

STATE OF NEW YORK

1609

2023-2024 Regular Sessions

IN ASSEMBLY

January 17, 2023

Introduced by M. of A. McDONALD, WALSH, MORINELLO, LUPARDO -- Multi-Sponsored by -- M. of A. TAGUE, THIELE -- read once and referred to the Committee on Governmental Operations

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

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

Section 1. The opening paragraph of paragraph (k) of subdivision 2 of section 73-a of the public officers law is designated subparagraph (i) and two new subparagraphs (ii) and (iii) are added to read as follows:

(ii) Notwithstanding any other provision of law to the contrary, all members of the legislature who maintain any state website for service in their official capacity shall establish a clearly visible link entitled "MY FINANCIAL DISCLOSURE STATEMENTS" on the front page of their website which shall direct website visitors to current and past financial disclosure forms that the legislator has submitted to the commission on ethics and lobbying in government.

(iii) Notwithstanding any other provision of law to the contrary, every candidate for member of the legislature who maintains any website for service in their official campaign capacity shall establish a clearly visible link entitled "MY FINANCIAL DISCLOSURE STATEMENTS" on the front page of their campaign website which shall direct visitors to current and past financial disclosure forms that the candidate has submitted to the commission on ethics and lobbying in government, in accordance with paragraph (a) of this subdivision.

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

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

LBD04043-01-3

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

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

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

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

1. Name _____
2. (a) Title of Position _____
- (b) Department, Agency or other Governmental Entity _____
- (c) Address of Present Office _____
- (d) Office Telephone Number _____
3. (a) Marital Status _____. If married, please give spouse's full name. _____.
- (b) Full name of domestic partner (if applicable). _____.
- (c) List the names of all unemancipated children. _____.

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

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

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

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

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

Position	Organization	State or Local Agency

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

Position	Organization	State or Local Agency

5. (a) List the name, address and description of any occupation, employment (other than the employment listed under Item 2 above), trade, business or profession engaged in by the reporting individual. If such activity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial

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

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

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

Entity	Relationship	Contracting	Category
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	Self, Spouse, Domestic Partner or Child	Which Held Interest in Contract	to Entity and Interest in Contract	State or Local Agency	of Value of Contract
	(In Table II)				

7. List any position the reporting individual held as an officer of any political party or political organization, as a member of any political party committee, or as a political party district leader. The term "party" shall have the same meaning as "party" in the election law. The term "political organization" means any party or independent body as defined in the election law or any organization that is affiliated with or a subsidiary of a party or independent body.

8. (a) If the reporting individual practices law, is licensed by the department of state as a real estate broker or agent or practices a profession licensed by the department of education, or works as a member or employee of a firm required to register pursuant to section one-e of the legislative law as a lobbyist, describe the services rendered for which compensation was paid including a general description of the principal subject areas of matters undertaken by such individual and principal duties performed. Specifically state whether the reporting individual provides services directly to clients. Additionally, if such an individual practices with a firm or corporation and is a partner or shareholder of the firm or corporation, give a general description of principal subject areas of matters undertaken by such firm or corporation.

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

If the reporting individual personally provides services to any person or entity, or works as a member or employee of a partnership or corporation that provides such services (referred to hereinafter as a

"firm"), then identify each client or customer to whom the reporting individual personally provided services, or who was referred to the firm by the reporting individual, and from whom the reporting individual or 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 commission on ethics and lobbying in government pursuant to section ninety-four of the executive law, 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-1) 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):

If the reporting individual receives income from employment reportable in question 8(a) and personally provides services to any person or entity, or works as a member or employee of a partnership or corporation

that provides such services (referred to hereinafter as a "firm"), the reporting individual shall identify each client or customer to whom the reporting individual personally provided services, or who was referred to the firm by the reporting individual, and from whom the reporting individual or his or her firm earned fees in excess of \$10,000 during the reporting period in direct connection with:

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

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

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

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

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

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

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

(i) With respect to reporting individuals who receive ten thousand dollars or more from employment or activity reportable under question 8(a), for each client or customer NOT otherwise disclosed or exempted in question 8 or 13, disclose the name of each client or customer known to the reporting individual to whom the reporting individual provided services: (A) who paid the reporting individual in excess of five thousand dollars for such services; or (B) who had been billed with the

1 knowledge of the reporting individual in excess of five thousand dollars
 2 by the firm or other entity named in question 8(a) for the reporting
 3 individual's services.

4 Client Services Category of Amount
 5 Actually Provided (in Table I)

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

- 8 * REVIEWED DOCUMENTS AND CORRESPONDENCE;
- 9 * REPRESENTED CLIENT (IDENTIFY CLIENT BY NAME) IN LEGAL PROCEEDING;
- 10 * PROVIDED LEGAL ADVICE ON CLIENT MATTER (IDENTIFY CLIENT BY NAME);
- 11 * CONSULTED WITH CLIENT OR CONSULTED WITH LAW PARTNERS/ASSOCIATES/MEMBERS
- 12 OF FIRM ON CLIENT MATTER (IDENTIFY CLIENT BY NAME);
- 13 * PREPARED CERTIFIED FINANCIAL STATEMENT FOR CLIENT (IDENTIFY CLIENT BY
- 14 NAME);
- 15 * REFERRED INDIVIDUAL OR ENTITY (IDENTIFY CLIENT BY NAME) FOR
- 16 REPRESENTATION OR CONSULTATION;
- 17 * COMMERCIAL BROKERING SERVICES (IDENTIFY CUSTOMER BY NAME);
- 18 * PREPARED CERTIFIED ARCHITECTURAL OR ENGINEERING
- 19 RENDERINGS FOR CLIENT (IDENTIFY CUSTOMER BY NAME);
- 20 * COURT APPOINTED GUARDIAN OR EVALUATOR (IDENTIFY COURT NOT CLIENT).
- 21 (ii) With respect to reporting individuals who disclosed in question
- 22 8(a) that the reporting individual did not provide services to a client
- 23 but provided services to a firm or business, identify the category of
- 24 amount received for providing such services and describe the services
- 25 rendered.
- 26 Services Actually Provided Category of Amount (Table I)

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

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

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

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

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

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

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

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

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

52 The commission on ethics and lobbying in government or, as the case
53 may be, the office of court administration shall promptly make a final
54 determination in response to such request, which shall include an expla-
55 nation for its determination. The office of court administration shall
56 issue its final determination within three days of receiving the

1 request. Notwithstanding any other provision of law or any professional
2 disciplinary rule to the contrary, the disclosure of the identity of any
3 client or customer in response to this question shall not constitute
4 professional misconduct or a ground for disciplinary action of any kind,
5 or form the basis for any civil or criminal cause of action or proceeding.
6 A reporting individual who first enters public office after January
7 first, two thousand sixteen, need not report clients or customers with
8 respect to matters for which the reporting individual or his or her firm
9 was retained prior to entering public office.

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

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

1 disclose such information in an amended disclosure statement in response
 2 to the disclosure requirements of this paragraph. The office of court
 3 administration shall develop and maintain a secure portal through which
 4 information submitted to it pursuant to this paragraph can be safely and
 5 confidentially stored. With respect to clients represented in other
 6 matters not otherwise exempt, the reporting individual may request an
 7 exemption to publicly disclosing the name of that client from the
 8 commission on ethics and lobbying in government pursuant to section
 9 ninety-four of the executive law, or from the office of court adminis-
 10 tration. In such application, the reporting individual shall state the
 11 following: "My client is not currently receiving my services or seeking
 12 my services in connection with:

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

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

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

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

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

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

40 The commission on ethics and lobbying in government or, as the case
 41 may be, the office of court administration shall promptly make a final
 42 determination in response to such request, which shall include an expla-
 43 nation for its determination. The office of court administration shall
 44 issue its final determination within three days of receiving the
 45 request. Notwithstanding any other provision of law or any professional
 46 disciplinary rule to the contrary, the disclosure of the identity of any
 47 client or customer in response to this question shall not constitute
 48 professional misconduct or a ground for disciplinary action of any kind,
 49 or form the basis for any civil or criminal cause of action or proceed-
 50 ing. A reporting individual who first enters public office after Decem-
 51 ber thirty-first, two thousand fifteen, need not report clients or
 52 customers with respect to matters for which the reporting individual or
 53 his or her firm was retained prior to entering public office.

54 Client	Name of Lobbyist	Description	Category of Amount
55		of Matter	(in Table [1] I)

1 _____
2 _____
3 _____
4 _____
5 _____

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

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

18					Category
19	Self,				of
20	Spouse,	Name of		Nature	Value of
21	Domestic	Donor	Address	of Gift	Gift
22	Partner				(In Table I)
23	or Child				

24 _____
25 _____
26 _____
27 _____
28 _____

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

38	Source	Description
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39 _____
40 _____
41 _____
42 _____
43 _____

44 11. List the identity and value, if reasonably ascertainable, of each
45 interest in a trust, estate or other beneficial interest, including
46 retirement plans (other than retirement plans of the state of New
47 York or the city of New York), and deferred compensation plans
48 (e.g., 401, 403(b), 457, etc.) established in accordance with the

1 internal revenue code, in which the REPORTING INDIVIDUAL held a
2 beneficial interest in EXCESS of \$1,000 at any time during the
3 preceding year. Do NOT report interests in a trust, estate or other
4 beneficial interest established by or for, or the estate of, a rela-
5 tive.

6		Category
7	Identity	of Value*
8		(In Table II)

9	_____
10	_____
11	_____
12	_____
13	_____

14 * The value of such interest shall be reported only if reasonably
15 ascertainable.

16 12. (a) Describe the terms of, and the parties to, any contract, prom-
17 ise, or other agreement between the reporting individual and any
18 person, firm, or corporation with respect to the employment of such
19 individual after leaving office or position (other than a leave of
20 absence).

21	_____
22	_____
23	_____
24	_____
25	_____

26 (b) Describe the parties to and the terms of any agreement providing
27 for continuation of payments or benefits to the REPORTING INDIVIDUAL
28 in EXCESS of \$1,000 from a prior employer OTHER THAN the State.
29 (This includes interests in or contributions to a pension fund,
30 profit-sharing plan, or life or health insurance; buy-out agree-
31 ments; severance payments; etc.)

32	_____
33	_____
34	_____
35	_____
36	_____

37 13. List below the nature and amount of any income in EXCESS of \$1,000
38 from EACH SOURCE for the reporting individual and such individual's
39 spouse or domestic partner for the taxable year last occurring prior
40 to the date of filing. Each such source must be described with
41 particularity. Nature of income includes, but is not limited to, all
42 income (other than that received from the employment listed under
43 Item 2 above) from compensated employment whether public or private,
44 directorships and other fiduciary positions, contractual arrange-
45 ments, teaching income, partnerships, honorariums, lecture fees,
46 consultant fees, bank and bond interest, dividends, income derived
47 from a trust, real estate rents, and recognized gains from the sale
48 or exchange of real or other property. Income from a business or
49 profession and real estate rents shall be reported with the source

identified by the building address in the case of real estate rents and otherwise by the name of the entity and not by the name of the individual customers, clients or tenants, with the aggregate net income before taxes for each building address or entity. The receipt of maintenance received in connection with a matrimonial action, alimony and child support payments shall not be listed.

Self/ Spouse or Domestic Partner	Source	Nature	Category of Amount (In Table I)
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14. List the sources of any deferred income (not retirement income) in EXCESS of \$1,000 from each source to be paid to the reporting individual following the close of the calendar year for which this disclosure statement is filed, other than deferred compensation reported in item 11 hereinabove. Deferred income derived from the practice of a profession shall be listed in the aggregate and shall identify as the source, the name of the firm, corporation, partnership or association through which the income was derived, but shall not identify individual clients.

Source	Category of Amount (In Table I)
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15. List each assignment of income in EXCESS of \$1,000, and each transfer other than to a relative during the reporting period for which this statement is filed for less than fair consideration of an interest in a trust, estate or other beneficial interest, securities or real property, by the reporting individual, in excess of \$1,000, which would otherwise be required to be reported herein and is not or has not been so reported.

Item Assigned or Transferred	Assigned or Transferred to	Category of Value (In Table I)
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16. List below the type and market value of securities held by the reporting individual or such individual's spouse or domestic partner from each issuing entity in EXCESS of \$1,000 at the close of the taxable year last occurring prior to the date of filing, including the name of the issuing entity exclusive of securities held by the reporting individual issued by a professional corporation. Whenever an interest in securities exists through a beneficial interest in a trust, the securities held in such trust shall be listed ONLY IF the reporting individual has knowledge thereof except where the reporting individual or the reporting individual's spouse or domestic partner has transferred assets to such trust for his or her benefit in which event such securities shall be listed unless they are not ascertainable by the reporting individual because the trustee is under an obligation or has been instructed in writing not to disclose the contents of the trust to the reporting individual. Securities of which the reporting individual or the reporting individual's spouse or domestic partner is the owner of record but in which such individual or the reporting individual's spouse or domestic partner has no beneficial interest shall not be listed. Indicate percentage of ownership ONLY if the reporting person or the reporting person's spouse or domestic partner holds more than five percent (5%) of the stock of a corporation in which the stock is publicly traded or more than ten percent (10%) of the stock of a corporation in which the stock is NOT publicly traded. Also list securities owned for investment purposes by a corporation more than fifty percent (50%) of the stock of which is owned or controlled by the reporting individual or such individual's spouse or domestic partner. For the purpose of this item the term "securities" shall mean mutual funds, bonds, mortgages, notes, obligations, warrants and stocks of any class, investment interests in limited or general partnerships and certificates of deposits (CDs) and such other evidences of indebtedness and certificates of interest as are usually referred to as securities. The market value for such securities shall be reported only if reasonably ascertainable and shall not be reported if the security is an interest in a general partnership that was listed in item 8 (a) or if the security is corporate stock, NOT publicly traded, in a trade or business of a reporting individual or a reporting individual's spouse or domestic partner.

			Percentage of corporate stock owned or controlled (if more than 5% of pub- licly traded stock, or more than 10% if stock not publicly traded, is held)	Category of Market Value as of the close of the taxable year last occurring prior to the filing of this statement (In Table II)
Self/ Spouse or Domestic Partner	Issuing Entity	Type of Security		

1	
2	
3	
4	
5	

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

Self/ Spouse/ Domestic Partner Corporation	Location	General Nature Size	Acquisition Date	Percentage of Ownership	Category of Market Value (In Table II)
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18. List below all notes and accounts receivable, other than from goods or services sold, held by the reporting individual at the close of the taxable year last occurring prior to the date of filing and other debts owed to such individual at the close of the taxable year last occurring prior to the date of filing, in EXCESS of \$1,000, including the name of the debtor, type of obligation, date due and the nature of the collateral securing payment of each, if any, excluding securities reported in item 16 hereinabove. Debts, notes and accounts receivable owed to the individual by a relative shall not be reported.

Name of Debtor	Type of Obligation, Date Due, and Nature of Collateral, if any	Category of Amount (In Table II)
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19. List below all liabilities of the reporting individual and such individual's spouse or domestic partner, in EXCESS of \$10,000 as of the date of filing of this statement, other than liabilities to a

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

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

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

Category A	none	
Category B	\$ 1 to under \$	1,000
Category C	\$ 1,000 to under \$	5,000
Category D	\$ 5,000 to under \$	20,000
Category E	\$ 20,000 to under \$	50,000
Category F	\$ 50,000 to under \$	75,000
Category G	\$ 75,000 to under \$	100,000
Category H	\$ 100,000 to under \$	150,000
Category I	\$ 150,000 to under \$	250,000
Category J	\$ 250,000 to under \$	350,000
Category K	\$ 350,000 to under \$	450,000
Category L	\$ 450,000 to under \$	550,000
Category M	\$ 550,000 to under \$	650,000
Category N	\$ 650,000 to under \$	750,000
Category O	\$ 750,000 to under \$	850,000
Category P	\$ 850,000 to under \$	950,000
Category Q	\$ 950,000 to under \$	1,050,000

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

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

36	TABLE II			
37	Category A	none		
38	Category B	\$	1 to under	\$ 1,000
39	Category C	\$	1,000 to under	\$ 5,000
40	Category D	\$	5,000 to under	\$ 20,000
41	Category E	\$	20,000 to under	\$ 50,000
42	Category F	\$	50,000 to under	\$ 75,000
43	Category G	\$	75,000 to under	\$ 100,000
44	Category H	\$	100,000 to under	\$ 150,000
45	Category I	\$	150,000 to under	\$ 250,000
46	Category J	\$	250,000 to under	\$ 500,000
47	Category K	\$	500,000 to under	\$ 750,000
48	Category L	\$	750,000 to under	\$1,000,000
49	Category M	\$1,000,000	to under	\$1,250,000
50	Category N	\$1,250,000	to under	\$1,500,000
51	Category O	\$1,500,000	to under	\$1,750,000
52	Category P	\$1,750,000	to under	\$2,000,000
53	Category Q	\$2,000,000	to under	\$2,250,000
54	Category R	\$2,250,000	to under	\$2,500,000
55	Category S	\$2,500,000	to under	\$2,750,000

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

29 (b) The commission on ethics and lobbying in government shall make
30 available an editable, electronic, readable and searchable version of
31 the annual statement of financial disclosure by January first, two thou-
32 sand twenty-four to all those required by law to submit such forms.

33 § 4. This act shall take effect immediately; provided, however, that
34 section two of this act shall take effect on January first, two thousand
35 twenty-four. Effective immediately the addition, amendment and/or
36 repeal of any rule or regulation necessary for the implementation of
37 this act on its effective date are authorized to be made and completed
38 on or before such date.