

STATE OF NEW YORK

4700

2025-2026 Regular Sessions

IN ASSEMBLY

February 4, 2025

Introduced by M. of A. SEMPOLINSKI -- read once and referred to the
Committee on Governmental 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 commission on ethics and lobbying in government; and to repeal article 4-A of the executive law relating to the office of the state inspector general (Part B); in relation to providing for the transfer of the functions, powers and duties of the commission on ethics and lobbying in government, the office of the state inspector general and the former temporary state commission of investigation to the department of oversight and investigation (Part C); and to amend the civil service law and the legislative law, in relation to the commission on ethics and lobbying in government; 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 commission on ethics and lobbying in government 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 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".

3 § 2. This act enacts into law major components of legislation which
4 are necessary to establish meaningful ethics reform and oversight within

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

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1 the state of New York. Each component is wholly contained within a Part
2 identified as Parts A through D. The effective date for each particular
3 provision contained within such Part is set forth in the last section of
4 such Part. Any provision in any section contained within a Part, includ-
5 ing the effective date of the Part, which makes reference to a section
6 "of this act", when used in connection with that particular component,
7 shall be deemed to mean and refer to the corresponding section of the
8 Part in which it is found. Section four of this act sets forth the
9 general effective date of this act.

10 PART A

11 Section 1. The public officers law is amended by adding a new article
12 7-A to read as follows:

13 ARTICLE 7-A

14 DEPARTMENT OF OVERSIGHT AND INVESTIGATION

15 Section 113. Definitions.

16 113-a. Establishment of department of oversight and investi-
17 gation.

18 113-b. Board of public integrity; establishment, organization,
19 and powers.

20 113-c. Commissioner; appointment, duties, and powers.

21 113-d. Responsibilities of covered agencies, officers, and
22 employees.

23 113-e. Financial disclosure.

24 113-f. Investigations; financial disclosure and ethical
25 violations.

26 113-g. Investigation; other.

27 113-h. Violations.

28 113-i. Adjudicatory process.

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

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

33 2. "commissioner" means the commissioner of the department of over-
34 sight and investigation.

35 3. "covered agency" shall include all executive branch agencies,
36 departments, divisions, officers, boards and commissions, public author-
37 ities, and public benefit corporations, the heads of which are appointed
38 by the governor.

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

41 § 113-a. Establishment of department of oversight and investigation.

42 1. There is established within New York state a department of oversight
43 and investigation to be headed by a commissioner appointed pursuant to
44 this article. The department shall have and exercise the powers and
45 duties set forth in this article with respect to all covered agencies,
46 statewide elected officials, members of the legislature and employees of
47 the legislature, and state officers and employees, as defined in
48 sections seventy-three and seventy-three-a of this chapter, candidates
49 for statewide elected office and for the senate or assembly, and the
50 political party chair as that term is defined in section seventy-three-a
51 of this chapter, lobbyists and the clients of lobbyists as such terms
52 are defined in article one-A of the legislative law, and individuals who
53 have formerly held such positions, were lobbyists or clients of lobby-

1 ists, as such terms are defined in article one-A of the legislative law,
2 or who have formerly been such candidates.

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

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

20 § 113-b. Board of public integrity; establishment, organization, and
21 powers. 1. a. There shall be created within the department a board, to
22 be known as the board of public integrity, consisting of twelve members
23 appointed as follows: two members appointed by the speaker of the assem-
24 bly; two members appointed by the temporary president of the senate; two
25 members appointed by the minority leader of the assembly; two members
26 appointed by the minority leader of the senate; and four members
27 appointed by the governor, provided, however, that the appointments by
28 the governor shall be made upon the recommendation of the legislative
29 leaders. The speaker of the assembly, the temporary president of the
30 senate, the minority leader of the assembly, and the minority leader of
31 the senate shall each submit a list of no less than three names to the
32 governor for consideration. The governor shall select one name from each
33 of the legislative leader's lists for appointment to the board.

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

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

45 d. There shall be no ex-officio members of the board, and no member
46 shall delegate their duties to another individual.

47 e. No person shall be eligible to serve as a member of the board if at
48 the time of appointment, or at any time during a term, they serve in any
49 other elected position or is an employee of the state of New York, a
50 municipal corporation, a public authority, or public benefit corpo-
51 ration. Additionally, no member of the board, or their spouse, shall,
52 during the period of their service on the board, make or solicit from
53 another person any contributions to candidates for election to the
54 offices of governor, lieutenant governor, member of the assembly or the
55 senate, attorney general, or state comptroller, nor may they make or
56 solicit any contributions to a political party or committee.

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

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

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

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

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

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

25 a. elect a commissioner for the department;

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

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

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

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

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

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

51 h. publish an annual report, no later than December thirty-first of
52 each year, to the governor and the legislature on annual activities of
53 the board and the department, and include therein all generally applica-
54 ble advisory opinions issued during the year and recommendations for
55 statutory changes necessary to further provide for integrity in govern-
56 ment. Such report shall be made available on the department's public

1 website. All information deemed confidential by statute or other rule or
2 regulation shall be redacted or withheld from the report.

3 § 113-c. Commissioner; appointment, duties, and powers. 1. a. The
4 commissioner shall be chosen by a majority vote of the board of public
5 integrity. Notwithstanding any law to the contrary, the commission need
6 not be a resident of the state of New York at the time of appointment,
7 but shall be required to reside within the state at all times they serve
8 and are exercising the functions of the office of commissioner. The
9 commissioner shall also be prohibited from holding any other elected
10 position within New York state, or any political subdivision thereof.
11 Moreover, the commissioner, and their spouse, shall, during their term
12 of service, not make or solicit from any other person any contributions
13 to candidates for election to the offices of governor, lieutenant gover-
14 nor, member of the assembly or the senate, attorney general, or state
15 comptroller, nor may they make or solicit any contributions to a poli-
16 tical party or committee.

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

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

29 2. The commissioner shall have the following duties and responsibil-
30 ities:

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

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

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

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

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

54 f. forward matters, including all relevant documentation, to appropri-
55 ate governmental agencies, federal or state, for prosecution, if an

1 investigation by the department finds there is probable cause to believe
2 that a violation of federal or state law occurred;

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

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

14 3. In addition to the duties and responsibilities provided in subdivi-
15 sion two of this section, the commissioner shall exercise the following
16 powers in the execution of their duties:

17 a. subpoena and require the attendance of witnesses;

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

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

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

25 e. question any relevant party concerning any matter related to the
26 performance of their official duties or related to an investigation;

27 f. monitor adherence to disciplinary determinations rendered by the
28 department; and

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

31 § 113-d. Responsibilities of covered agencies, officers, and employ-
32 ees. 1. Every officer and employee in a covered agency, state officer,
33 legislator, legislative employee, lobbyist, client of a lobbyist, and
34 political party chair, shall report promptly to the department material
35 information concerning corruption, fraud, criminal activity, conflicts
36 of interest, ethical violations or abuse by another relating to their
37 office or employment, or by a person having business dealings with a
38 covered agency relating to those dealings, including lobbyist as defined
39 under article one-A of the legislative law.

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

48 § 113-e. Financial disclosure. 1. a. The commissioner, or any desig-
49 nated staff, shall inspect all financial disclosure statements filed
50 with the department in order to ascertain whether any person subject to
51 the reporting requirements of this chapter has failed to file such a
52 statement, has filed a deficient statement or has filed a statement
53 which reveals a possible violation of law.

54 b. The commissioner, or any designated staff, in relation to financial
55 disclosures:

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

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

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

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

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

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

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

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

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

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

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

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

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

50 (x) conduct investigations into any complaints.

51 2. If a person required to file a financial disclosure statement with
52 the department has failed to file a disclosure statement or has filed a
53 deficient statement, the commission shall notify the reporting person in
54 writing, state the failure to file or detail the deficiency, provide the
55 person with a fifteen-day period to cure the deficiency, and advise the
56 person of the penalties for failure to comply with the reporting

1 requirements. Such notice shall be confidential. If the person fails to
2 make such filing or fails to cure the deficiency within the specified
3 time period, the commissioner, or designated staff, shall send a notice
4 of delinquency:

5 a. to the reporting person;

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

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

14 § 113-f. Investigations; financial disclosure and ethical violations.

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

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

31 a. to the complainant, if any; and

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

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

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

55 5. a. The department shall have jurisdiction to investigate, but shall
56 have no jurisdiction to impose penalties upon members of or candidates

1 for member of the legislature or legislative employees for any violation
2 of this chapter. If upon completion of its investigation the department
3 concludes that a member of the legislature or a legislative employee or
4 candidate for member of the legislature has violated any provisions of
5 law over which the department has oversight, it shall present a written
6 report to the legislative ethics commission, and deliver a copy of the
7 report to the individual who is the subject of the report. Such written
8 report shall include:

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

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

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

24 § 113-g. Investigations; other. 1. The department shall also be
25 authorized to undertake, upon a submitted complaint or its own initi-
26 ative, any investigation into potential criminal activity, or other
27 conduct over which it has jurisdiction, by a person or entity subject to
28 the oversight of the department.

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

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

40 § 113-h. Violations. 1. An individual subject to the jurisdiction of
41 the department who knowingly and intentionally violates the provisions
42 of subdivisions two through five, seven, eight, twelve or fourteen
43 through seventeen of section seventy-three of this chapter, section one
44 hundred seven of the civil service law, or a reporting individual who
45 knowingly and willfully fails to file an annual statement of financial
46 disclosure or who knowingly and willfully with intent to deceive makes a
47 false statement or fraudulent omission or gives information which such
48 individual knows to be false on such statement of financial disclosure
49 filed pursuant to section seventy-three-a of this chapter shall be
50 subject to a civil penalty in an amount not to exceed forty thousand
51 dollars and the value of any gift, compensation or benefit received as a
52 result of such violation. An individual who knowingly and intentionally
53 violates the provisions of paragraph b, c, d or i of subdivision three
54 of section seventy-four of this chapter shall be subject to a civil
55 penalty in an amount not to exceed ten thousand dollars and the value of
56 any gift, compensation or benefit received as a result of such

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

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

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

28 § 113-i. Adjudicatory process. The department shall be deemed to be an
 29 agency within the meaning of article three of the state administrative
 30 procedure act and shall adopt rules governing the conduct of adjudicato-
 31 ry proceedings and appeals taken pursuant to a proceeding commenced
 32 under article seventy-eight of the civil practice law and rules relating
 33 to the assessment of the civil penalties authorized by this article and
 34 department denials of requests for certain deletions or exemptions to be
 35 made from a financial disclosure statement as authorized by this arti-
 36 cle. Such rules, which shall not be subject to the approval requirements
 37 of the state administrative procedure act, shall provide for due process
 38 procedural mechanisms substantially similar to those set forth in arti-
 39 cle three of the state administrative procedure act but such mechanisms
 40 need not be identical in terms or scope. Assessment of a civil penalty
 41 or department denial of such a request shall be final unless modified,
 42 suspended or vacated within thirty days of imposition, with respect to
 43 the assessment of such penalty, or unless such denial of request is
 44 reversed within such time period, and upon becoming final shall be
 45 subject to review at the instance of the affected reporting individuals
 46 in a proceeding commenced against the department, pursuant to article
 47 seventy-eight of the civil practice law and rules.

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

1 Section 1. Section 94 of the executive law is REPEALED.
2 § 2. Article 4-A of the executive law is REPEALED.
3 § 3. This act shall take effect on the first of January next succeed-
4 ing the date on which it shall have become a law.

5 PART C

6 Section 1. Transfer of functions, powers and duties. All functions,
7 powers, duties and obligations of the former commission on ethics and
8 lobbying in government, and the former office of the state inspector
9 general are hereby transferred to the department of oversight and inves-
10 tigation.

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

28 (b) A transferred employee shall remain in the same collective
29 bargaining unit as was the case prior to their 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 commission on ethics and lobbying in government, and the former office
49 of the state inspector general are to be delivered to the department of
50 oversight and investigation at such place and time, and in such manner
51 as the department 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 commission on
54 ethics and lobbying in government and the former office of the state

1 inspector general transferred to and assumed by the department of over-
2 sight and investigation, such department shall continue the operation
3 thereof as if performed by such former agencies.

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

13 § 6. Continuation of rules and regulations. All rules, regulations,
14 acts, orders, determinations and decisions of the former commission on
15 ethics and lobbying in government and the former office of the state
16 inspector general in force at the time of such transfer and assumption,
17 shall continue in force and effect as rules, regulations, acts, orders,
18 determinations and decisions of the department of oversight and investi-
19 gation until duly modified or abrogated.

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

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

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

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

1 respect to the powers, duties and functions transferred in this act,
2 shall also be made on vouchers or certificates approved by the commis-
3 sioner of the department of oversight and investigation on audit and
4 warrant of the comptroller.

5 § 11. Transfer of assets and liabilities. All assets and liabilities
6 of the former commission on ethics and lobbying in government and the
7 former office of the state inspector general are hereby transferred to
8 and assumed by the 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 commission on ethics and
12 lobbying in government and the former office of the state inspector
13 general within 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 section 3 of part QQ of chapter 56 of the laws of 2022, is amended to
29 read as follows:

30 (f) The term "commission" shall mean the [~~commission on ethics and~~
31 ~~lobbying in government created by section ninety four of the executive~~
32 ~~law~~] department of oversight and investigation.

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

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

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

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

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

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

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

15 § 6. Subdivision 68 of section 2.10 of the criminal procedure law, as
16 added by chapter 168 of the laws of 2000, is REPEALED.

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

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

30 § 8. Subdivision 9 of section 835 of the executive law, as separately
31 amended by chapters 14 and 155 of the laws of 2012, is amended to read
32 as follows:

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

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

54 (8) Public safety agency record. The term "public safety agency
55 record" means a record of the state commission of correction, the
56 [~~temporary state commission of investigation~~] department of oversight

1 and investigation, the department of corrections and community super-
2 vision, the office of children and family services, the office of victim
3 services, the office of probation and correctional alternatives or the
4 division of state police or of any agency or component thereof whose
5 primary function is the enforcement of civil or criminal statutes if
6 such record pertains to investigation, law enforcement, confinement of
7 persons in correctional facilities or supervision of persons pursuant to
8 criminal conviction or court order, and any records maintained by the
9 division of criminal justice services pursuant to sections eight hundred
10 thirty-seven, eight hundred thirty-seven-a, eight hundred thirty-sev-
11 en-b, eight hundred thirty-seven-c, eight hundred thirty-eight, eight
12 hundred thirty-nine, and eight hundred forty-five of the executive law
13 and by the department of state pursuant to section ninety-nine of the
14 executive law.

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

17 § 11. Subparagraphs (ii) and (iii) of paragraph (c), and paragraphs
18 (d) and (d-1) of subdivision 1 of section 73-a of the public officers
19 law, as amended by section 5 of part QQ of chapter 56 of the laws of
20 2022, are amended to read as follows:

21 (ii) officers and employees of statewide elected officials, officers
22 and employees of state departments, boards, bureaus, divisions, commis-
23 sions, councils or other state agencies, who receive annual compensation
24 in excess of the filing rate established by paragraph (1) of this subdi-
25 vision or who hold policy-making positions, as annually determined by
26 the appointing authority and set forth in a written instrument which
27 shall be filed with the [~~commission on ethics and lobbying in government~~
28 ~~established by section ninety four of the executive law~~] department of
29 oversight and investigation during the month of February, provided,
30 however, that the appointing authority shall amend such written instru-
31 ment after such date within thirty days after the undertaking of poli-
32 cy-making responsibilities by a new employee or any other employee whose
33 name did not appear on the most recent written instrument; and

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

48 (d) The term "legislative employee" shall mean any officer or employee
49 of the legislature who receives annual compensation in excess of the
50 filing rate established by paragraph (1) below or who is determined to
51 hold a policy-making position by the appointing authority as set forth
52 in a written instrument which shall be filed with the legislative ethics
53 commission and the [~~commission on ethics and lobbying in government~~
54 department of oversight and investigation].

55 (d-1) A financial disclosure statement required pursuant to section
56 seventy-three of this article and this section shall be deemed "filed"

1 with the [~~commission on ethics and lobbying in government~~] department of
2 oversight and investigation upon its filing, in accordance with this
3 section, with the legislative ethics commission for all purposes includ-
4 ing, but not limited to, [~~section ninety-four of the executive law~~]
5 article seven-A of this chapter, subdivision nine of section eighty of
6 the legislative law and subdivision four of this section.

7 § 12. Subdivision 2 of section 73-a of the public officers law, as
8 amended by section 7 of part QQ of chapter 56 of the laws of 2022, is
9 amended to read as follows:

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

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

45 (ii) a person who is required to file an annual financial disclosure
46 statement with the [~~commission on ethics and lobbying in government~~]
47 department of oversight and investigation, and who is granted an addi-
48 tional period of time within which to file such statement due to justi-
49 fiable cause or undue hardship[~~, in accordance with required rules and~~
50 ~~regulations adopted pursuant to section ninety-four of the executive~~
51 ~~law~~] shall file such statement within the additional period of time
52 granted[~~, and the legislative ethics commission shall notify the commis-~~
53 ~~sion on ethics and lobbying in government of any extension granted~~
54 ~~pursuant to this paragraph~~];

55 (iii) candidates for statewide office who receive a party designation
56 for nomination by a state committee pursuant to section 6-104 of the

1 election law shall file such statement within ten days after the date of
2 the meeting at which they are so designated;

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

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

15 (vi) candidates for independent nomination who have not been desig-
16 nated by a party to receive a nomination shall file such statement with-
17 in ten days after the last day allowed by law for the filing of inde-
18 pendent nominating petitions naming them as candidates in the next
19 succeeding general or special election;

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

23 (viii) a candidate substituted for another candidate, who fills a
24 vacancy in a party designation or in an independent nomination, caused
25 by declination, shall file such statement within ten days after the last
26 day allowed by law to file a certificate to fill a vacancy in such party
27 designation or independent nomination[+].

28 (ix) ~~with~~ With respect to all candidates for member of the legisla-
29 ture, the legislative ethics commission shall within five days of
30 receipt provide the ~~[commission on ethics and lobbying in government]~~
31 department of oversight and investigations the statement filed pursuant
32 to subparagraphs (v), (vi), (vii) and (viii) of this paragraph.

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

38 (c) If the reporting individual is a senator or member of assembly,
39 candidate for the senate or member of assembly or a legislative employ-
40 ee, such statement shall be filed with both the legislative ethics
41 commission established by section eighty of the legislative law and the
42 ~~[commission on ethics and lobbying in government]~~ department of over-
43 sight and investigation in accordance with paragraph (d-1) of subdivi-
44 sion one of this section. If the reporting individual is a statewide
45 elected official, candidate for statewide elected office, a state offi-
46 cer or employee or a political party chair, such statement shall be
47 filed with the ~~[commission on ethics and lobbying in government estab-~~
48 ~~lished by section ninety-four of the executive law]~~ department of over-
49 sight and investigation.

50 (d) The ~~[commission on ethics and lobbying in government]~~ department
51 of oversight and investigation shall obtain from the state board of
52 elections a list of all candidates for statewide office and for member
53 of the legislature, and from such list, shall determine and publish a
54 list of those candidates who have not, within ten days after the
55 required date for filing such statement, filed the statement required by
56 this subdivision.

1 (e) Any person required to file such statement who commences employ-
2 ment after May fifteenth of any year and political party chair shall
3 file such statement within thirty days after commencing employment or of
4 taking the position of political party chair, as the case may be. In the
5 case of members of the legislature and legislative employees, such
6 statements shall be filed with the legislative ethics commission within
7 thirty days after commencing employment, and the legislative ethics
8 commission shall provide such statements to the [~~commission on ethics
9 and lobbying in government~~] department of oversight and investigation
10 within forty-five days of receipt.

11 (f) A person who may otherwise be required to file more than one annu-
12 al financial disclosure statement with both the [~~commission on ethics
13 and lobbying in government~~] department of oversight and investigation
14 and the legislative ethics commission in any one calendar year may
15 satisfy such requirement by filing one such statement with either body
16 and by notifying the other body of such compliance.

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

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

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

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

51 (k) The [~~commission on ethics and lobbying in government~~] department
52 of oversight and investigation shall post for at least five years begin-
53 ning for filings made on January first, two thousand thirteen the annual
54 statement of financial disclosure and any amendments filed by each
55 person subject to the reporting requirements of this subdivision who is
56 an elected official on its website for public review within thirty days

1 of its receipt of such statement or within ten days of its receipt of
2 such amendment that reflects any corrections of deficiencies identified
3 by [~~the commission~~] such department or by the reporting individual after
4 the reporting individual's initial filing. Except upon an individual
5 determination by the [~~commission~~] department of oversight and investi-
6 gation that certain information may be deleted from a reporting individ-
7 ual's annual statement of financial disclosure, none of the information
8 in the statement posted on [~~the commission's~~] such department's website
9 shall be otherwise deleted.

10 § 13. Subparagraphs (b), (b-2) and (c) of paragraph 8 of subdivision 3
11 and subdivision 4 of section 73-a of the public officers law, subpara-
12 graphs (b), (b-2) and (c) of paragraph 8 of subdivision 3 as separately
13 amended by sections 8 and 18, and subdivision 4 as amended by section 9
14 of part QQ of chapter 56 of the laws of 2022, are amended to read as
15 follows:

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

22 If the reporting individual personally provides services to any person
23 or entity, or works as a member or employee of a partnership or corpo-
24 ration that provides such services (referred to hereinafter as a
25 "firm"), then identify each client or customer to whom the reporting
26 individual personally provided services, or who was referred to the firm
27 by the reporting individual, and from whom the reporting individual or
28 [~~his or her~~] their firm earned fees in excess of \$10,000 during the
29 reporting period for such services rendered in direct connection with:

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

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

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

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

38 For purposes of this question, "referred to the firm" shall mean:
39 having intentionally and knowingly taken a specific act or series of
40 acts to intentionally procure for the reporting individual's firm or
41 knowingly solicit or direct to the reporting individual's firm in whole
42 or substantial part, a person or entity that becomes a client of that
43 firm for the purposes of representation for a matter as defined in
44 subparagraphs (i) through (iv) of this paragraph, as the result of such
45 procurement, solicitation or direction of the reporting individual. A
46 reporting individual need not disclose activities performed while
47 lawfully acting pursuant to paragraphs (c), (d), (e) and (f) of subdivi-
48 sion seven of section seventy-three of this article.

49 The disclosure requirement in this question shall not require disclo-
50 sure of clients or customers receiving medical or dental services,
51 mental health services, residential real estate brokering services, or
52 insurance brokering services from the reporting individual or [~~his or~~
53 ~~her~~] their firm. The reporting individual need not identify any client
54 to whom [~~he or she or his or her~~] they or their firm provided legal
55 representation with respect to investigation or prosecution by law
56 enforcement authorities, bankruptcy, or domestic relations matters. With

1 respect to clients represented in other matters, where disclosure of a
 2 client's identity is likely to cause harm, the reporting individual
 3 shall request an exemption from the [~~commission on ethics and lobbying~~
 4 ~~in government pursuant to section ninety-four of the executive law~~]
 5 department of oversight and investigation, provided, however, that a
 6 reporting individual who first enters public office after July first,
 7 two thousand twelve, need not report clients or customers with respect
 8 to matters for which the reporting individual or [~~his or her~~] their firm
 9 was retained prior to entering public office.

10 Client	Nature of Services Provided
11	
12	
13	
14	
15	

16 (b-2) APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES
 17 ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR
 18 FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE
 19 SERVICES THAT ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOU-
 20 SAND FIFTEEN (FOR PURPOSES OF THIS QUESTION, "SERVICES" SHALL MEAN
 21 CONSULTATION, REPRESENTATION, ADVICE OR OTHER SERVICES):

22 (i) With respect to reporting individuals who receive ten thousand
 23 dollars or more from employment or activity reportable under question
 24 8(a), for each client or customer NOT otherwise disclosed or exempted in
 25 question 8 or 13, disclose the name of each client or customer known to
 26 the reporting individual to whom the reporting individual provided
 27 services: (A) who paid the reporting individual in excess of five thou-
 28 sand dollars for such services; or (B) who had been billed with the
 29 knowledge of the reporting individual in excess of five thousand dollars
 30 by the firm or other entity named in question 8(a) for the reporting
 31 individual's services.

32 Client	Services	Category of Amount
	Actually Provided	(in Table I)
33		

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

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

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

6 Services Actually Provided Category of Amount (Table I)

7 A reporting individual need not disclose activities performed while
 8 lawfully acting in [~~his or her~~] their capacity as provided in paragraphs
 9 (c), (d), (e) and (f) of subdivision seven of section seventy-three of
 10 this article.

11 The disclosure requirement in questions (b-1) and (b-2) shall not
 12 require disclosing clients or customers receiving medical, pharmaceu-
 13 tical or dental services, mental health services, or residential real
 14 estate brokering services from the reporting individual or [~~his or her~~]
 15 their firm or if federal law prohibits or limits disclosure. The report-
 16 ing individual need not identify any client to whom [~~he or she or his or~~
 17 ~~her~~] they or their firm provided legal representation with respect to
 18 investigation or prosecution by law enforcement authorities, bankruptcy,
 19 family court, estate planning, or domestic relations matters, nor shall
 20 the reporting individual identify individuals represented pursuant to an
 21 insurance policy but the reporting individual shall in such circum-
 22 stances only report the entity that provides compensation to the report-
 23 ing individual; with respect to matters in which the client's name is
 24 required by law to be kept confidential (such as matters governed by the
 25 family court act) or in matters in which the reporting individual
 26 represents or provides services to minors, the client's name may be
 27 replaced with initials. To the extent that the reporting individual, or
 28 [~~his or her~~] their firm, provided legal representation with respect to
 29 an initial public offering, and professional disciplinary rules, federal
 30 law or regulations restrict the disclosure of information relating to
 31 such work, the reporting individual shall (i) disclose the identity of
 32 the client and the services provided relating to the initial public
 33 offering to the office of court administration, who will maintain such
 34 information confidentially in a locked box; and (ii) include in [~~his or~~
 35 ~~her~~] their response to questions (b-1) and (b-2) that pursuant to this
 36 paragraph, a disclosure to the office of court administration has been
 37 made. Upon such time that the disclosure of information maintained in
 38 the locked box is no longer restricted by professional disciplinary
 39 rules, federal law or regulation, the reporting individual shall
 40 disclose such information in an amended disclosure statement in response
 41 to the disclosure requirements in questions (b-1) and (b-2). The office
 42 of court administration shall develop and maintain a secure portal
 43 through which information submitted to it pursuant to this paragraph can
 44 be safely and confidentially stored. With respect to clients represented
 45 in other matters not otherwise exempt, the reporting individual may
 46 request an exemption to publicly disclosing the name of that client from
 47 the [~~commission on ethics and lobbying in government pursuant to section~~
 48 ~~ninety-four of the executive law~~] department of oversight and investi-
 49 gation, or from the office of court administration. In such application,
 50 the reporting individual shall state the following: "My client is not
 51 currently receiving my services or seeking my services in connection
 52 with: (i) A proposed bill or resolution in the senate or assembly
 53 during the 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 [~~commission on ethics
10 and lobbying in government~~] department of oversight and investigation or
11 the office of court administration may consult with bar or other profes-
12 sional associations and the legislative ethics commission for individ-
13 uals subject to its jurisdiction and may consider the rules of profes-
14 sional conduct. In making its determination, the [~~commission on ethics
15 and lobbying in government~~] department of oversight and investigation or
16 the office of court administration shall conduct its own inquiry and
17 shall consider factors including, but not limited to: (i) the nature and
18 the size of the client; (ii) whether the client has any business before
19 the state; and if so, how significant the business is; and whether the
20 client has any particularized interest in pending legislation and if so
21 how significant the interest is; (iii) whether disclosure may reveal
22 trade secrets; (iv) whether disclosure could reasonably result in retal-
23 iation against the client; (v) whether disclosure may cause undue harm
24 to the client; (vi) whether disclosure may result in undue harm to the
25 attorney-client relationship; and (vii) whether disclosure may result in
26 an unnecessary invasion of privacy to the client.

27 The [~~commission on ethics and lobbying in government~~] department of
28 oversight and investigation or, as the case may be, the office of court
29 administration shall promptly make a final determination in response to
30 such request, which shall include an explanation for its determination.
31 The office of court administration shall issue its final determination
32 within three days of receiving the request. Notwithstanding any other
33 provision of law or any professional disciplinary rule to the contrary,
34 the disclosure of the identity of any client or customer in response to
35 this question shall not constitute professional misconduct or a ground
36 for disciplinary action of any kind, or form the basis for any civil or
37 criminal cause of action or proceeding. A reporting individual who first
38 enters public office after January first, two thousand sixteen, need not
39 report clients or customers with respect to matters for which the
40 reporting individual or [~~his or her~~] their firm was retained prior to
41 entering public 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~~] their firm or if
10 federal law prohibits or limits disclosure. The reporting individual
11 need not identify any client to whom [~~he or she or his or her~~] they or
12 their firm provided legal representation with respect to investigation
13 or 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 their firm, provided legal representation with respect to an initial
24 public offering, and federal law or regulations restricts the disclosure
25 of information relating to such work, the reporting individual shall (i)
26 disclose the identity of the client and the services provided relating
27 to the initial public offering to the office of court administration,
28 who will maintain such information confidentially in a locked box; and
29 (ii) include in [~~his or her~~] their response a statement that pursuant to
30 this paragraph, a disclosure to the office of court administration has
31 been made. Upon such time that the disclosure of information maintained
32 in the locked box is no longer restricted by federal law or regulation,
33 the reporting individual shall disclose such information in an amended
34 disclosure statement in response to the disclosure requirements of this
35 paragraph. The office of court administration shall develop and main-
36 tain a secure portal through which information submitted to it pursuant
37 to this paragraph can be safely and confidentially stored. With respect
38 to clients represented in other matters not otherwise exempt, the
39 reporting individual may request an exemption to publicly disclosing the
40 name of that client from the [~~commission on ethics and lobbying in~~
41 ~~government pursuant to section ninety four of the executive law~~] depart-
42 ment of oversight and investigation, or from the office of court admin-
43 istration. In such application, the reporting individual shall state the
44 following: "My client is not currently receiving my services or seeking
45 my services in connection 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."

1 In reviewing the request for an exemption, the [~~commission on ethics~~
2 ~~and lobbying in government~~] department of oversight and investigation or
3 the office of court administration may consult with bar or other profes-
4 sional associations and the legislative ethics commission for individ-
5 uals subject to its jurisdiction and may consider the rules of profes-
6 sional conduct. In making its determination, the [~~commission on ethics~~
7 ~~and lobbying in government~~] department of oversight and investigation or
8 the office of court administration shall conduct its own inquiry and
9 shall consider factors including, but not limited to: (i) the nature and
10 the size of the client; (ii) whether the client has any business before
11 the state; and if so, how significant the business is; and whether the
12 client has any particularized interest in pending legislation and if so
13 how significant the interest is; (iii) whether disclosure may reveal
14 trade secrets; (iv) whether disclosure could reasonably result in retal-
15 iation against the client; (v) whether disclosure may cause undue harm
16 to the client; (vi) whether disclosure may result in undue harm to the
17 attorney-client relationship; and (vii) whether disclosure may result in
18 an unnecessary invasion of privacy to the client.

19 The [~~commission on ethics and lobbying in government~~] department of
20 oversight and investigation or, as the case may be, the office of court
21 administration shall promptly make a final determination in response to
22 such request, which shall include an explanation for its determination.
23 The office of court administration shall issue its final determination
24 within three days of receiving the request. Notwithstanding any other
25 provision of law or any professional disciplinary rule to the contrary,
26 the disclosure of the identity of any client or customer in response to
27 this question shall not constitute professional misconduct or a ground
28 for disciplinary action of any kind, or form the basis for any civil or
29 criminal cause of action or proceeding. A reporting individual who first
30 enters public office after December thirty-first, two thousand fifteen,
31 need not report clients or customers with respect to matters for which
32 the reporting individual or [~~his or her~~] their firm was retained prior
33 to entering public office.

34 Client	Name of Lobbyist	Description	Category of Amount
		of Matter	(in Table 1)
36			
37			
38			
39			
40			

41 4. A reporting individual who knowingly and wilfully fails to file an
42 annual statement of financial disclosure or who knowingly and wilfully
43 with intent to deceive makes a false statement or gives information
44 which such individual knows to be false on such statement of financial
45 disclosure filed pursuant to this section shall be subject to a civil
46 penalty in an amount not to exceed forty thousand dollars. Assessment of
47 a civil penalty hereunder shall be made by the [~~commission on ethics and~~
48 ~~lobbying in government or by the legislative ethics commission, as the~~
49 ~~case may be~~] department of oversight and investigation or the legisla-
50 tive ethics commission, with respect to persons subject to their respec-
51 tive jurisdictions. The [~~commission on ethics and lobbying in government~~
52 ~~acting pursuant to subdivision fourteen of section ninety four of the~~
53 ~~executive law~~] department of oversight and investigation or the legisla-
54 tive ethics commission acting pursuant to subdivision eleven of section
55 eighty of the legislative law, as the case may be, may, in lieu of or in

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

27 § 14. 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 § 15. 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 confidentiality
40 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 § 16. Paragraph (a) of subdivision 1 of section 73 of the public offi-
46 cers law, as amended by section 13 of part QQ of chapter 56 of the laws
47 of 2022, 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 [~~commission on ethics and lobbying in government or~~] legislative ethics
54 commission or the department of oversight and investigation in relation
55 to persons subject to their respective jurisdictions.

1 § 17. The opening paragraph of paragraph (a) of subdivision 6 of
2 section 73 of the public officers law, as amended by section 15 of part
3 QQ of chapter 56 of the laws of 2022, is amended to read as follows:

4 Every legislative employee not subject to the provisions of section
5 seventy-three-a of this [~~chapter~~ article] shall, on and after December
6 fifteenth and before the following January fifteenth, in each year, file
7 with the [~~commission on ethics and lobbying in government~~] department of
8 oversight and investigation and the legislative ethics commission a
9 financial disclosure statement of:

10 § 18. Paragraph (h) of subdivision 8 of section 73 of the public offi-
11 cers law, as amended by section 16 of part QQ of chapter 56 of the laws
12 of 2022, is amended to read as follows:

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

22 § 19. Subdivision 8-a of section 73 of the public officers law, as
23 amended by section 17 of part QQ of chapter 56 of the laws of 2022, is
24 amended to read as follows:

25 8-a. The provisions of subparagraphs (i) and (ii) of paragraph (a) of
26 subdivision eight of this section shall not apply to any such former
27 state officer or employee engaged in any of the specific permitted
28 activities defined in this subdivision that are related to any civil
29 action or proceeding in any state or federal court, provided that the
30 attorney general has certified in writing to the [~~commission on ethics~~
31 ~~and lobbying in government~~] department of oversight and investigation,
32 with a copy to such former state officer or employee, that the services
33 are rendered on behalf of the state, a state agency, state officer or
34 employee, or other person or entity represented by the attorney general,
35 and that such former state officer or employee has expertise, knowledge
36 or experience which is unique or outstanding in a field or in a partic-
37 ular matter or which would otherwise be generally unavailable at a
38 comparable cost to the state, a state agency, state officer or employee,
39 or other person or entity represented by the attorney general in such
40 civil action or proceeding. In those instances where a state agency is
41 not represented by the attorney general in a civil action or proceeding
42 in state or federal court, a former state officer or employee may engage
43 in permitted activities provided that the general counsel of the state
44 agency, after consultation with the [~~commission on ethics and lobbying~~
45 ~~in government~~] department of oversight and investigation, provides to
46 [~~the commission on ethics and lobbying in government~~] such department a
47 written certification which meets the requirements of this subdivision.
48 For purposes of this subdivision the term "permitted activities" shall
49 mean generally any activity performed at the request of the attorney
50 general or the attorney general's designee, or in cases where the state
51 agency is not represented by the attorney general, the general counsel
52 of such state agency, including without limitation:

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

54 (b) gathering, reviewing or analyzing information, including documen-
55 tary or oral information concerning facts or opinions, attending deposi-
56 tions 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 § 20. Subdivision 8-b of section 73 of the public officers law, as
12 amended by section 17 of part QQ of chapter 56 of the laws of 2022, 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 [~~commission on ethics and lobbying in government~~]
20 department of oversight and investigation that such former officer or
21 employee has expertise, knowledge or experience with respect to a
22 particular matter which meets the needs of the agency and is otherwise
23 unavailable at a comparable cost. Where approval of the contract is
24 required under section one hundred twelve of the state finance law, the
25 comptroller shall review and consider the reasons for such certifi-
26 cation. The [~~commission on ethics and lobbying in government~~] depart-
27 ment of oversight and investigation must review and approve all certifi-
28 cations made pursuant to this subdivision.

29 § 21. Subdivision 10 of section 73 of the public officers law, as
30 amended by section 17 of part QQ of chapter 56 of the laws of 2022, 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 chair, 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 chair
41 in a county wholly included in a city with a population of more than one
42 million, otherwise proscribed by this section, the judiciary law, the
43 education law or any other law or disciplinary rule with respect to such
44 official, member of the legislature or officer or employee, or political
45 party chair, where such statewide elected official, state officer or
46 employee, member of the legislature or legislative employee, or poli-
47 tical party chair does not share in the net revenues, as defined in
48 accordance with generally accepted accounting principles by the [~~commis-~~
49 ~~sion on ethics and lobbying in government or by the~~] legislative ethics
50 commission or the department of oversight and investigation in relation
51 to persons subject to their respective jurisdictions, resulting there-
52 from, or, acting in good faith, reasonably believed that [~~he or she~~]
53 they 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 [~~commission on ethics and lobbying in government or by the~~] legisla-
13 tive ethics commission or the department of oversight and investigation
14 in relation to persons subject to their respective jurisdictions,
15 resulting therefrom, or, acting in good faith, reasonably believed that
16 [~~he or she~~] they would not share in the net revenues as so defined.

17 § 22. 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.