

STATE OF NEW YORK

7061

2021-2022 Regular Sessions

IN SENATE

May 26, 2021

Introduced by Sen. PALUMBO -- read twice and ordered printed, and when printed to be committed to the Committee on Investigations and Government Operations

AN ACT to amend the public officers law, in relation to establishing the department of oversight and investigation, providing for its powers, duties and functions (Part A); to repeal section 94 of the executive law relating to the joint commission on public ethics; and to repeal article 4-A of the executive law relating to the office of the state inspector general (Part B); providing for the transfer of the functions, powers and duties of the joint commission on public ethics, the office of the state inspector general and the former temporary state commission of investigation to the department of oversight and investigation (Part C); to amend the civil service law and the legislative law, in relation to the joint commission on public ethics; to amend the racing, pari-mutuel wagering and breeding law, in relation to membership on the franchise oversight board; to amend the executive law and the public authorities law, in relation to the state inspector general; to amend the criminal procedure law, the executive law and the public officers law, in relation to the former temporary state commission of investigation; to amend the public officers law, in relation to the joint commission on public ethics and the legislative ethics commission; to repeal subdivision 68 of section 2.10 of the criminal procedure law relating to the office of the state inspector general; and to repeal chapter 989 of the laws of 1958 relating to creating a temporary state commission of investigation, relating thereto (Part D)

The People of the State of New York, represented in Senate and Assembly, do enact as follows:

- 1 Section 1. Short title. This act shall be known and may be cited as
- 2 the "ethics reform act of 2021".

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

LBD09728-02-1

§ 2. This act enacts into law major components of legislation which are necessary to establish meaningful ethics reform and oversight within the state of New York. Each component is wholly contained within a Part identified as Parts A through D. The effective date for each particular provision contained within such Part is set forth in the last section of such Part. Any provision in any section contained within a Part, including the effective date of the Part, which makes reference to a section "of this act", when used in connection with that particular component, shall be deemed to mean and refer to the corresponding section of the Part in which it is found. Section four of this act sets forth the general effective date of this act.

PART A

Section 1. The public officers law is amended by adding a new article 7-A to read as follows:

ARTICLE 7-A

DEPARTMENT OF OVERSIGHT AND INVESTIGATION

Section 113. Definitions.

113-a. Establishment of department of oversight and investigation.

113-b. Board of public integrity; establishment, organization, and powers.

113-c. Commissioner; appointment, duties, and powers.

113-d. Responsibilities of covered agencies, officers, and employees.

113-e. Financial disclosure.

113-f. Investigations; financial disclosure and ethical violations.

113-g. Investigation; other.

113-h. Violations.

113-i. Adjudicatory process.

§ 113. Definitions. As used in this article, the following terms shall have the following meaning:

1. "department" means the department of oversight and investigation as established by section one hundred thirteen-a of this article.

2. "commissioner" means the commissioner of the department of oversight and investigation.

3. "covered agency" shall include all executive branch agencies, departments, divisions, officers, boards and commissions, public authorities, and public benefit corporations, the heads of which are appointed by the governor.

4. "board" means the board of public integrity established by section one hundred thirteen-b of this article.

§ 113-a. Establishment of department of oversight and investigation.

1. There is established within New York state a department of oversight and investigation to be headed by a commissioner appointed pursuant to this article. The department shall have and exercise the powers and duties set forth in this article with respect to all covered agencies, statewide elected officials, members of the legislature and employees of the legislature, and state officers and employees, as defined in sections seventy-three and seventy-three-A of this chapter, candidates for statewide elected office and for the senate or assembly, and the political party chairman as that term is defined in section seventy-three-A of this chapter, lobbyists and the clients of lobbyists as such terms are defined in article one-A of the legislative law, and

1 individuals who have formerly held such positions, were lobbyists or
2 clients of lobbyists, as such terms are defined in article one-A of the
3 legislative law, or who have formerly been such candidates.

4 2. The establishment of the department of oversight and investigation
5 by this article, nor any provisions contained herein, shall be deemed to
6 have revoked or rescinded any regulations or advisory opinions issued by
7 the legislative ethics commission, the joint commission on public
8 ethics, the commission on public integrity, or the state ethics commis-
9 sion and the temporary lobbying commission in effect upon the effective
10 date of this article.

11 3. The department shall undertake a comprehensive review of all regu-
12 lations and opinions, which will address the consistency of such regu-
13 lations and opinions among each other, and of the effectiveness of
14 existing laws, regulations, guidance and ethics enforcement structure to
15 address the ethics of covered public officials and related parties. Such
16 review shall be conducted with the legislative ethics commission. The
17 department shall, before December thirty-first, two thousand twenty-two,
18 report to the governor and legislature regarding such review and shall
19 propose any regulatory or statutory changes and issue any advisory opin-
20 ions necessitated by such review.

21 § 113-b. Board of public integrity; establishment, organization, and
22 powers. 1. a. There shall be created within the department a board, to
23 be known as the board of public integrity, consisting of twelve members
24 appointed as follows: two members appointed by the speaker of the assem-
25 bly; two members appointed by the temporary president of the senate; two
26 members appointed by the minority leader of the assembly; two members
27 appointed by the minority leader of the senate; and four members
28 appointed by the governor, provided, however, that the appointments by
29 the governor shall be made upon the recommendation of the legislative
30 leaders. The speaker of the assembly, temporary president of the senate,
31 minority leader of the assembly, and minority leader of the senate shall
32 each submit a list of no less than three names to the governor for
33 consideration. The governor shall select one name from each of the
34 legislative leader's lists for appointment to the board.

35 b. Each member of the board shall serve a term of four years, commenc-
36 ing on the first of January of the calendar year in which the vacancy on
37 such board occurs; provided, however, that the members initially
38 appointed by the senate leaders, and by the governor upon the recommen-
39 dation of the senate leaders, shall serve only two years. All subsequent
40 appointments shall be for a full four-year term.

41 c. Any vacancy occurring on the board shall be filled within thirty
42 days of its occurrence in the same manner as the member whose vacancy is
43 being filled was appointed. A person appointed to fill a vacancy occur-
44 ring other than by expiration of a term of office shall be appointed for
45 the unexpired term of the member he or she succeeds.

46 d. There shall be no ex-officio members of the board, and no member
47 shall delegate his or her duties to another individual.

48 e. No person shall be eligible to serve as a member of the board if at
49 the time of appointment, or at any time during a term, he or she serves
50 in any other elected position or is an employee of the state of New
51 York, a municipal corporation, a public authority, or public benefit
52 corporation. Additionally, no member of the board, or his or her spouse,
53 shall, during the period of his or her service on the board, make or
54 solicit from another person any contributions to candidates for election
55 to the offices of governor, lieutenant governor, member of the assembly

1 or the senate, attorney general, or state comptroller, nor may he or she
2 make or solicit any contributions to a political party or committee.

3 f. Members of the board shall be considered public officers and shall
4 be required to take all necessary oaths and file any disclosures as
5 required by law, which shall be made available to the public on the
6 department's website.

7 g. The board shall, annually, elect from its appointed members a chair
8 and vice chair by a majority vote of the total number of members of the
9 board. The chair shall preside over all board meetings and shall have
10 the power to schedule meetings of the board as he or she deems necessary
11 for the proper execution of its duties. The vice-chair, in the absence
12 or incapacity of the chair, shall exercise all powers of the chair.

13 h. Seven members shall constitute a quorum of the board, and the board
14 shall have the power to act by majority vote of the total number of the
15 members of the board without vacancies except where otherwise specified
16 under this article.

17 i. Members of the board may be removed by the appointing authority for
18 substantial neglect of duty, gross misconduct in office, inability to
19 discharge the powers or duties of the office, or violations of this
20 article, after written notice and an opportunity for a reply has been
21 provided.

22 j. Members of the board shall receive a per diem allowance in the sum
23 of three hundred dollars for each day spent in the performance of his or
24 her duties, and, in addition thereto, shall be reimbursed for all
25 reasonable expenses incurred in the performance of his or her duties.

26 2. The board shall have the following duties and responsibilities:

27 a. elect a commissioner for the department;

28 b. review and examine annually the policies and procedures of covered
29 agencies with regard to the prevention and detection of corruption,
30 fraud, criminal activity, and conflicts of interest or abuse;

31 c. create, in consultation with the commissioner, model training and
32 programming that may be used by covered agencies to inform and educate
33 employees and officers of such agencies of the code of ethics and other
34 relevant policies and practices meant to prevent fraud, criminality or
35 any other misconduct;

36 d. monitor the implementation by covered agencies of any policies or
37 practices put in place to combat corruption, fraud, criminal activity,
38 conflicts of interest or abuse;

39 e. in consultation with the commissioner, promulgate rules and regu-
40 lations necessary to effectuate section one hundred seven of the civil
41 service law, sections seventy-three, seventy-three-a, and seventy-four
42 of this chapter, article one-A of the legislative law, and any other
43 provision of law relating to corruption within the government.

44 f. in consultation with the commissioner, issue official advisory
45 opinions necessary to clarify interpretations of laws, rules, and regu-
46 lations; provided, however, that informal opinions may be provided by
47 appointed staff of the department upon request by a covered agency,
48 employee, state officers, or other subject individual.

49 g. promulgate rules and regulation necessary to govern investigations
50 of complaints filed with the commissioner, including rules and regu-
51 lations necessary to ensure due process for the subject of a complaint;
52 and

53 h. publish an annual report, no later than December thirty-first of
54 each year, to the governor and legislature on annual activities of the
55 board and the department, and include therein all generally applicable
56 advisory opinions issued during the year and recommendations for statu-

1 tory changes necessary to further provide for integrity in government.
2 Such report shall be made available on the department's public website.
3 All information deemed confidential by statute or other rule or regu-
4 lation shall be redacted or withheld from the report.

5 § 113-c. Commissioner; appointment, duties, and powers. 1. a. The
6 commissioner shall be chosen by a majority vote of the board of public
7 integrity. Notwithstanding any law to the contrary, the commission need
8 not be a resident of the state of New York at the time of appointment,
9 but shall be required to reside within the state at all times he or she
10 serves and is exercising the functions of the office of commissioner.
11 The commissioner shall also be prohibited from holding any other elected
12 position within New York state, or any political subdivision thereof.
13 Moreover, the commissioner, and his or her spouse, shall, during his or
14 her term of service, not make or solicit from any other person any
15 contributions to candidates for election to the offices of governor,
16 lieutenant governor, member of the assembly or the senate, attorney
17 general, or state comptroller, nor may he or she make or solicit any
18 contributions to a political party or committee.

19 b. The commissioner shall be appointed to serve a term of six years
20 and shall serve the entirety of such term unless a vacancy arises pursu-
21 ant to section thirty of this chapter, or the board of public integrity,
22 voting unanimously, approves a motion to remove the commissioner from
23 office. In the event the board of public integrity votes unanimously to
24 remove an individual from office, the board of public integrity shall
25 publish a statement, signed by all members of the board, articulating
26 the reasoning for such action.

27 c. The commissioner shall serve in his or her capacity beyond the
28 six-year term in office only upon re-appointment by the board of public
29 integrity or, if necessary, as a holdover until such time as such board
30 appoints a replacement.

31 2. The commissioner shall have the following duties and responsibil-
32 ities:

33 a. appoint any necessary deputies, assistants, or staff as required to
34 efficiently carry out the duties and purpose of the department;

35 b. assist covered agencies and other subject individuals with the
36 implementation of any ethics training programs established by the
37 department; provided, however that any ethics training for the legisla-
38 ture and legislative employees shall be overseen by the legislative
39 ethics commission;

40 c. receive and investigate complaints from any source, or upon his or
41 her own initiative, concerning allegations of corruption, fraud, crimi-
42 nal activity, conflicts of interest or abuse in any covered agency, by a
43 state officer, legislator, legislative employee, candidate for state
44 office, candidate for state assembly or senate, lobbyist, client of a
45 lobbyist, or political party chair;

46 d. when applicable, inform the heads of covered agencies of any
47 complaints and the progress of investigations related to such
48 complaints; unless circumstances require confidentiality; provided,
49 however, information regarding complaints and status of investigations
50 related to members of the legislature or employees of the legislature
51 shall be provided to the legislative ethics commission;

52 e. make determinations with respect to any allegations whether disci-
53 plinary actions, civil or criminal prosecution, or further investigation
54 by another governmental agency, federal, state or local, is necessary,
55 and to assist in any such investigation;

1 f. forward matters, including all relevant documentation, to appropri-
2 ate governmental agencies, federal or state, for prosecution, if an
3 investigation by the department finds there is probable cause to believe
4 that a violation of federal or state law occurred;

5 g. enforce determinations of the department, including fines or other
6 findings levied by the department, against covered agencies, state offi-
7 cers, employees, lobbyists, clients of lobbyists, and political party
8 chairs; and

9 h. issue an annual report to the board, no later than April first of
10 each year, summarizing all investigations and actions taken by the
11 department related to any such investigations or actions in the prior
12 calendar year. Such report shall be used by the board in compiling its
13 annual report to the governor and legislature; provided such report
14 shall be confidential and not subject to disclosure pursuant to article
15 six of this chapter.

16 3. In addition to the duties and responsibilities provided in subdivi-
17 sion two of this section, the commissioner shall exercise the following
18 powers in the execution of his or her duties:

19 a. subpoena and require the attendance of witnesses;

20 b. administer oaths of affirmation and examine witnesses under oath;

21 c. require the production of any books and papers deemed relevant or
22 material to any investigation, examination or review;

23 d. notwithstanding any law to the contrary, examine and copy or remove
24 documents or records of any kind prepared, maintained or held by any
25 covered agency, employee thereof, state officer, legislator, or legisla-
26 tive employee;

27 e. question any relevant party concerning any matter related to the
28 performance of his or her official duties or related to an investi-
29 gation;

30 f. monitor adherence to disciplinary determinations rendered by the
31 department; and

32 g. perform any other function necessary and appropriate to fulfill the
33 duties and responsibilities of the department.

34 § 113-d. Responsibilities of covered agencies, officers, and employ-
35 ees. 1. Every officer and employee in a covered agency, state officer,
36 legislator, legislative employee, lobbyist, client of a lobbyist, and
37 political party chair, shall report promptly to the department material
38 information concerning corruption, fraud, criminal activity, conflicts
39 of interest, ethical violations or abuse by another relating to his or
40 her office or employment, or by a person having business dealings with a
41 covered agency relating to those dealings, including lobbyist as defined
42 under article one-A of the legislative law.

43 2. The knowing failure of any subject individual to so report may be
44 cause for sanctions and punitive actions against such individual who
45 fails to report such conduct. Any individual who acts pursuant to this
46 section by reporting to the department improper governmental action as
47 defined in section seventy-five-b of the civil service law shall not be
48 subject to discipline by the department for failure to report such
49 activity; provided, however, that such protection from departmental
50 sanctions does not provide legal immunity for criminal actions.

51 § 113-e. Financial disclosure. 1. a. The commissioner, or any desig-
52 nated staff, shall inspect all financial disclosure statements filed
53 with the department in order to ascertain whether any person subject to
54 the reporting requirements of this chapter has failed to file such a
55 statement, has filed a deficient statement or has filed a statement
56 which reveals a possible violation of law.

1 b. The commissioner, or any designated staff, in relation to financial
2 disclosures:

3 (i) shall make available forms for annual statements of financial
4 disclosure required to be filed pursuant to section seventy-three-a of
5 this chapter;

6 (ii) receive complaints directly or through a referral from any other
7 covered agency or the department alleging violations of section seven-
8 ty-three, seventy-three-a or seventy-four of this chapter, article one-A
9 of the legislative law or section one hundred seven of the civil service
10 law;

11 (iii) permit any person required to file a financial disclosure state-
12 ment with the department to request deletion from the copy of such
13 statement made available for public inspection and copying one or more
14 items of information which may be deleted by the department upon a find-
15 ing by the department that the information which would otherwise be
16 required to be made available for public inspection and copying will
17 have no material bearing on the discharge of the reporting person's
18 official duties;

19 (iv) grant any person required to file a financial disclosure state-
20 ment an additional period of time within which to file such statement
21 due to justifiable cause or undue hardship;

22 (v) permit any person required to file a financial disclosure state-
23 ment to delete such information pertaining to such person's spouse or
24 emancipated children as shall be found by the department to have no
25 material bearing on the discharge of the reporting person's official
26 duties;

27 (vi) advise and assist any covered agency in establishing rules and
28 regulations relating to possible conflicts between private interests and
29 official duties of present and former state officers and employees;

30 (vii) advise and assist any covered agency with training programs
31 relating to ethical compliance;

32 (viii) permit any person who has not been determined by his or her
33 appointing authority to hold a policy-making position, but who is other-
34 wise required to file a financial disclosure statement, to be granted an
35 exemption from such filing requirement. The commissioner may grant such
36 an exemption where the public interest does not require disclosure and
37 the applicant's duties do not involve negotiation, authorization or
38 approval of:

39 A. contracts, leases, franchises, revocable consents, concessions,
40 variances, special permits or licenses as set forth in section seventy-
41 three of this chapter;

42 B. the purchase, sale, rental or lease of real property, goods or
43 services, or a contract therefor;

44 C. the obtaining of grants of money or loans; or

45 D. the adoption or repeal of any rule or regulation having the force
46 and effect of law;

47 (ix) determine questions common to a class or defined category of
48 persons or items of information required to be disclosed, where determi-
49 nation of the question will prevent undue repetition of requests for
50 exemption or deletion or prevent undue complication in complying with
51 the requirements of such section; and

52 (x) conduct investigations into any complaints.

53 2. If a person required to file a financial disclosure statement with
54 the department has failed to file a disclosure statement or has filed a
55 deficient statement, the commission shall notify the reporting person in
56 writing, state the failure to file or detail the deficiency, provide the

1 person with a fifteen-day period to cure the deficiency, and advise the
2 person of the penalties for failure to comply with the reporting
3 requirements. Such notice shall be confidential. If the person fails to
4 make such filing or fails to cure the deficiency within the specified
5 time period, the commissioner, or designated staff, shall send a notice
6 of delinquency:

7 a. to the reporting person;

8 b. in the case of a statewide elected official, to the temporary pres-
9 ident of the senate and the speaker of the assembly; and

10 c. in the case of a state officer or employee, to the appointing
11 authority for such person. Such notice of delinquency may be sent at any
12 time during the reporting person's service as a statewide elected offi-
13 cial, state officer or employee, political party chair or while a candi-
14 date for statewide office, or within one year after termination of such
15 service or candidacy.

16 § 113-f. Investigations; financial disclosure and ethical violations.

17 1. If the department receives a sworn complaint alleging a violation of
18 section one hundred seven of the civil service law, sections seventy-
19 three, seventy-three-a or seventy-four of this chapter, or article one-A
20 of the legislative law by a person or entity subject to the oversight of
21 the department, or if a reporting individual has filed a statement which
22 reveals a possible violation of any such provision, or if the department
23 determines on its own initiative to investigate a possible violation,
24 the department shall notify the individual in writing, within five busi-
25 ness days of receipt of a complaint or action of its own, so as to
26 describe the possible or alleged violation of such laws and provide the
27 person who is the subject of the complaint with a fifteen day period in
28 which to submit a written response setting forth information relating to
29 the activities cited as a possible or alleged violation of law.

30 2. If the department determines, following an initial review of the
31 complaint and any response, that there is a substantial basis to believe
32 that a violation has occurred, it shall send a notice of such findings:

33 a. to the complainant, if any; and

34 b. to the subject of the report or complaint.

35 3. An investigation undertaken by the department following a complaint
36 or action on its own initiative shall take no more than thirty days,
37 commencing from the day upon which the department determines there is
38 reasonable cause to believe that a violation occurred and sends notice
39 of such to the subject of the investigation. However, if completion of
40 an investigation is not possible within thirty days, such investigation
41 shall be completed as soon as practicable thereafter; provided notice of
42 the extended investigation is given to the complainant and subject of
43 the investigation.

44 4. Upon completion of an investigation, the department shall issue a
45 determination in writing to the individual and the complainant, if any;
46 and the appointing authority of any state employee. If the investigation
47 involved a member of the legislature or a legislative employee, such
48 determinations shall be forwarded to the legislative ethics commission;
49 while determinations involving the governor, the lieutenant governor,
50 attorney general or state comptroller shall be provided to the governor
51 and the speaker of the assembly and temporary president of the senate.
52 Such final determinations shall be available for public inspection,
53 including findings of fact and conclusions of law that a violation of
54 law occurred; provided that no other reports or investigative materials
55 shall be publicly reviewable and shall remain confidential.

1 5. a. The department shall have jurisdiction to investigate, but shall
2 have no jurisdiction to impose penalties upon members of or candidates
3 for member of the legislature or legislative employees for any violation
4 of this chapter. If upon completion of its investigation the department
5 concludes that a member of the legislature or a legislative employee or
6 candidate for member of the legislature has violated any provisions of
7 law over which the department has oversight, it shall present a written
8 report to the legislative ethics commission, and deliver a copy of the
9 report to the individual who is the subject of the report. Such written
10 report shall include:

11 (i) the department's findings of fact and any evidence addressed in
12 such findings; and conclusions of law and citations to any relevant law,
13 rule, opinion, regulation or standard of conduct upon which it relied;
14 and

15 (ii) a determination that the department has concluded that a
16 violation has occurred, and the reasons and basis for such determi-
17 nation.

18 b. The department shall also separately provide to the legislative
19 ethics commission copies of additional documents or other evidence
20 considered including evidence that may contradict the department's find-
21 ings, the names of and other information regarding any additional
22 witnesses, and any other materials. With respect to a violation of any
23 law other than sections seventy-three, seventy-three-a, and seventy-four
24 of this chapter, where the department finds sufficient cause, it shall
25 refer such matter to the appropriate prosecutor.

26 § 113-g. Investigations; other. 1. The department shall also be
27 authorized to undertake, upon a submitted complaint or its own initi-
28 ative, any investigation into potential criminal activity, or other
29 conduct over which it has jurisdiction, by a person or entity subject to
30 the oversight of the department.

31 2. The board of public integrity, in consultation with the commission-
32 er, shall promulgate any rules and regulations necessary to, among other
33 things, ensure investigatory integrity, due process, and appropriate
34 criminal and/or civil prosecution, if warranted.

35 3. Notwithstanding review and publication of a final determination of
36 the department, any person conducting or participating in any examina-
37 tion or investigation under this section or section one hundred thir-
38 teen-f this article who shall disclose to any person not involved in
39 such examination or investigation, or who the commissioner may otherwise
40 have authorized to receive such information related to or detailing an
41 investigation, shall be guilty of a misdemeanor.

42 § 113-h. Violations. 1. An individual subject to the jurisdiction of
43 the department who knowingly and intentionally violates the provisions
44 of subdivisions two through five, seven, eight, twelve or fourteen
45 through seventeen of section seventy-three of this chapter, section one
46 hundred seven of the civil service law, or a reporting individual who
47 knowingly and willfully fails to file an annual statement of financial
48 disclosure or who knowingly and willfully with intent to deceive makes a
49 false statement or fraudulent omission or gives information which such
50 individual knows to be false on such statement of financial disclosure
51 filed pursuant to section seventy-three-a of this chapter shall be
52 subject to a civil penalty in an amount not to exceed forty thousand
53 dollars and the value of any gift, compensation or benefit received as a
54 result of such violation. An individual who knowingly and intentionally
55 violates the provisions of paragraph b, c, d or i of subdivision three
56 of section seventy-four of this chapter shall be subject to a civil

1 penalty in an amount not to exceed ten thousand dollars and the value of
2 any gift, compensation or benefit received as a result of such
3 violation. An individual who knowingly and intentionally violates the
4 provisions of paragraph a, e or g of subdivision three of section seven-
5 ty-four of this chapter shall be subject to a civil penalty in an amount
6 not to exceed the value of any gift, compensation or benefit received as
7 a result of such violation. An individual subject to the jurisdiction of
8 the department who knowingly and willfully violates article one-A of the
9 legislative law shall be subject to civil penalty as provided for in
10 such article. Assessment of a civil penalty pursuant to this section
11 shall be made by the department with respect to individuals subject to
12 its jurisdiction. In assessing the amount of the civil penalties to be
13 imposed, the department shall consider the seriousness of the violation,
14 the amount of gain to the individual and whether such individual previ-
15 ously had any civil or criminal penalties imposed pursuant to this
16 section, and any other factors the department deems appropriate.

17 2. A civil penalty for false filing relating to financial disclosures
18 made pursuant to section seventy-three or seventy-three-a of this chap-
19 ter may not be imposed pursuant to this section in the event a category
20 of "value" or "amount" reported pursuant to this section is incorrect
21 unless such reported information is materially false.

22 3. All determinations of any civil fine made by the department pursu-
23 ant to this section shall be forwarded to appointing authority of the
24 subject individual, and shall reviewed any other possible criminal
25 violations that may arise from such violations. Violations of section
26 one hundred seven of the civil service law, subdivision twelve, four-
27 teen, fifteen, sixteen or seventeen of section seventy-three or section
28 seventy-four of this chapter or article one-A of the legislative law
29 shall constitute class A misdemeanors.

30 § 113-i. Adjudicatory process. The department shall be deemed to be an
31 agency within the meaning of article three of the state administrative
32 procedure act and shall adopt rules governing the conduct of adjudicato-
33 ry proceedings and appeals taken pursuant to a proceeding commenced
34 under article seventy-eight of the civil practice law and rules relating
35 to the assessment of the civil penalties authorized by this article and
36 department denials of requests for certain deletions or exemptions to be
37 made from a financial disclosure statement as authorized by this arti-
38 cle. Such rules, which shall not be subject to the approval requirements
39 of the state administrative procedure act, shall provide for due process
40 procedural mechanisms substantially similar to those set forth in arti-
41 cle three of the state administrative procedure act but such mechanisms
42 need not be identical in terms or scope. Assessment of a civil penalty
43 or department denial of such a request shall be final unless modified,
44 suspended or vacated within thirty days of imposition, with respect to
45 the assessment of such penalty, or unless such denial of request is
46 reversed within such time period, and upon becoming final shall be
47 subject to review at the instance of the affected reporting individuals
48 in a proceeding commenced against the department, pursuant to article
49 seventy-eight of the civil practice law and rules.

50 § 2. This act shall take effect on the first of January next succeed-
51 ing the date on which it shall have become a law; provided further,
52 however, that appointments to the board of public integrity authorized
53 by section 113-b of the public officers law shall be made within sixty
54 days of the date on which this act shall have become a law and such
55 board members shall be authorized to hold meetings upon appointment
56 necessary to ensure proper administration of such department.

1

PART B

2 Section 1. Section 94 of the executive law is REPEALED.

3 § 2. Article 4-A of the executive law is REPEALED.

4 § 3. This act shall take effect on the first of January next succeed-
5 ing the date on which it shall have become a law.

6

PART C

7 Section 1. Transfer of functions, powers and duties. All functions,
8 powers, duties and obligations of the former joint commission on public
9 ethics, and the former office of the state inspector general are hereby
10 transferred to the department of oversight and investigation.

11 § 2. Transfer of employees. (a) Upon transfer of the functions of the
12 former joint commission on public ethics, and the former office of the
13 state inspector general to the department of oversight and investi-
14 gation, provisions shall be made for the transfer to such department of
15 those employees of such former agencies who were engaged in carrying out
16 the functions transferred by this act in accordance with section 70 of
17 the civil service law or, where not subject to the civil service law,
18 the provisions of such section 70 shall be deemed applicable, except
19 where the context clearly requires otherwise. Any such employee who, at
20 the time of such transfer, has a temporary or provisional appointment
21 shall be transferred subject to the same right of removal, examination
22 or termination as though such transfer had not been made except to the
23 extent such rights are modified by a collective bargaining agreement.
24 Employees holding permanent appointments in competitive class positions
25 who are not transferred pursuant to this section shall have their names
26 entered upon an appropriate preferred list for reinstatement pursuant to
27 the civil service law.

28 (b) A transferred employee shall remain in the same collective
29 bargaining unit as was the case prior to his or her transfer; successor
30 employees to the positions held by such transferred employees shall,
31 consistent with the provisions of article 14 of the civil service law,
32 be included in the same unit as their predecessors. Employees other than
33 management or confidential persons (as defined in article 14 of the
34 civil service law), serving positions in newly created titles shall be
35 assigned to the appropriate bargaining unit. Nothing contained in this
36 section shall be construed to affect:

37 (1) the rights of employees pursuant to a collective bargaining agree-
38 ment;

39 (2) the representational relationships among employee organizations or
40 the bargaining relationships between the state and an employee organiza-
41 tion; or

42 (3) existing law with respect to an application to the public employ-
43 ment relations board, provided, however, that the merger of such negoti-
44 ating units of employees shall be effected only with the consent of the
45 recognized and certified representative of such units and of the depart-
46 ment of law.

47 § 3. Transfer of records. All books, papers and property of the former
48 joint commission on public ethics, and the former office of the state
49 inspector general are to be delivered to the department of oversight and
50 investigation at such place and time, and in such manner as the depart-
51 ment of oversight and investigation shall require.

52 § 4. Continuity of authority. For the purpose of succession to all
53 functions, powers, duties and obligations of the former joint commission

1 on public ethics and the former office of the state inspector general
2 transferred to and assumed by the department of oversight and investi-
3 gation, such department shall continue the operation thereof as if
4 performed by such former agencies.

5 § 5. Completion of unfinished business. Any business or other matter
6 undertaken or commenced by the former joint commission on public ethics,
7 or the former office of the state inspector general pertaining to or
8 connected with the functions, powers, duties and obligations transferred
9 and assigned to the department of oversight and investigation, and pend-
10 ing on the effective date of this section shall be conducted and
11 completed by such department in the same manner and under the same terms
12 and conditions and with the same effect as if conducted and completed by
13 such former agencies.

14 § 6. Continuation of rules and regulations. All rules, regulations,
15 acts, orders, determinations and decisions of the former joint commis-
16 sion on public ethics and the former office of the state inspector
17 general in force at the time of such transfer and assumption, shall
18 continue in force and effect as rules, regulations, acts, orders, deter-
19 minations and decisions of the department of oversight and investigation
20 until duly modified or abrogated.

21 § 7. Terms occurring in laws, contracts and other documents. Whenever
22 the former joint commission on public ethics or the former office of the
23 state inspector general is referred to or designated in any law,
24 contract or document pertaining to the functions, powers, obligations
25 and duties transferred and assigned pursuant to this act, such reference
26 or designation shall be deemed to refer to the department of oversight
27 and investigation.

28 § 8. Existing rights and remedies preserved. No existing right or
29 remedy of any character shall be lost, impaired or affected by reason of
30 any transfer or assignment pursuant to this act.

31 § 9. Pending actions or proceedings. No action or proceeding pending
32 upon the effective date of this section relating to the functions,
33 powers and duties of the former joint commission on public ethics, and
34 the former office of the state inspector general transferred to the
35 department of oversight and investigation, brought by or against any
36 such former agency or individual, shall be affected by any provision of
37 this act, but the same may be prosecuted or defended in the name of such
38 department. In all such actions and proceedings, the department of over-
39 sight and investigation, upon application to the court, shall be substi-
40 tuted as a party.

41 § 10. Transfer of appropriations heretofore made. Subject to the
42 approval of the director of the division of the budget, all appropri-
43 ations and reappropriations heretofore made to the former joint commis-
44 sion on public ethics and the former office of the state inspector
45 general for the purposes and functions transferred pursuant to this act
46 to the department of oversight and investigation, to the extent of
47 remaining unexpended or unencumbered balance thereof, whether allocated
48 or unallocated, and whether obligated or unobligated, are hereby trans-
49 ferred to and made available for use and expenditure by such department
50 for the same purposes for which originally appropriated or reappropri-
51 ated and shall be payable on vouchers certified or approved by the
52 commissioner of the department of oversight and investigation on audit
53 and warrant of the comptroller. Payments for liabilities for expenses of
54 personal services, maintenance and operation heretofore incurred by and
55 for liabilities incurred and to be incurred in completing the affairs of
56 the former joint commission on public ethics and the former office of

1 the state inspector general with respect to the powers, duties and func-
2 tions transferred in this act, shall also be made on vouchers or certifi-
3 cates approved by the commissioner of the department of oversight and
4 investigation on audit and warrant of the comptroller.

5 § 11. Transfer of assets and liabilities. All assets and liabilities
6 of the former joint commission on public ethics and the former office of
7 the state inspector general are hereby transferred to and assumed by the
8 department of oversight and investigation.

9 § 12. The department of oversight and investigation is hereby directed
10 to immediately take any and all actions necessary to enable it to assume
11 all powers, duties and functions of the former joint commission on
12 public ethics and the former office of the state inspector general with-
13 in 90 days of the effective date of this act.

14 § 13. This act shall take effect on the first of January next succeed-
15 ing the date on which it shall have become a law; provided that sections
16 one through eleven of this act shall take effect on the first of April
17 next succeeding the date on which it shall have become a law.

18 PART D

19 Section 1. Subdivision 5 of section 107 of the civil service law, as
20 amended by chapter 14 of the laws of 2007, is amended to read as
21 follows:

22 5. Violation of this section. Complaints alleging a violation of this
23 section by a statewide elected official or a state officer or employee,
24 as defined in section seventy-three of the public officers law, may be
25 directed to the [~~commission on public integrity~~] department of oversight
26 and investigation.

27 § 2. Subdivision (f) of section 1-c of the legislative law, as amended
28 by chapter 14 of the laws of 2007, is amended to read as follows:

29 (f) The term "commission" shall mean the [~~commission on public integ-~~
30 ~~rity created by section ninety-four of the executive law~~] department of
31 oversight and investigation.

32 § 3. Subdivision 3 of section 212 of the racing, pari-mutuel wagering
33 and breeding law, as amended by chapter 18 of the laws of 2008, is
34 amended to read as follows:

35 3. Such members, except as otherwise provided by law, may engage in
36 private or public employment, or in a profession or business. The board,
37 its members, officers and employees shall be subject to the provisions
38 of sections seventy-three and seventy-four of the public officers law.
39 No former trustee or officer of a non-profit racing association known as
40 The New York Racing Association, Inc. or its predecessor, no current
41 director or officer of a franchised corporation or any individual regis-
42 tered with the [~~New York commission on public integrity~~] commissioner of
43 the department of oversight and investigation shall be appointed as
44 members to the board nor shall any member of the board have any direct
45 or indirect interest in any racehorse, thoroughbred racing or pari-mutu-
46 el wagering business, video lottery terminal facility or any development
47 at any racing facility.

48 § 4. Subdivision 3 of section 63 of the executive law, as amended by
49 chapter 155 of the laws of 2012, is amended to read as follows:

50 3. Upon request of the governor, comptroller, secretary of state,
51 commissioner of transportation, superintendent of financial services,
52 commissioner of taxation and finance, commissioner of motor vehicles, or
53 the [~~state inspector general~~] commissioner of the department of over-
54 sight and investigation, or the head of any other department, authority,

1 division or agency of the state, investigate the alleged commission of
2 any indictable offense or offenses in violation of the law which the
3 officer making the request is especially required to execute or in
4 relation to any matters connected with such department, and to prosecute
5 the person or persons believed to have committed the same and any crime
6 or offense arising out of such investigation or prosecution or both,
7 including but not limited to appearing before and presenting all such
8 matters to a grand jury.

9 § 5. Section 2350-dd of the public authorities law, as added by chap-
10 ter 762 of the laws of 2005, is amended to read as follows:

11 § 2350-dd. Jurisdiction of [~~state inspector general~~] department of
12 oversight and investigation. The agency is subject to the jurisdiction
13 of the [~~office of the state inspector general~~] commissioner of the
14 department of oversight and investigation.

15 § 6. Subdivision 3 of section 2.10 of the criminal procedure law, as
16 added by chapter 843 of the laws of 1980, is amended to read as follows:

17 3. Investigators [~~of the office of the state commission of investi-~~
18 ~~gation~~] acting for, or at the request of the department of oversight and
19 investigation.

20 § 7. Subdivision 68 of section 2.10 of the criminal procedure law, as
21 added by chapter 168 of the laws of 2000, is REPEALED.

22 § 8. Subdivision 3 of section 70-a of the executive law, as added by
23 chapter 1003 of the laws of 1970, is amended to read as follows:

24 3. The deputy attorney general in charge of the organized crime task
25 force may request and shall receive from the division of state police,
26 the state department of taxation and finance, the state department of
27 labor, the [~~temporary state commission of investigation~~] department of
28 oversight and investigation, and from every department, division, board,
29 bureau, commission or other agency of the state, or of any political
30 subdivision thereof, cooperation and assistance in the performance of
31 his duties. Such deputy attorney general may provide technical and other
32 assistance to any district attorney or other local law enforcement offi-
33 cial requesting such assistance in the investigation or prosecution of
34 organized crime cases.

35 § 9. Subdivision 9 of section 835 of the executive law, as separately
36 amended by chapters 14 and 155 of the laws of 2012, is amended to read
37 as follows:

38 9. "Qualified agencies" means courts in the unified court system, the
39 administrative board of the judicial conference, probation departments,
40 sheriffs' offices, district attorneys' offices, the state department of
41 corrections and community supervision, the department of correction of
42 any municipality, the financial frauds and consumer protection unit of
43 the state department of financial services, the office of professional
44 medical conduct of the state department of health for the purposes of
45 section two hundred thirty of the public health law, the child protec-
46 tive services unit of a local social services district when conducting
47 an investigation pursuant to subdivision six of section four hundred
48 twenty-four of the social services law, the office of Medicaid inspector
49 general, the [~~temporary state commission of investigation~~] department of
50 oversight and investigation, police forces and departments having
51 responsibility for enforcement of the general criminal laws of the
52 state, the Onondaga County Center for Forensic Sciences Laboratory when
53 acting within the scope of its law enforcement duties and the division
54 of forensic services of the Nassau county medical examiner's office when
55 acting within the scope of its law enforcement duties.

§ 10. Subdivision 8 of section 92 of the public officers law, as amended by section 135 of subpart B of part C of chapter 62 of the laws of 2011, is amended to read as follows:

(8) Public safety agency record. The term "public safety agency record" means a record of the state commission of correction, the ~~[temporary state commission of investigation]~~ department of oversight and investigation, the department of corrections and community supervision, the office of children and family services, the office of victim services, the office of probation and correctional alternatives or the division of state police or of any agency or component thereof whose primary function is the enforcement of civil or criminal statutes if such record pertains to investigation, law enforcement, confinement of persons in correctional facilities or supervision of persons pursuant to criminal conviction or court order, and any records maintained by the division of criminal justice services pursuant to sections eight hundred thirty-seven, eight hundred thirty-seven-a, eight hundred thirty-seven-b, eight hundred thirty-seven-c, eight hundred thirty-eight, eight hundred thirty-nine, and eight hundred forty-five of the executive law and by the department of state pursuant to section ninety-nine of the executive law.

§ 11. Chapter 989 of the laws of 1958, creating a temporary state commission of investigation, is REPEALED.

§ 12. Subparagraphs (ii) and (iii) of paragraph (c), and paragraphs (d) and (d-1) of subdivision 1 of section 73-a of the public officers law, subparagraphs (ii) and (iii) of paragraph (c) and paragraph (d) as amended and paragraph (d-1) as added by section 5 of part A of chapter 399 of the laws of 2011, are amended to read as follows:

(ii) officers and employees of statewide elected officials, officers and employees of state departments, boards, bureaus, divisions, commissions, councils or other state agencies, who receive annual compensation in excess of the filing rate established by paragraph (1) of this subdivision or who hold policy-making positions, as annually determined by the appointing authority and set forth in a written instrument which shall be filed with the ~~[joint commission on public ethics established by section ninety-four of the executive law]~~ department of oversight and investigation during the month of February, provided, however, that the appointing authority shall amend such written instrument after such date within thirty days after the undertaking of policy-making responsibilities by a new employee or any other employee whose name did not appear on the most recent written instrument; and

(iii) members or directors of public authorities, other than multi-state authorities, public benefit corporations and commissions at least one of whose members is appointed by the governor, and employees of such authorities, corporations and commissions who receive annual compensation in excess of the filing rate established by paragraph (1) of this subdivision or who hold policy-making positions, as determined annually by the appointing authority and set forth in a written instrument which shall be filed with the ~~[joint commission on public ethics established by section ninety-four of the executive law]~~ department of oversight and investigation during the month of February, provided, however, that the appointing authority shall amend such written instrument after such date within thirty days after the undertaking of policy-making responsibilities by a new employee or any other employee whose name did not appear on the most recent written instrument.

(d) The term "legislative employee" shall mean any officer or employee of the legislature who receives annual compensation in excess of the

1 filing rate established by paragraph (1) [~~below~~] of this subdivision or
2 who is determined to hold a policy-making position by the appointing
3 authority as set forth in a written instrument which shall be filed with
4 the legislative ethics commission and the [~~joint commission on public~~
5 ~~ethics~~] department of oversight and investigation.

6 (d-1) A financial disclosure statement required pursuant to section
7 seventy-three of this article and this section shall be deemed "filed"
8 with the [~~joint commission on public ethics~~] department of oversight and
9 investigation upon its filing, in accordance with this section, with the
10 legislative ethics commission for all purposes including, but not limit-
11 ed to, [~~subdivision fourteen of section ninety-four of the executive~~
12 ~~law,~~] article seven-A of this chapter, subdivision nine of section
13 eighty of the legislative law and subdivision four of this section.

14 § 13. Subdivision 2 of section 73-a of the public officers law, as
15 amended by section 5 of part A of chapter 399 of the laws of 2011, is
16 amended to read as follows:

17 2. (a) Every statewide elected official, state officer or employee,
18 member of the legislature, legislative employee and political party
19 chairman and every candidate for statewide elected office or for member
20 of the legislature shall file an annual statement of financial disclo-
21 sure containing the information and in the form set forth in subdivision
22 three of this section. On or before the fifteenth day of May with
23 respect to the preceding calendar year: (1) every member of the legisla-
24 ture, every candidate for member of the legislature and legislative
25 employee shall file such statement with the legislative ethics commis-
26 sion which shall provide such statement along with any requests for
27 exemptions or deletions to the [~~joint commission on public ethics~~]
28 department of oversight and investigation for filing and rulings with
29 respect to such requests for exemptions or deletions, on or before the
30 thirtieth day of June; and (2) all other individuals required to file
31 such statement shall file it with the [~~joint commission on public~~
32 ~~ethics~~] department of oversight and investigation, except that:

33 (i) a person who is subject to the reporting requirements of this
34 subdivision and who timely filed with the internal revenue service an
35 application for automatic extension of time in which to file his or her
36 individual income tax return for the immediately preceding calendar or
37 fiscal year shall be required to file such financial disclosure state-
38 ment on or before May fifteenth but may, without being subjected to any
39 civil penalty on account of a deficient statement, indicate with respect
40 to any item of the disclosure statement that information with respect
41 thereto is lacking but will be supplied in a supplementary statement of
42 financial disclosure, which shall be filed on or before the seventh day
43 after the expiration of the period of such automatic extension of time
44 within which to file such individual income tax return, provided that
45 failure to file or to timely file such supplementary statement of finan-
46 cial disclosure or the filing of an incomplete or deficient supplementa-
47 ry statement of financial disclosure shall be subject to the notice and
48 penalty provisions of this section respecting annual statements of
49 financial disclosure as if such supplementary statement were an annual
50 statement;

51 (ii) a person who is required to file an annual financial disclosure
52 statement with the [~~joint commission on public ethics~~] department of
53 oversight and investigation, and who is granted an additional period of
54 time within which to file such statement due to justifiable cause or
55 undue hardship[, ~~in accordance with required rules and regulations on~~
56 ~~the subject adopted pursuant to paragraph c of subdivision nine of~~

~~section ninety four of the executive law~~] shall file such statement within the additional period of time granted~~[, and the legislative ethics commission shall notify the joint commission on public ethics of any extension granted pursuant to this paragraph]~~;

(iii) candidates for statewide office who receive a party designation for nomination by a state committee pursuant to section 6-104 of the election law shall file such statement within ten days after the date of the meeting at which they are so designated;

(iv) candidates for statewide office who receive twenty-five percent or more of the vote cast at the meeting of the state committee held pursuant to section 6-104 of the election law and who demand to have their names placed on the primary ballot and who do not withdraw within fourteen days after such meeting shall file such statement within ten days after the last day to withdraw their names in accordance with the provisions of such section of the election law;

(v) candidates for statewide office and candidates for member of the legislature who file party designating petitions for nomination at a primary election shall file such statement within ten days after the last day allowed by law for the filing of party designating petitions naming them as candidates for the next succeeding primary election;

(vi) candidates for independent nomination who have not been designated by a party to receive a nomination shall file such statement within ten days after the last day allowed by law for the filing of independent nominating petitions naming them as candidates in the next succeeding general or special election;

(vii) candidates who receive the nomination of a party for a special election shall file such statement within ten days after the date of the meeting of the party committee at which they are nominated; and

(viii) a candidate substituted for another candidate, who fills a vacancy in a party designation or in an independent nomination, caused by declination, shall file such statement within ten days after the last day allowed by law to file a certificate to fill a vacancy in such party designation or independent nomination;

(ix) with respect to all candidates for member of the legislature, the legislative ethics commission shall within five days of receipt provide the joint commission on public ethics the statement filed pursuant to subparagraphs (v), (vi), (vii) and (viii) of this paragraph.

(b) As used in this subdivision, the terms "party", "committee" (when used in conjunction with the term "party"), "designation", "primary", "primary election", "nomination", "independent nomination" and "ballot" shall have the same meanings as those contained in section 1-104 of the election law.

(c) If the reporting individual is a senator or member of assembly, candidate for the senate or member of assembly or a legislative employee, such statement shall be filed with both the legislative ethics commission established by section eighty of the legislative law and the ~~[joint commission on public ethics]~~ department of oversight and investigation in accordance with paragraph (d-1) of subdivision one of this section. If the reporting individual is a statewide elected official, candidate for statewide elected office, a state officer or employee or a political party chairman, such statement shall be filed with the joint commission on public ethics established by section ninety-four of the executive law.

(d) The ~~[joint commission on public ethics]~~ department of oversight and investigation shall obtain from the state board of elections a list of all candidates for statewide office and for member of the legisla-

1 ture, and from such list, shall determine and publish a list of those
2 candidates who have not, within ten days after the required date for
3 filing such statement, filed the statement required by this subdivision.

4 (e) Any person required to file such statement who commences employ-
5 ment after May fifteenth of any year and political party chairman shall
6 file such statement within thirty days after commencing employment or of
7 taking the position of political party chairman, as the case may be. In
8 the case of members of the legislature and legislative employees, such
9 statements shall be filed with the legislative ethics commission within
10 thirty days after commencing employment, and the legislative ethics
11 commission shall provide such statements to the joint commission on
12 public ethics within forty-five days of receipt.

13 (f) A person who may otherwise be required to file more than one annu-
14 al financial disclosure statement with both the ~~[joint commission on~~
15 ~~public ethics]~~ department of oversight and investigation and the legis-
16 lative ethics commission in any one calendar year may satisfy such
17 requirement by filing one such statement with either body and by notify-
18 ing the other body of such compliance.

19 (g) A person who is employed in more than one employment capacity for
20 one or more employers certain of whose officers and employees are
21 subject to filing a financial disclosure statement with the same ethics
22 commission, as the case may be, and who receives distinctly separate
23 payments of compensation for such employment shall be subject to the
24 filing requirements of this section if the aggregate annual compensation
25 for all such employment capacities is in excess of the filing rate
26 notwithstanding that such person would not otherwise be required to file
27 with respect to any one particular employment capacity. A person not
28 otherwise required to file a financial disclosure statement hereunder
29 who is employed by an employer certain of whose officers or employees
30 are subject to filing a financial disclosure statement with the ~~[joint~~
31 ~~commission on public ethics]~~ department of oversight and investigation
32 and who is also employed by an employer certain of whose officers or
33 employees are subject to filing a financial disclosure statement with
34 the legislative ethics commission shall not be subject to filing such
35 statement with either such commission on the basis that his aggregate
36 annual compensation from all such employers is in excess of the filing
37 rate.

38 (h) A statewide elected official or member of the legislature, who is
39 simultaneously a candidate for statewide elected office or member of the
40 legislature, shall satisfy the filing deadline requirements of this
41 subdivision by complying only with the deadline applicable to one who
42 holds a statewide elected office or who holds the office of member of
43 the legislature.

44 (i) A candidate whose name will appear on both a party designating
45 petition and on an independent nominating petition for the same office
46 or who will be listed on the election ballot for the same office more
47 than once shall satisfy the filing deadline requirements of this subdivi-
48 sion by complying with the earliest applicable deadline only.

49 (j) A member of the legislature who is elected to such office at a
50 special election prior to May fifteenth in any year shall satisfy the
51 filing requirements of this subdivision in such year by complying with
52 the earliest applicable deadline only.

53 (k) The ~~[joint commission on public ethics]~~ department of oversight
54 and investigation shall post for at least five years beginning for
55 filings made on January first, two thousand thirteen the annual state-
56 ment of financial disclosure and any amendments filed by each person

subject to the reporting requirements of this subdivision who is an elected official on its website for public review within thirty days of its receipt of such statement or within ten days of its receipt of such amendment that reflects any corrections of deficiencies identified by ~~[the commission]~~ such department or by the reporting individual after the reporting individual's initial filing. Except upon an individual determination by the ~~[commission]~~ department of oversight and investigation that certain information may be deleted from a reporting individual's annual statement of financial disclosure, none of the information in the statement posted on ~~[the commission's]~~ such department's website shall be otherwise deleted.

§ 14. Subparagraphs (b), (b-2) and (c) of paragraph 8 of subdivision 3 and subdivision 4 of section 73-a of the public officers law, subparagraphs (b), (b-2) and (c) of paragraph 8 of subdivision 3 as amended by section 6 of part K of chapter 286 of the laws of 2016, and subdivision 4 as amended by section 5 of part A of chapter 399 of the laws of 2011, are amended to read as follows:

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

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

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

(ii) A grant of \$25,000 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 purposes of this question, "referred to the firm" shall mean: having intentionally and knowingly taken a specific act or series of acts to intentionally procure for the reporting individual's firm or knowingly solicit or direct to the reporting individual's firm in whole or substantial part, a person or entity that becomes a client of that firm for the purposes of representation for a matter as defined in subparagraphs (i) through (iv) of this paragraph, as the result of such procurement, solicitation or direction of the reporting individual. A reporting individual need not disclose activities performed while lawfully acting pursuant to paragraphs (c), (d), (e) and (f) of subdivision seven of section seventy-three of this article.

The disclosure requirement in this question shall not require disclosure of clients or customers receiving medical or dental services, mental health services, residential real estate brokering services, or insurance brokering services from the reporting individual or his or her firm. The reporting individual need not identify any client to whom he or she or his or her firm provided legal representation with respect to

investigation or prosecution by law enforcement authorities, bankruptcy, or domestic relations matters. With respect to clients represented in other matters, where disclosure of a client's identity is likely to cause harm, the reporting individual shall request an exemption from the ~~[joint commission pursuant to paragraph (i-1) of subdivision nine of section ninety-four of the executive law]~~ department of oversight and investigation, provided, however, that a reporting individual who first enters public office after July first, two thousand twelve, need not report clients or customers with respect to matters for which the reporting individual or his or her firm was retained prior to entering public office.

Client	Nature of Services Provided

(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)

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);

1 * COURT APPOINTED GUARDIAN OR EVALUATOR (IDENTIFY COURT NOT CLIENT).
2 (ii) With respect to reporting individuals who disclosed in question
3 8(a) that the reporting individual did not provide services to a client
4 but provided services to a firm or business, identify the category of
5 amount received for providing such services and describe the services
6 rendered.

7 Services Actually Provided	Category of Amount (Table I)
1. General Services	
2. Special Services	
3. Other Services	
4. Total	
5. Total	
6. Total	

3 A reporting individual need not disclose activities performed while
4 lawfully acting in his or her capacity as provided in paragraphs (c),
5 (d), (e) and (f) of subdivision seven of section seventy-three of this
6 article. The disclosure requirement in questions (b-1) and (b-2) shall
7 not require disclosing clients or customers receiving medical, pharma-
8 ceutical or dental services, mental health services, or residential real
9 estate brokering services from the reporting individual or his or her
10 firm or if federal law prohibits or limits disclosure. The reporting
11 individual need not identify any client to whom he or she or his or her
12 firm provided legal representation with respect to investigation or
13 prosecution by law enforcement authorities, bankruptcy, family court,
14 estate planning, or domestic relations matters, nor shall the reporting
15 individual identify individuals represented pursuant to an insurance
16 policy but the reporting individual shall in such circumstances only
17 report the entity that provides compensation to the reporting individ-
18 ual; with respect to matters in which the client's name is required by
19 law to be kept confidential (such as matters governed by the family
20 court act) or in matters in which the reporting individual represents or
21 provides services to minors, the client's name may be replaced with
22 initials. To the extent that the reporting individual, or his or her
23 firm, provided legal representation with respect to an initial public
24 offering, and professional disciplinary rules, federal law or regu-
25 lations restrict the disclosure of information relating to such work,
26 the reporting individual shall (i) disclose the identity of the client
27 and the services provided relating to the initial public offering to the
28 office of court administration, who will maintain such information
29 confidentially in a locked box; and (ii) include in his or her response
30 to questions (b-1) and (b-2) that pursuant to this paragraph, a disclo-
31 sure to the office of court administration has been made. Upon such time
32 that the disclosure of information maintained in the locked box is no
33 longer restricted by professional disciplinary rules, federal law or
34 regulation, the reporting individual shall disclose such information in
35 an amended disclosure statement in response to the disclosure require-
36 ments in questions (b-1) and (b-2). The office of court administration
37 shall develop and maintain a secure portal through which information
38 submitted to it pursuant to this paragraph can be safely and confiden-
39 tially stored. With respect to clients represented in other matters not
40 otherwise exempt, the reporting individual may request an exemption to
41 publicly disclosing the name of that client from the ~~[joint commission~~
42 ~~pursuant to paragraph (i-1) of subdivision nine of section ninety four~~
43 ~~of the executive law]~~ department of oversight and investigation, or from
44 the office of court administration. In such application, the reporting
45 individual shall state the following: "My client is not currently
46 receiving my services or seeking my services in connection with:

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

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

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

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

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

9 In reviewing the request for an exemption, the ~~[joint-commission]~~
10 department of oversight and investigation or the office of court admin-
11 istration may consult with bar or other professional associations and
12 the legislative ethics commission for individuals subject to its juris-
13 diction and may consider the rules of professional conduct. In making
14 its determination, the ~~[joint-commission]~~ department of oversight and
15 investigation or the office of court administration shall conduct its
16 own inquiry and shall consider factors including, but not limited to:
17 (i) the nature and the size of the client; (ii) whether the client has
18 any business before the state; and if so, how significant the business
19 is; and whether the client has any particularized interest in pending
20 legislation and if so how significant the interest is; (iii) whether
21 disclosure may reveal trade secrets; (iv) whether disclosure could
22 reasonably result in retaliation against the client; (v) whether disclo-
23 sure may cause undue harm to the client; (vi) whether disclosure may
24 result in undue harm to the attorney-client relationship; and (vii)
25 whether disclosure may result in an unnecessary invasion of privacy to
26 the client.

27 The ~~[joint-commission]~~ department of oversight and investigation or,
28 as the case may be, the office of court administration shall promptly
29 make a final determination in response to such request, which shall
30 include an explanation for its determination. The office of court
31 administration shall issue its final determination within three days of
32 receiving the request. Notwithstanding any other provision of law or any
33 professional disciplinary rule to the contrary, the disclosure of the
34 identity of any client or customer in response to this question shall
35 not constitute professional misconduct or a ground for disciplinary
36 action of any kind, or form the basis for any civil or criminal cause of
37 action or proceeding. A reporting individual who first enters public
38 office after January first, two thousand sixteen, need not report
39 clients or customers with respect to matters for which the reporting
40 individual or his or her firm was retained prior to entering public
41 office.

42 (c) APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE
43 PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR
44 NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE
45 SERVICES THAT ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOU-
46 SAND FIFTEEN:

47 If the reporting individual receives income of ten thousand dollars or
48 greater from any employment or activity reportable under question 8(a),
49 identify each registered lobbyist who has directly referred to such
50 individual a client who was successfully referred to the reporting indi-
51 vidual's business and from whom the reporting individual or firm
52 received a fee for services in excess of five thousand dollars. Report
53 only those referrals that were made to a reporting individual by direct
54 communication from a person known to such reporting individual to be a
55 registered lobbyist at the time the referral is made. With respect to
56 each such referral, the reporting individual shall identify the client,

1 the registered lobbyist who has made the referral, the category of value
2 of the compensation received and a general description of the type of
3 matter so referred. A reporting individual need not disclose activities
4 performed while lawfully acting pursuant to paragraphs (c), (d), (e) and
5 (f) of subdivision seven of section seventy-three of this article. The
6 disclosure requirements in this question shall not require disclosing
7 clients or customers receiving medical, pharmaceutical or dental
8 services, mental health services, or residential real estate brokering
9 services from the reporting individual or his or her firm or if federal
10 law prohibits or limits disclosure. The reporting individual need not
11 identify any client to whom he or she or his or her firm provided legal
12 representation with respect to investigation or prosecution by law
13 enforcement authorities, bankruptcy, family court, estate planning, or
14 domestic relations matters, nor shall the reporting individual identify
15 individuals represented pursuant to an insurance policy but the report-
16 ing individual shall in such circumstances only report the entity that
17 provides compensation to the reporting individual; with respect to
18 matters in which the client's name is required by law to be kept confi-
19 dential (such as matters governed by the family court act) or in matters
20 in which the reporting individual represents or provides services to
21 minors, the client's name may be replaced with initials. To the extent
22 that the reporting individual, or his or her firm, provided legal repre-
23 sentation with respect to an initial public offering, and federal law or
24 regulations restricts the disclosure of information relating to such
25 work, the reporting individual shall (i) disclose the identity of the
26 client and the services provided relating to the initial public offering
27 to the office of court administration, who will maintain such informa-
28 tion confidentially in a locked box; and (ii) include in his or her
29 response a statement that pursuant to this paragraph, a disclosure to
30 the office of court administration has been made. Upon such time that
31 the disclosure of information maintained in the locked box is no longer
32 restricted by federal law or regulation, the reporting individual shall
33 disclose such information in an amended disclosure statement in response
34 to the disclosure requirements of this paragraph. The office of court
35 administration shall develop and maintain a secure portal through which
36 information submitted to it pursuant to this paragraph can be safely and
37 confidentially stored. With respect to clients represented in other
38 matters not otherwise exempt, the reporting individual may request an
39 exemption to publicly disclosing the name of that client from the [~~joint~~
40 ~~commission pursuant to paragraph (i-1) of subdivision nine of section~~
41 ~~ninety-four of the executive law~~] department of oversight and investi-
42 gation, or from the office of court administration. In such application,
43 the reporting individual shall state the following: "My client is not
44 currently receiving my services or seeking my services in connection
45 with:

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

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

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

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

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

In reviewing the request for an exemption, the ~~[joint commission]~~ department of oversight and investigation 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 ~~[joint commission]~~ department of oversight and investigation 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 ~~[joint commission]~~ department of oversight and investigation 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 customers with respect to matters for which the reporting individual or his or her firm was retained prior to entering public office.

Client	Name of Lobbyist	Description of Matter	Category of Amount (in Table 1)
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4. A reporting individual who knowingly and wilfully fails to file an annual statement of financial disclosure or who knowingly and wilfully with intent to deceive makes a false statement or gives information which such individual knows to be false on such statement of financial disclosure filed pursuant to this section shall be subject to a civil penalty in an amount not to exceed forty thousand dollars. Assessment of a civil penalty hereunder shall be made by the ~~[joint commission on public ethics or by the legislative ethics commission, as the case may be]~~ department of oversight and investigation or the legislative ethics commission, with respect to persons subject to their respective jurisdictions. The ~~[joint commission on public ethics acting pursuant to subdivision fourteen of section ninety-four of the executive law]~~ department of oversight and investigation or the legislative ethics commission acting pursuant to subdivision eleven of section eighty of the legislative law, as the case may be, may, in lieu of or in addition

1 to a civil penalty, refer a violation to the appropriate prosecutor and
2 upon such conviction, but only after such referral, such violation shall
3 be punishable as a class A misdemeanor. A civil penalty for false filing
4 may not be imposed hereunder in the event a category of "value" or
5 "amount" reported hereunder is incorrect unless such reported informa-
6 tion is falsely understated. Notwithstanding any other provision of law
7 to the contrary, no other penalty, civil or criminal may be imposed for
8 a failure to file, or for a false filing, of such statement, except that
9 the appointing authority may impose disciplinary action as otherwise
10 provided by law. The [~~joint commission on public ethics~~] department of
11 oversight and investigation and the legislative ethics commission shall
12 each be deemed to be an agency within the meaning of article three of
13 the state administrative procedure act and shall adopt rules governing
14 the conduct of adjudicatory proceedings and appeals relating to the
15 assessment of the civil penalties herein authorized. Such rules, which
16 shall not be subject to the approval requirements of the state adminis-
17 trative procedure act, shall provide for due process procedural mech-
18 anisms substantially similar to those set forth in such article three
19 but such mechanisms need not be identical in terms or scope. Assessment
20 of a civil penalty shall be final unless modified, suspended or vacated
21 within thirty days of imposition and upon becoming final shall be
22 subject to review at the instance of the affected reporting individual
23 in a proceeding commenced against the [~~joint commission on public~~
24 ~~ethics~~] department of oversight and investigation or the legislative
25 ethics commission, pursuant to article seventy-eight of the civil prac-
26 tice law and rules.

27 § 15. The opening paragraph of section 1-d of the legislative law, as
28 amended by chapter 14 of the laws of 2007, is amended to read as
29 follows:

30 In addition to any other powers and duties [~~provided by section nine-~~
31 ~~ty four of the executive law,~~] the [~~commission~~] department of oversight
32 and investigation shall, with respect to its lobbying-related functions
33 only, have the power and duty to:

34 § 16. Subdivision 3 of section 2986 of the public authorities law, as
35 added by chapter 506 of the laws of 2009, is amended to read as follows:

36 3. Any communications between an employee and the authorities budget
37 office pursuant to this section shall be held strictly confidential by
38 the authorities budget office, unless the employee specifically waives
39 in writing the right to confidentiality, except that such confidentiali-
40 ty shall not exempt the authorities budget office from disclosing such
41 information, where appropriate, to the [~~state inspector general in~~
42 ~~accordance with section fifty five of the executive law,~~] department of
43 oversight and investigation or prevent disclosure to any law enforcement
44 authority.

45 § 17. Paragraph (a) of subdivision 1 of section 73 of the public offi-
46 cers law, as amended by section 1 of part A of chapter 399 of the laws
47 of 2011, is amended to read as follows:

48 (a) The term "compensation" shall mean any money, thing of value or
49 financial benefit conferred in return for services rendered or to be
50 rendered. With regard to matters undertaken by a firm, corporation or
51 association, compensation shall mean net revenues, as defined in accord-
52 ance with generally accepted accounting principles as defined by the
53 [~~joint commission on public ethics or~~] legislative ethics commission or
54 the department of oversight and investigation in relation to persons
55 subject to their respective jurisdictions.

§ 18. The opening paragraph of paragraph (a) of subdivision 6 of section 73 of the public officers law, as amended by section 3 of part K of chapter 286 of the laws of 2016, is amended to read as follows:

Every legislative employee not subject to the provisions of section seventy-three-a of this chapter shall, on and after December fifteenth and before the following January fifteenth, in each year, file with the ~~[joint commission on public ethics and the]~~ legislative ethics commission a financial disclosure statement of

§ 19. Paragraph (h) of subdivision 8 of section 73 of the public officers law, as amended by section 10 of part A of chapter 399 of the laws of 2011, is amended to read as follows:

(h) Notwithstanding the provisions of subparagraphs (i) and (ii) of paragraph (a) of this subdivision, a former state officer or employee may contract individually, or as a member or employee of a firm, corporation or association, to render services to any state agency when the agency head certifies in writing to the ~~[joint commission on public ethics]~~ department of oversight and investigation that the services of such former officer or employee are required in connection with the agency's response to a disaster emergency declared by the governor pursuant to section twenty-eight of the executive law.

§ 20. Subdivision 8-a of section 73 of the public officers law, as amended by chapter 357 of the laws of 2001 and the opening paragraph as amended by section 11 of part A of chapter 399 of the laws of 2011, is amended to read as follows:

8-a. The provisions of subparagraphs (i) and (ii) of paragraph (a) of subdivision eight of this section shall not apply to any such former state officer or employee engaged in any of the specific permitted activities defined in this subdivision that are related to any civil action or proceeding in any state or federal court, provided that the attorney general has certified in writing to the ~~[joint commission on public ethics]~~ department of oversight and investigation, with a copy to such former state officer or employee, that the services are rendered on behalf of the state, a state agency, state officer or employee, or other person or entity represented by the attorney general, and that such former state officer or employee has expertise, knowledge or experience which is unique or outstanding in a field or in a particular matter or which would otherwise be generally unavailable at a comparable cost to the state, a state agency, state officer or employee, or other person or entity represented by the attorney general in such civil action or proceeding. In those instances where a state agency is not represented by the attorney general in a civil action or proceeding in state or federal court, a former state officer or employee may engage in permitted activities provided that the general counsel of the state agency, after consultation with the ~~[joint commission on public ethics]~~ department of oversight and investigation, provides to ~~[the joint commission on public ethics]~~ such department a written certification which meets the requirements of this subdivision. For purposes of this subdivision the term "permitted activities" shall mean generally any activity performed at the request of the attorney general or the attorney general's designee, or in cases where the state agency is not represented by the attorney general, the general counsel of such state agency, including without limitation:

(a) preparing or giving testimony or executing one or more affidavits;

(b) gathering, reviewing or analyzing information, including documentary or oral information concerning facts or opinions, attending depositions or participating in document review or discovery;

1 (c) performing investigations, examinations, inspections or tests of
2 persons, documents or things;

3 (d) performing audits, appraisals, compilations or computations, or
4 reporting about them;

5 (e) identifying information to be sought concerning facts or opinions;
6 or

7 (f) otherwise assisting in the preparation for, or conduct of, such
8 litigation.

9 Nothing in this subdivision shall apply to the provision of legal
10 representation by any former state officer or employee.

11 § 21. Subdivision 8-b of section 73 of the public officers law, as
12 amended by section 12 of part A of chapter 399 of the laws of 2011, is
13 amended to read as follows:

14 8-b. Notwithstanding the provisions of subparagraphs (i) and (ii) of
15 paragraph (a) of subdivision eight of this section, a former state offi-
16 cer or employee may contract individually, or as a member or employee of
17 a firm, corporation or association, to render services to any state
18 agency if, prior to engaging in such service, the agency head certifies
19 in writing to the [~~joint commission on public ethics~~] department of
20 oversight and investigation that such former officer or employee has
21 expertise, knowledge or experience with respect to a particular matter
22 which meets the needs of the agency and is otherwise unavailable at a
23 comparable cost. Where approval of the contract is required under
24 section one hundred twelve of the state finance law, the comptroller
25 shall review and consider the reasons for such certification. The [~~joint~~
26 ~~commission on public ethics~~] department of oversight and investigation
27 must review and approve all certifications made pursuant to this subdivi-
28 sion.

29 § 22. Subdivision 10 of section 73 of the public officers law, as
30 amended by section 5 of part K of chapter 286 of the laws of 2016, is
31 amended to read as follows:

32 10. Nothing contained in this section, the judiciary law, the educa-
33 tion law or any other law or disciplinary rule shall be construed or
34 applied to prohibit any firm, association or corporation, in which any
35 present or former statewide elected official, state officer or employee,
36 or political party chairman, member of the legislature or legislative
37 employee is a member, associate, retired member, of counsel or share-
38 holder, from appearing, practicing, communicating or otherwise rendering
39 services in relation to any matter before, or transacting business with
40 a state agency, or a city agency with respect to a political party
41 chairman in a county wholly included in a city with a population of more
42 than one million, otherwise proscribed by this section, the judiciary
43 law, the education law or any other law or disciplinary rule with
44 respect to such official, member of the legislature or officer or
45 employee, or political party chairman, where such statewide elected
46 official, state officer or employee, member of the legislature or legis-
47 lative employee, or political party chairman does not share in the net
48 revenues, as defined in accordance with generally accepted accounting
49 principles by the [~~joint commission on public ethics or by the~~] legisla-
50 tive ethics commission or the department of oversight and investigation
51 in relation to persons subject to their respective jurisdictions,
52 resulting therefrom, or, acting in good faith, reasonably believed that
53 he or she would not share in the net revenues as so defined; nor shall
54 anything contained in this section, the judiciary law, the education law
55 or any other law or disciplinary rule be construed to prohibit any firm,
56 association or corporation in which any present or former statewide

1 elected official, member of the legislature, legislative employee, full-
2 time salaried state officer or employee or state officer or employee who
3 is subject to the provisions of section seventy-three-a of this article
4 is a member, associate, retired member, of counsel or shareholder, from
5 appearing, practicing, communicating or otherwise rendering services in
6 relation to any matter before, or transacting business with, the court
7 of claims, where such statewide elected official, member of the legisla-
8 ture, legislative employee, full-time salaried state officer or employee
9 or state officer or employee who is subject to the provisions of section
10 seventy-three-a of this article does not share in the net revenues, as
11 defined in accordance with generally accepted accounting principles by
12 the [~~joint commission on public ethics or by the~~] legislative ethics
13 commission or the department of oversight and investigation in relation
14 to persons subject to their respective jurisdictions, resulting there-
15 from, or, acting in good faith, reasonably believed that he or she would
16 not share in the net revenues as so defined.

17 § 23. This act shall take effect on the first of January next succeed-
18 ing the date on which it shall have become a law; provided that the
19 amendment to subdivision 3 of section 212 of the racing, pari-mutuel
20 wagering and breeding law made by section three of this act shall not
21 affect the repeal of such section and shall be deemed repealed there-
22 with.

23 § 3. Severability clause. If any clause, sentence, paragraph, subdivi-
24 sion, section or part of this act shall be adjudged by any court of
25 competent jurisdiction to be invalid, such judgment shall not affect,
26 impair, or invalidate the remainder thereof, but shall be confined in
27 its operation to the clause, sentence, paragraph, subdivision, section
28 or part thereof directly involved in the controversy in which such judg-
29 ment shall have been rendered. It is hereby declared to be the intent of
30 the legislature that this act would have been enacted even if such
31 invalid provisions had not been included herein.

32 § 4. This act shall take effect immediately; provided, however, that
33 the applicable effective dates of Parts A through D of this act shall be
34 as specifically set forth in the last section of such Parts.