publicly disclosing the name of that client from the commission on ethics and lobbying in government pursuant to section ninety-four of the executive law, or from the office of court administration. In such application, the reporting individual shall state the following: "My client is not currently receiving my services or seeking my services in connection with:

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

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

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

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

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

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

1 The commission on ethics and lobbying in government or, as the case
2 may be, the office of court administration shall promptly make a final
3 determination in response to such request, which shall include an expla-
4 nation for its determination. The office of court administration shall
5 issue its final determination within three days of receiving the
6 request. Notwithstanding any other provision of law or any professional
7 disciplinary rule to the contrary, the disclosure of the identity of any
8 client or customer in response to this question shall not constitute
9 professional misconduct or a ground for disciplinary action of any kind,
10 or form the basis for any civil or criminal cause of action or proceed-
11 ing. A reporting individual who first enters public office after January
12 first, two thousand sixteen, need not report clients or customers with
13 respect to matters for which the reporting individual or his or her firm
14 was retained prior to entering public office.

15 (c) APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE
16 PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR
17 NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE
18 SERVICES THAT ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOU-
19 SAND FIFTEEN:

20 If the reporting individual receives income of ten thousand dollars or
21 greater from any employment or activity reportable under question 8(a),
22 identify each registered lobbyist who has directly referred to such
23 individual a client who was successfully referred to the reporting indi-
24 vidual's business and from whom the reporting individual or firm
25 received a fee for services in excess of five thousand dollars. Report
26 only those referrals that were made to a reporting individual by direct
27 communication from a person known to such reporting individual to be a
28 registered lobbyist at the time the referral is made. With respect to
29 each such referral, the reporting individual shall identify the client,
30 the registered lobbyist who has made the referral, the category of value
31 of the compensation received and a general description of the type of
32 matter so referred. A reporting individual need not disclose activities
33 performed while lawfully acting pursuant to paragraphs (c), (d), (e) and
34 (f) of subdivision seven of section seventy-three of this article. The
35 disclosure requirements in this question shall not require disclosing
36 clients or customers receiving medical, pharmaceutical or dental
37 services, mental health services, or residential real estate brokering
38 services from the reporting individual or his or her firm or if federal
39 law prohibits or limits disclosure. The reporting individual need not
40 identify any client to whom he or she or his or her firm provided legal
41 representation with respect to investigation or prosecution by law
42 enforcement authorities, bankruptcy, family court, estate planning, or
43 domestic relations matters, nor shall the reporting individual identify
44 individuals represented pursuant to an insurance policy but the report-
45 ing individual shall in such circumstances only report the entity that
46 provides compensation to the reporting individual; with respect to
47 matters in which the client's name is required by law to be kept confi-
48 dential (such as matters governed by the family court act) or in matters
49 in which the reporting individual represents or provides services to
50 minors, the client's name may be replaced with initials. To the extent
51 that the reporting individual, or his or her firm, provided legal repre-
52 sentation with respect to an initial public offering, and federal law or
53 regulations restricts the disclosure of information relating to such
54 work, the reporting individual shall (i) disclose the identity of the
55 client and the services provided relating to the initial public offering
56 to the office of court administration, who will maintain such informa-

tion confidentially in a locked box; and (ii) include in his or her response a statement that pursuant to this paragraph, a disclosure to the office of court administration has been made. Upon such time that the disclosure of information maintained in the locked box is no longer restricted by federal law or regulation, the reporting individual shall disclose such information in an amended disclosure statement in response to the disclosure requirements of this paragraph. The office of court administration shall develop and maintain a secure portal through which information submitted to it pursuant to this paragraph can be safely and confidentially stored. With respect to clients represented in other matters not otherwise exempt, the reporting individual may request an exemption to publicly disclosing the name of that client from the commission on ethics and lobbying in government pursuant to section ninety-four of the executive law, or from the office of court administration. In such application, the reporting individual shall state the following: "My client is not currently receiving my services or seeking my services in connection with:

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

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

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

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

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

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

The commission on ethics and lobbying in government or, as the case may be, the office of court administration shall promptly make a final determination in response to such request, which shall include an explanation for its determination. The office of court administration shall issue its final determination within three days of receiving the request. Notwithstanding any other provision of law or any professional disciplinary rule to the contrary, the disclosure of the identity of any client or customer in response to this question shall not constitute professional misconduct or a ground for disciplinary action of any kind, or form the basis for any civil or criminal cause of action or proceeding. A reporting individual who first enters public office after December thirty-first, two thousand fifteen, need not report clients or

1 customers with respect to matters for which the reporting individual or
 2 his or her firm was retained prior to entering public office.
 3 Client Name of Lobbyist Description Category of Amount
 4 of Matter (in Table [1] I)
 5
 6
 7
 8
 9

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

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

22	23	24	25	26	27	28
	Self, Spouse, Domestic Partner or Child	Name of Donor	Address	Nature of Gift	Category of Value of Gift (In Table I)	
28						
29						
30						
31						
32						

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

42	43	44	45	46	47
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 or domestic partner 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 arrange-

1 ments, teaching income, partnerships, honorariums, lecture fees,
 2 consultant fees, bank and bond interest, dividends, income derived
 3 from a trust, real estate rents, and recognized gains from the sale
 4 or exchange of real or other property. Income from a business or
 5 profession and real estate rents shall be reported with the source
 6 identified by the building address in the case of real estate rents
 7 and otherwise by the name of the entity and not by the name of the
 8 individual customers, clients or tenants, with the aggregate net
 9 income before taxes for each building address or entity. The
 10 receipt of maintenance received in connection with a matrimonial
 11 action, alimony and child support payments shall not be listed.

12	Self/ 13 Spouse 14 or Domestic 15 Partner	Source	Nature	Category of Amount (In Table I)
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16	_____			
17	_____			
18	_____			
19	_____			
20	_____			

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

30	Source	Category of Amount (In Table I)
----	--------	---------------------------------------

33	_____	
34	_____	
35	_____	
36	_____	
37	_____	

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

45	Item Assigned 46 or Transferred	Assigned or Transferred to	Category of Value (In Table I)
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47

1					
2					
3					
4					
5					
6	16.	List below the type and market value of securities held by the			
7		reporting individual or such individual's spouse or domestic partner			
8		from each issuing entity in EXCESS of \$1,000 at the close of the			
9		taxable year last occurring prior to the date of filing, including			
10		the name of the issuing entity exclusive of securities held by the			
11		reporting individual issued by a professional corporation. Whenever			
12		an interest in securities exists through a beneficial interest in a			
13		trust, the securities held in such trust shall be listed ONLY IF the			
14		reporting individual has knowledge thereof except where the report-			
15		ing individual or the reporting individual's spouse or domestic			
16		partner has transferred assets to such trust for his or her benefit			
17		in which event such securities shall be listed unless they are not			
18		ascertainable by the reporting individual because the trustee is			
19		under an obligation or has been instructed in writing not to			
20		disclose the contents of the trust to the reporting individual.			
21		Securities of which the reporting individual or the reporting indi-			
22		vidual's spouse or domestic partner is the owner of record but in			
23		which such individual or the reporting individual's spouse or domes-			
24		tic partner has no beneficial interest shall not be listed. Indicate			
25		percentage of ownership ONLY if the reporting person or the report-			
26		ing person's spouse or domestic partner holds more than five percent			
27		(5%) of the stock of a corporation in which the stock is publicly			
28		traded or more than ten percent (10%) of the stock of a corporation			
29		in which the stock is NOT publicly traded. Also list securities			
30		owned for investment purposes by a corporation more than fifty			
31		percent (50%) of the stock of which is owned or controlled by the			
32		reporting individual or such individual's spouse or domestic part-			
33		ner. For the purpose of this item the term "securities" shall mean			
34		mutual funds, bonds, mortgages, notes, obligations, warrants and			
35		stocks of any class, investment interests in limited or general			
36		partnerships and certificates of deposits (CDs) and such other			
37		evidences of indebtedness and certificates of interest as are usual-			
38		ly referred to as securities. The market value for such securities			
39		shall be reported only if reasonably ascertainable and shall not be			
40		reported if the security is an interest in a general partnership			
41		that was listed in item 8 (a) or if the security is corporate stock,			
42		NOT publicly traded, in a trade or business of a reporting individ-			
43		ual or a reporting individual's spouse or domestic partner.			
44			Percentage		
45			of corporate		
46			stock owned		
47			or controlled	Category of	
48			(if more than	Market Value	
49			5% of pub-	as of the close	
50			licly traded	of the	
51			stock, or	taxable year	
52			more than	last occurring	
53			10% if stock	prior to	
54	Self/	Issuing	Type of	not publicly	the filing of

1 Spouse Entity Security traded, is held) this statement
 2 or (In Table II)
 3 Domestic
 4 Partner

5 _____
 6 _____
 7 _____
 8 _____
 9 _____

10 17. List below the location, size, general nature, acquisition date,
 11 market value and percentage of ownership of any real property in
 12 which any vested or contingent interest in EXCESS of \$1,000 is held
 13 by the reporting individual or the reporting individual's spouse or
 14 domestic partner. Also list real property owned for investment
 15 purposes by a corporation more than fifty percent (50%) of the stock
 16 of which is owned or controlled by the reporting individual or such
 17 individual's spouse or domestic partner. Do NOT list any real prop-
 18 erty which is the primary or secondary personal residence of the
 19 reporting individual or the reporting individual's spouse or domes-
 20 tic partner, except where there is a co-owner who is other than a
 21 relative.

22 Self/ 23 Spouse/ 24 Domestic 25 Partner 26 Corporation	Location	General Nature Size	Acquisition Date	Percentage of Ownership	Category of Market Value (In Table II)
---	----------	---------------------------	---------------------	-------------------------------	--

27 _____
 28 _____
 29 _____
 30 _____
 31 _____

32 18. List below all notes and accounts receivable, other than from goods
 33 or services sold, held by the reporting individual at the close of
 34 the taxable year last occurring prior to the date of filing and
 35 other debts owed to such individual at the close of the taxable year
 36 last occurring prior to the date of filing, in EXCESS of \$1,000,
 37 including the name of the debtor, type of obligation, date due and
 38 the nature of the collateral securing payment of each, if any,
 39 excluding securities reported in item 16 hereinabove. Debts, notes
 40 and accounts receivable owed to the individual by a relative shall
 41 not be reported.

42 Name of Debtor	Type of Obligation, 43 Date Due, and Nature 44 of Collateral, if any	Category of 45 Amount (In Table II)
-------------------	--	--

46 _____
 47 _____
 48 _____

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

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

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

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

1	Category L	\$ 450,000	to under	\$ 550,000
2	Category M	\$ 550,000	to under	\$ 650,000
3	Category N	\$ 650,000	to under	\$ 750,000
4	Category O	\$ 750,000	to under	\$ 850,000
5	Category P	\$ 850,000	to under	\$ 950,000
6	Category Q	\$ 950,000	to under	\$1,050,000
7	Category R	\$1,050,000	to under	\$1,150,000
8	Category S	\$1,150,000	to under	\$1,250,000
9	Category T	\$1,250,000	to under	\$1,350,000
10	Category U	\$1,350,000	to under	\$1,450,000
11	Category V	\$1,450,000	to under	\$1,550,000
12	Category W	\$1,550,000	to under	\$1,650,000
13	Category X	\$1,650,000	to under	\$1,750,000
14	Category Y	\$1,750,000	to under	\$1,850,000
15	Category Z	\$1,850,000	to under	\$1,950,000
16	Category AA	\$1,950,000	to under	\$2,050,000
17	Category BB	\$2,050,000	to under	\$2,150,000
18	Category CC	\$2,150,000	to under	\$2,250,000
19	Category DD	\$2,250,000	to under	\$2,350,000
20	Category EE	\$2,350,000	to under	\$2,450,000
21	Category FF	\$2,450,000	to under	\$2,550,000
22	Category GG	\$2,550,000	to under	\$2,650,000
23	Category HH	\$2,650,000	to under	\$2,750,000
24	Category II	\$2,750,000	to under	\$2,850,000
25	Category JJ	\$2,850,000	to under	\$2,950,000
26	Category KK	\$2,950,000	to under	\$3,050,000
27	Category LL	\$3,050,000	to under	\$3,150,000
28	Category MM	\$3,150,000	to under	\$3,250,000
29	Category NN	\$3,250,000	to under	\$3,350,000
30	Category OO	\$3,350,000	to under	\$3,450,000
31	Category PP	\$3,450,000	to under	\$3,550,000
32	Category QQ	\$3,550,000	to under	\$3,650,000
33	Category RR	\$3,650,000	to under	\$3,750,000
34	Category SS	\$3,750,000	to under	\$3,850,000
35	Category TT	\$3,850,000	to under	\$3,950,000
36	Category UU	\$3,950,000	to under	\$4,050,000
37	Category VV	\$4,050,000	to under	\$4,150,000
38	Category WW	\$4,150,000	to under	\$4,250,000
39	Category XX	\$4,250,000	to under	\$4,350,000
40	Category YY	\$4,350,000	to under	\$4,450,000
41	Category ZZ	\$4,450,000	to under	\$4,550,000
42	Category AAA	\$4,550,000	to under	\$4,650,000
43	Category BBB	\$4,650,000	to under	\$4,750,000
44	Category CCC	\$4,750,000	to under	\$4,850,000
45	Category DDD	\$4,850,000	to under	\$4,950,000
46	Category EEE	\$4,950,000	to under	\$5,050,000
47	Category FFF	\$5,050,000	to under	\$5,150,000
48	Category GGG	\$5,150,000	to under	\$5,250,000
49	Category HHH	\$5,250,000	to under	\$5,350,000
50	Category III	\$5,350,000	to under	\$5,450,000
51	Category JJJ	\$5,450,000	to under	\$5,550,000
52	Category KKK	\$5,550,000	to under	\$5,650,000
53	Category LLL	\$5,650,000	to under	\$5,750,000
54	Category MMM	\$5,750,000	to under	\$5,850,000
55	Category NNN	\$5,850,000	to under	\$5,950,000
56	Category 000	\$5,950,000	to under	\$6,050,000

1	Category PPP	\$6,050,000	to under	\$6,150,000
2	Category QQQ	\$6,150,000	to under	\$6,250,000
3	Category RRR	\$6,250,000	to under	\$6,350,000
4	Category SSS	\$6,350,000	to under	\$6,450,000
5	Category TTT	\$6,450,000	to under	\$6,550,000
6	Category UUU	\$6,550,000	to under	\$6,650,000
7	Category VVV	\$6,650,000	to under	\$6,750,000
8	Category WWW	\$6,750,000	to under	\$6,850,000
9	Category XXX	\$6,850,000	to under	\$6,950,000
10	Category YYY	\$6,950,000	to under	\$7,050,000
11	Category ZZZ	\$7,050,000	to under	\$7,150,000
12	Category AAAA	\$7,150,000	to under	\$7,250,000
13	Category BBBB	\$7,250,000	to under	\$7,350,000
14	Category CCCC	\$7,350,000	to under	\$7,450,000
15	Category DDDD	\$7,450,000	to under	\$7,550,000
16	Category EEEE	\$7,550,000	to under	\$7,650,000
17	Category FFFF	\$7,650,000	to under	\$7,750,000
18	Category GGGG	\$7,750,000	to under	\$7,850,000
19	Category HHHH	\$7,850,000	to under	\$7,950,000
20	Category IIII	\$7,950,000	to under	\$8,050,000
21	Category JJJJ	\$8,050,000	to under	\$8,150,000
22	Category KKKK	\$8,150,000	to under	\$8,250,000
23	Category LLLL	\$8,250,000	to under	\$8,350,000
24	Category MMMM	\$8,350,000	to under	\$8,450,000
25	Category NNNN	\$8,450,000	to under	\$8,550,000
26	Category OOOO	\$8,550,000	to under	\$8,650,000
27	Category PPPP	\$8,650,000	to under	\$8,750,000
28	Category QQQQ	\$8,750,000	to under	\$8,850,000
29	Category RRRR	\$8,850,000	to under	\$8,950,000
30	Category SSSS	\$8,950,000	to under	\$9,050,000
31	Category TTTT	\$9,050,000	to under	\$9,150,000
32	Category UUUU	\$9,150,000	to under	\$9,250,000
33	Category VVVV	\$9,250,000	to under	\$9,350,000
34	Category WWWW	\$9,350,000	to under	\$9,450,000
35	Category XXXX	\$9,450,000	to under	\$9,550,000
36	Category YYYY	\$9,550,000	to under	\$9,650,000
37	Category ZZZZ	\$9,650,000	to under	\$9,750,000
38	Category AAAAA	\$9,750,000	to under	\$9,850,000
39	Category BBBBB	\$9,850,000	to under	\$9,950,000
40	Category CCCCC	\$9,950,000	to under	\$10,000,000
41	Category DDDDD	\$10,000,000	or over	

TABLE II

42				
43	Category A		none	
44	Category B	\$	1 to under	\$ 1,000
45	Category C	\$	1,000 to under	\$ 5,000
46	Category D	\$	5,000 to under	\$ 20,000
47	Category E	\$	20,000 to under	\$ 50,000
48	Category F	\$	50,000 to under	\$ 75,000
49	Category G	\$	75,000 to under	\$ 100,000
50	Category H	\$	100,000 to under	\$ 150,000
51	Category I	\$	150,000 to under	\$ 250,000
52	Category J	\$	250,000 to under	\$ 500,000
53	Category K	\$	500,000 to under	\$ 750,000
54	Category L	\$	750,000 to under	\$1,000,000
55	Category M	\$1,000,000	to under	\$1,250,000

1	Category N	\$1,250,000	to under	\$1,500,000
2	Category O	\$1,500,000	to under	\$1,750,000
3	Category P	\$1,750,000	to under	\$2,000,000
4	Category Q	\$2,000,000	to under	\$2,250,000
5	Category R	\$2,250,000	to under	\$2,500,000
6	Category S	\$2,500,000	to under	\$2,750,000
7	Category T	\$2,750,000	to under	\$3,000,000
8	Category U	\$3,000,000	to under	\$3,250,000
9	Category V	\$3,250,000	to under	\$3,500,000
10	Category W	\$3,500,000	to under	\$3,750,000
11	Category X	\$3,750,000	to under	\$4,000,000
12	Category Y	\$4,000,000	to under	\$4,250,000
13	Category Z	\$4,250,000	to under	\$4,500,000
14	Category AA	\$4,500,000	to under	\$4,750,000
15	Category BB	\$4,750,000	to under	\$5,000,000
16	Category CC	\$5,000,000	to under	\$5,250,000
17	Category DD	\$5,250,000	to under	\$5,500,000
18	Category EE	\$5,500,000	to under	\$5,750,000
19	Category FF	\$5,750,000	to under	\$6,000,000
20	Category GG	\$6,000,000	to under	\$6,250,000
21	Category HH	\$6,250,000	to under	\$6,500,000
22	Category II	\$6,500,000	to under	\$6,750,000
23	Category JJ	\$6,750,000	to under	\$7,000,000
24	Category KK	\$7,000,000	to under	\$7,250,000
25	Category LL	\$7,250,000	to under	\$7,500,000
26	Category MM	\$7,500,000	to under	\$7,750,000
27	Category NN	\$7,750,000	to under	\$8,000,000
28	Category OO	\$8,000,000	to under	\$8,250,000
29	Category PP	\$8,250,000	to under	\$8,500,000
30	Category QQ	\$8,500,000	to under	\$8,750,000
31	Category RR	\$8,750,000	to under	\$9,000,000
32	Category SS	\$9,000,000	to under	\$9,250,000
33	Category TT	\$9,250,000	to under	\$9,500,000
34	Category UU	\$9,500,000	or over	

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

§ 4. This act shall take effect on the same date and in the same manner as part QQ of chapter 56 of the laws of 2022, takes effect; provided, however, that section two of this act shall take effect on January first, two thousand twenty-three; provided, further, that if section 7 of part QQ of chapter 56 of the laws of 2022 shall not have taken effect on or before such date then section two of this act shall take effect on the same date and in the same manner as such chapter of the laws of 2022 takes effect. Effective immediately the addition, amendment and/or repeal of any rule or regulation necessary for the implementation of this act on its effective date are authorized to be made on or before such date.