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Book 1 of 2

DEPARTMENT OF STATE
Division of Administrative Rules

# NEW YORK STATE REGISTER

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State agencies must specify in each notice which proposes a rule the last date on which they will accept public comment. Agencies must always accept public comment: for a minimum of 45 days following publication in the *Register* of a Notice of Proposed Rule Making or a Notice of Emergency Adoption and Proposed Rule Making for which full text was included in the Notice or posted on a state web site, or which is a consensus rule or a rule defined in SAPA § 102(2)(a)(ii); or for a minimum of 60 days following publication in the *Register* of a Notice of Proposed Rule Making or a Notice of Emergency Adoption and Proposed Rule Making for which a summary of the text of the rule was included in the Notice and the full text of which was not published on a state web site; and for 30 days after publication of a Notice of Revised Rule Making in the *Register*. When a public hearing is required by statute, the hearing cannot be held until 45 days after publication of the notice, and comments must be accepted for at least 5 days after the last required hearing. When the public comment period ends on a Saturday, Sunday or legal holiday, agencies must accept comment through the close of business on the next succeeding workday.

***For notices published in this issue:***

– the 60-day period expires on March 29, 2015
– the 45-day period expires on March 14, 2015
– the 30-day period expires on February 27, 2015

**ANDREW M. CUOMO**
**GOVERNOR**

**CESAR A. PERALES**
**SECRETARY OF STATE**

# NEW YORK STATE DEPARTMENT OF STATE

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NEW YORK STATE
REGISTER

**Be a part of the rule making process!**

The public is encouraged to comment on any of the proposed rules appearing in this issue. Comments must be made in writing and must be submitted to the agency that is proposing the rule. Address your comments to the agency representative whose name and address are printed in the notice of rule making. No special form is required; a handwritten letter will do. Individuals who access the online *Register* (www.dos.ny.gov) may send public comment via electronic mail to those recipients who provide an e-mail address in Notices of Proposed Rule Making. This includes Proposed, Emergency Proposed, Revised Proposed and Emergency Revised Proposed rule makings.

To be considered, comments must reach the agency before the proposed rule is adopted. The law provides for a minimum 45-day public comment period after publication in the *Register* of every Notice of Proposed Rule Making for which full text was included or posted on a state web site, or which is a consensus rule or a rule defined in SAPA § 102(2)(a)(ii); a minimum 60-day public comment period after publication in the *Register* of a Notice of Proposed Rule Making for which a summary of the text of the rule was included in the Notice and the full text of which was not published on a state web site; and a 30-day public comment period for every Notice of Revised Rule Making. If a public hearing is required by statute, public comments are accepted for at least five days after the last such hearing. Agencies are also required to specify in each notice the last date on which they will accept public comment.

When a time frame calculation ends on a Saturday or Sunday, the agency accepts public comment through the following Monday; when calculation ends on a holiday, public comment will be accepted through the following workday. Agencies cannot take action to adopt until the day after public comments are due.

The Administrative Regulations Review Commission (ARRC) is charged with the task of reviewing newly proposed regulations to examine the issues of compliance with legislative intent, impact on the economy, and impact on affected parties. In addition to sending comments or recommendations to the agency, please do not hesitate to transmit your views to ARRC:

Administrative Regulations Review Commission
State Capitol
Albany, NY 12247
Telephone: (518) 455-5091 or 455-2731

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KEY: (P) Proposal; (RP) Revised Proposal; (E) Emergency; (EP) Emergency and Proposal; (A) Adoption; (AA) Amended Adoption; (W) Withdrawal

Individuals may send public comment via electronic mail to those recipients who provided an e-mail address in Notices of Proposed Rule Making. This includes Proposed, Emergency Proposed, Revised Proposed and Emergency Revised Proposed rule makings. Choose pertinent issue of the *Register* and follow the procedures on the website (www.dos.ny.gov)

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Each rule making is identified by an I.D. No., which consists of 13 characters. For example, the I.D. No. AAM-01-96-00001-E indicates the following:

AAM -the abbreviation to identify the adopting agency
01 -the *State Register* issue number
96 -the year
00001 -the Department of State number, assigned upon receipt of notice.
E -Emergency Rule Making—permanent action not intended (This character could also be: A for Adoption; P for Proposed Rule Making; RP for Revised Rule Making; EP for a combined Emergency and Proposed Rule Making; EA for an Emergency Rule Making that is permanent and does not expire 90 days after filing.)

Italics contained in text denote new material. Brackets indicate material to be deleted.

## Department of Agriculture and Markets

### NOTICE OF ADOPTION

**Host Material (Potatoes, Tomatoes and Eggplants) and Soil**

**I.D. No.** AAM-44-14-00004-A
**Filing No.** 27
**Filing Date:** 2015-01-12
**Effective Date:** 2015-01-28

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

***Action taken:*** Amendment of section 127.2 of Title 1 NYCRR.

***Statutory authority:*** Agriculture and Markets Law, sections 18, 164 and 167

***Subject:*** Host material (potatoes, tomatoes and eggplants) and soil.

***Purpose:*** To lift the golden nematode quarantine in portions of Nassau, Suffolk and Orleans Counties.

***Text or summary was published*** in the November 5, 2014 issue of the Register, I.D. No. AAM-44-14-00004-P.

***Final rule as compared with last published rule:*** No changes.

***Text of rule and any required statements and analyses may be obtained from:*** Christopher A. Logue, Director, Division of Plant Industry, NYS Department of Agriculture and Markets, 10B Airline Drive, Albany, New York 12235, (518) 457-2087

***Initial Review of Rule***

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2019, which is the 4th or 5th year after the year in which this rule is being adopted. This review period, justification for proposing same, and invitation for public comment thereon, were contained in a RFA, RAFA or JIS.

An assessment of public comment on the 4 or 5-year initial review period is not attached because no comments were received on the issue.

***Assessment of Public Comment***

The agency received no public comment.

## Education Department

### EMERGENCY RULE MAKING

**New York State Common Core Learning Standards (CCLS)**

**I.D. No.** EDU-44-14-00019-E
**Filing No.** 29
**Filing Date:** 2015-01-13
**Effective Date:** 2015-01-19

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

***Action taken:*** Amendment of section 100.5(g)(1)(i) of Title 8 NYCRR.

***Statutory authority:*** Education Law, sections 101(not subdivided), 207(not subdivided), 208(not subdivided), 209(not subdivided), 305(1), (2), 308(not subdivided), 309(not subdivided) and 3204(3)

***Finding of necessity for emergency rule:*** Preservation of general welfare.

***Specific reasons underlying the finding of necessity:*** The proposed amendment is necessary to implement Regents policy to provide, at the local school district's discretion, additional opportunities for students enrolled in Common Core English Language Arts courses to meet diploma requirements by passing either the Regents Comprehensive Examination in English in addition to the Regents Examination in English Language Arts (Common Core) at the January 2015, June 2015, and August 2015 examination administrations.

The proposed amendment was adopted at the October 20-21, 2014 Regents meeting as an emergency rule, effective October 21, 2014, and has now been adopted as a permanent rule at the January 12-13, 2015 Regents meeting. Pursuant to SAPA section 203(1), the earliest effective date of the permanent rule is January 28, 2015, the date a Notice of Adoption is published in the State Register. However the emergency rule adopted at the October 2014 Regents meeting will expire on January 18, 2015. A lapse in the rule's effect date may disrupt opportunities for students enrolled in Common Core English Language Arts courses to meet diploma requirements by passing either the Regents Comprehensive Examination in English in addition to the Regents Examination in English Language Arts (Common Core) at the January 2015 examination administration.

Emergency action is necessary for the preservation of the general welfare in to ensure that the emergency rule adopted at the October 2014 Regents meeting remains continuously in effect until the effective date of the rule's adoption as a permanent rule.

***Subject:*** New York State Common Core Learning Standards (CCLS).

***Purpose:*** To provide additional opportunities for students to meet diploma requirements by passing either the Regents Comprehensive Examination in English or the Common Core ELA examination at the January 2015, June 2015 and August 2015 test administrations.

***Text of emergency rule:*** Subparagraph (i) of paragraph (1) of subdivision

(g) of section 100.5 of the Regulations of the Commissioner is amended, effective January 19, 2015, as follows:

(i) English.

(a) Students who first enter grade 9 in September 2013 and thereafter shall meet the English requirement for graduation in clause (a)(5)(i)(a) of this section by passing the Regents examination in English language arts (common core) or an approved alternative pursuant to section 100.2(f) of this Part.

(b) Students who first enter grade 9 prior to September 2013 shall meet the English requirement for graduation in clause (a)(5)(i)(a) of this section by:

(1) successfully completing a course in English language arts (common core) and passing the Regents examination in English language arts (common core) or an approved alternative pursuant to section 100.2(f) of this Part; or

(2) successfully completing a course in English aligned to the 2005 Learning Standards and passing the Regents comprehensive examination in English or an approved alternative pursuant to section 100.2(f) of this Part; provided that for the January 2014, June 2014 [and], August 2014*, January 2015, June 2015, and August 2015* administrations only, students enrolled in English language arts (common core) courses may, at the discretion of the applicable school district, take the Regents comprehensive examination in English in addition to the Regents examination in English language arts (common core), and may meet such English requirement by passing either examination.

(c) …

***This notice is intended*** to serve only as a notice of emergency adoption. This agency intends to adopt the provisions of this emergency rule as a permanent rule, having previously submitted to the Department of State a notice of proposed rule making, I.D. No. EDU-44-14-00019-EP, Issue of November 5, 2014. The emergency rule will expire March 13, 2015.

***Text of rule and any required statements and analyses may be obtained from:*** Kirti Goswami, State Education Department, Office of Counsel, State Education Building Room 148, 89 Washington Ave., Albany, NY 12234, (518) 474-6400, email: legal@nysed.gov

***Regulatory Impact Statement***

1. STATUTORY AUTHORITY:

Education Law section 101 continues the existence of the State Education Department (SED), with the Board of Regents at its head and the Commissioner of Education as the chief administrative officer, and charges SED with the general management and supervision of public schools and the educational work of the State.

Education Law section 207 empowers the Regents and the Commissioner to adopt rules and regulations to carry out laws regarding education and the functions and duties conferred on SED by law.

Education Law section 208 authorizes the Regents to establish examinations as to attainments in learning and to award and confer suitable certificates, diplomas and degrees on persons who satisfactorily meet the requirements prescribed.

Education Law section 209 authorizes the Regents to establish secondary school examinations in studies furnishing a suitable standard of graduation and of admission to colleges; to confer certificates or diplomas on students who satisfactorily pass such examinations; and requires the admission to these examinations of any person who shall conform to the rules and pay the fees prescribed by the Regents.

Education Law section 305 (1) and (2) provide that the Commissioner, as chief executive officer of the State system of education and of the Regents, shall have general supervision over all schools and institutions subject to the provisions of the Education Law, or of any statute relating to education, and shall execute all educational policies determined by the Regents.

Education Law section 308 authorizes the Commissioner to enforce and give effect to any provision in the Education Law or in any other general or special law pertaining to the school system of the State or any rule or direction of the Regents.

Education Law section 309 charges the Commissioner with the general supervision of boards of education and their management and conduct of all departments of instruction.

Education Law section 3204 (3) provides for required courses of study in the public schools and authorizes SED to alter the subjects of required instruction.

2. LEGISLATIVE OBJECTIVES:

The proposed amendment is consistent with the authority conferred by the above statutes and is necessary to implement policy enacted by the Regents relating to State learning standards, State assessments, graduation and diploma requirements, and higher levels of student achievement.

3. NEEDS AND BENEFITS:

At their July 2013 meeting, the Board of Regents adopted by emergency action, effective July 30, 2013, a new Commissioner's Regulation § 100.5(g) to allow students to meet diploma requirements by passing Regents Examinations in English Language Arts and mathematics that are aligned to the New York State P-12 Common Core Learning Standards. § 100.5(g) was permanently adopted at the October 2013 Regents meeting. Included in the new regulation is a provision in § 100.5(g)(1)(i)(b)(2) that allows, at local discretion and for the June 2014 and August 2014 administrations only, students enrolled in Common Core English courses may, at local discretion, take the Regents Comprehensive Examination in English (2005 Learning Standards) in addition to the Regents Examination in ELA (Common Core) and may meet the English requirement for graduation by passing either examination. In November 2013, the Regents adopted an emergency amendment to that regulation to include the January 2014 administration as well.

The proposed amendment would extend that flexibility to the January, June and August 2015 administrations.

4. COSTS:

(a) Costs to State government: none.

(b) Costs to local government: none.

(c) Costs to private regulated parties: none.

(d) Costs to regulating agency for implementation and continued administration of this rule: none.

The proposed amendment is necessary to implement requirements for transitioning to Common Core English Language Arts (ELA) examinations, and does not impose any costs on school districts or charter schools. The proposed amendment implements Regents policy to provide, at the local school district's discretion, additional opportunities for students enrolled in Common Core English Language Arts courses to meet diploma requirements by passing either the Regents Comprehensive Examination in English in addition to the Regents Examination in English Language Arts (Common Core) at the January 2015, June 2015 and August 2015 examination administrations.

5. LOCAL GOVERNMENT MANDATES:

The proposed amendment is necessary to implement requirements for transitioning to Common Core English Language Arts (ELA) examinations, and does not impose any additional program, service, duty or responsibility upon local governments. The proposed amendment is implements Regents policy to provide, at the local school district's discretion, additional opportunities for students enrolled in Common Core English Language Arts courses to meet diploma requirements by passing either the Regents Comprehensive Examination in English in addition to the Regents Examination in English Language Arts (Common Core) at the January 2015, June 2015 and August 2015 examination administrations.

6. PAPERWORK:

The rule does not impose any specific recordkeeping, reporting or other paperwork requirements.

7. DUPLICATION:

The rule does not duplicate existing State or federal requirements.

8. ALTERNATIVES:

There are no significant alternatives to the rule and none were considered.

9. FEDERAL STANDARDS:

There are no related federal standards.

10. COMPLIANCE SCHEDULE:

The proposed amendment is necessary to implement requirements for transitioning to Common Core ELA examinations, and does not impose any additional compliance requirements or costs on school districts or charter schools. It is anticipated regulated parties will be able to achieve compliance with the rule by its effective date.

***Regulatory Flexibility Analysis***

Small Businesses:

The proposed amendment is necessary to implement requirements for transitioning to the New York State Common Core English Language Arts (ELA) examinations. The proposed amendment implements Regents policy to provide, at the local school district's discretion, additional opportunities for students enrolled in Common Core English Language Arts courses to meet diploma requirements by passing either the Regents Comprehensive Examination in English in addition to the Regents Examination in English Language Arts (Common Core) at the January 2015, June 2015 and August 2015 examination administrations.

The proposed amendment relates to State learning standards, State assessments, graduation and diploma requirements and higher levels of student achievement, and does not impose any adverse economic impact, reporting, record keeping or any other compliance requirements on small businesses. Because it is evident from the nature of the proposed amendment that it does not affect small businesses, no further measures were needed to ascertain that fact and none were taken. Accordingly, a regulatory flexibility analysis for small businesses is not required and one has not been prepared.

Local Governments:

1. EFFECT OF RULE:

The proposed amendment applies to each of the 689 public school districts in the State, and to charter schools that are authorized to issue Regents diplomas with respect to State assessments and high school graduation and diploma requirements. At present, there are 34 charter schools authorized to issue Regents diplomas.

2. COMPLIANCE REQUIREMENTS:

The proposed amendment does not impose any additional compliance requirements on school districts and charter schools. The proposed amendment implements Regents policy to provide, at local discretion, additional opportunities for students enrolled in Common Core English Language Arts courses to meet diploma requirements by passing either the Regents Comprehensive Examination in English in addition to the Regents Examination in English Language Arts (Common Core) at the January 2015, June 2015 and August 2015 examination administrations.

3. PROFESSIONAL SERVICES:

The proposed amendment does not impose any additional professional services requirements.

4. COMPLIANCE COSTS:

The proposed amendment is necessary to implement requirements for transitioning to Common Core English Language Arts (ELA) examinations, and does not impose any costs on school districts or charter schools. The proposed amendment implements Regents policy to provide, at the local school district's discretion, additional opportunities for students enrolled in Common Core English Language Arts courses to meet diploma requirements by passing either the Regents Comprehensive Examination in English in addition to the Regents Examination in English Language Arts (Common Core) at the January 2015, June 2015 and August 2015 examination administrations.

5. ECONOMIC AND TECHNOLOGICAL FEASIBILITY:

The proposed amendment does not impose any new technological requirements on school districts or charter schools. Economic feasibility is addressed in the Costs section above.

6. MINIMIZING ADVERSE IMPACT:

The proposed amendment is necessary to implement requirements for transitioning to Common Core English Language Arts (ELA) examinations, and does not impose any costs or compliance requirements on school districts or charter schools. The proposed amendment implements Regents policy to provide, at local discretion, additional opportunities for students enrolled in Common Core English Language Arts courses to meet diploma requirements by passing either the Regents Comprehensive Examination in English in addition to the Regents Examination in English Language Arts (Common Core) at the January 2015, June 2015 and August 2015 examination administrations.

7. LOCAL GOVERNMENT PARTICIPATION:

Copies of the rule have been provided to District Superintendents with the request that they distribute them to school districts within their supervisory districts for review and comment. Copies were also provided for review and comment to the chief school officers of the five big city school districts and to charter schools.

8. INITIAL REVIEW OF RULE (SAPA § 207):

Pursuant to State Administrative Procedure Act section 207(1)(b), the State Education Department proposes that the initial review of this rule shall occur in the fifth calendar year after the year in which the rule is adopted, instead of in the third calendar year. The justification for a five year review period is that the proposed amendment is necessary to implement long-range Regents policy providing for a transition to the New York State Common Core Learning Standards (CCLS) adopted at the January 2011 Regents meeting. Accordingly, there is no need for a shorter review period.

The Department invites public comment on the proposed five year review period for this rule. Comments should be sent to the agency contact listed in item 16. of the Notice of Emergency Adoption and Proposed Rule Making published herewith, and must be received within 45 days of the State Register publication date of the Notice.

***Rural Area Flexibility Analysis***

1. TYPES AND ESTIMATED NUMBER OF RURAL AREAS:

The proposed amendment applies to each of the 689 public school districts in the State, including those located in the 44 rural counties with less than 200,000 inhabitants and the 71 towns in urban counties with a population density of 150 per square mile or less. The proposed amendment also applies to charter schools in such areas, to the extent they offer instruction in the high school grades and issue Regents diplomas. At present, there is one charter school located in a rural area that is authorized to issue Regents diplomas.

2. REPORTING, RECORDKEEPING AND OTHER COMPLIANCE REQUIREMENTS; AND PROFESSIONAL SERVICES:

The proposed amendment does not impose any additional compliance requirements on school districts and charter schools. The proposed amendment implements Regents policy to provide, at local discretion, additional opportunities for students enrolled in Common Core English Language Arts courses to meet diploma requirements by passing either the Regents Comprehensive Examination in English in addition to the Regents Examination in English Language Arts (Common Core) at the January 2015, June 2015 and August 2015 examination administrations.

3. COMPLIANCE COSTS:

The proposed amendment is necessary to implement requirements for transitioning to Common Core English Language Arts (ELA) examinations, and does not impose any costs on school districts or charter schools. The proposed amendment implements Regents policy to provide, at the local school district's discretion, additional opportunities for students enrolled in Common Core English Language Arts courses to meet diploma requirements by passing either the Regents Comprehensive Examination in English in addition to the Regents Examination in English Language Arts (Common Core) at the January 2015, June 2015 and August 2015 examination administrations.

4. MINIMIZING ADVERSE IMPACT:

The proposed amendment is necessary to implement requirements for transitioning to Common Core English Language Arts (ELA) examinations, and does not impose any costs or compliance requirements on school districts or charter schools. The proposed amendment implements Regents policy to provide, at local discretion, additional opportunities for students enrolled in Common Core English Language Arts courses to meet diploma requirements by passing either the Regents Comprehensive Examination in English in addition to the Regents Examination in English Language Arts (Common Core) at the January 2015, June 2015 and August 2015 examination administrations.

Because the Regents policy upon which the proposed amendment is based applies to all school districts and BOCES in the State and to charter schools authorized to issue Regents diplomas, it is not possible to establish differing compliance or reporting requirements or timetables or to exempt schools in rural areas from coverage by the proposed amendment.

5. RURAL AREA PARTICIPATION:

Comments on the proposed amendment were solicited from the Department's Rural Advisory Committee, whose membership includes school districts located in rural areas.

6. INITIAL REVIEW OF RULE (SAPA § 207):

Pursuant to State Administrative Procedure Act section 207(1)(b), the State Education Department proposes that the initial review of this rule shall occur in the fifth calendar year after the year in which the rule is adopted, instead of in the third calendar year. The justification for a five year review period is that the proposed amendment is necessary to implement long-range Regents policy providing for a transition to the New York State Common Core Learning Standards (CCLS) adopted at the January 2011 Regents meeting. Accordingly, there is no need for a shorter review period.

The Department invites public comment on the proposed five year review period for this rule. Comments should be sent to the agency contact listed in item 16. of the Notice of Emergency Adoption and Proposed Rule Making published herewith, and must be received within 45 days of the State Register publication date of the Notice.

***Job Impact Statement***

The proposed amendment is necessary to implement requirements for transitioning to the New York State Common Core English Language Arts (ELA) examinations. The proposed amendment implements Regents policy to provide, at the local school district's discretion, additional opportunities for students enrolled in Common Core English Language Arts courses to meet diploma requirements by passing either the Regents Comprehensive Examination in English in addition to the Regents Examination in English Language Arts (Common Core) at the January 2015, June 2015 and August 2015 examination administrations.

The proposed amendment relates to State learning standards, State assessments, graduation and diploma requirements, and higher levels of student achievement, and will not have an adverse impact on jobs or employment opportunities. Because it is evident from the nature of the amendment that it will have a positive impact, or no impact, on jobs or employment opportunities, no further steps were needed to ascertain those facts and none were taken. Accordingly, a job impact statement is not required and one has not been prepared.

***Assessment of Public Comment***

The agency received no public comment.

## EMERGENCY RULE MAKING

### Duration of Competition in High School Athletics

**I.D. No.** EDU-44-14-00024-E
**Filing No.** 36
**Filing Date:** 2015-01-13
**Effective Date:** 2015-01-19

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

***Action taken:*** Amendment of section 135.4 of Title 8 NYCRR.

***Statutory authority:*** Education Law, sections 101(not subdivided), 207(not subdivided), 305(1), (2), 803(not subdivided), 3204(2) and (3)

***Finding of necessity for emergency rule:*** Preservation of general welfare.

***Specific reasons underlying the finding of necessity:*** The proposed amendment is necessary to clarify when a student's eligibility for senior high school athletic competition may be extended because of illness or accident, as set forth in Commissioner's Regulations § 135.4(c)(7)(ii)(b)(1)(i). The proposed amendment provides that an extension may be granted for a student's illness or accident.

The proposed amendment was adopted at the October 20-21, 2014 Regents meeting as an emergency rule, effective October 21, 2014, and has now been adopted as a permanent rule at the January 12-13, 2015 Regents meeting. Pursuant to SAPA section 203(1), the earliest effective date of the permanent rule is January 28, 2015, the date a Notice of Adoption is published in the State Register. However, the emergency rule adopted at the October 2014 Regents meeting will expire on January 18, 2015. A lapse in the rule's effect date may disrupt extensions of high school athletic competition caused by illness, accident. Therefore, emergency action is necessary for the preservation of the general welfare to ensure that the emergency rule adopted at the October 2014 Regents meeting remains continuously in effect until the effective date of its adoption as a permanent rule.

***Subject:*** Duration of competition in high school athletics.

***Purpose:*** Clarifies when a student's eligibility for senior high school athletic competition may be extended for illness or accident.

***Text of emergency rule:*** Subclause (1) of clause (b) of subparagraph (ii) of paragraph (7) of subdivision (c) of section 135.4 of the Regulations of the Commissioner of Education is amended, effective January 19, 2015, as follows:

(1) Duration of competition. A pupil shall be eligible for senior high school athletic competition in a sport during each of four consecutive seasons of such sport commencing with the pupil's entry into the ninth grade and prior to graduation, except as otherwise provided in this subclause, or except as authorized by a waiver granted under clause (d) of this subparagraph to a student with a disability. If a board of education has adopted a policy, pursuant to subclause (a)(4) of this subparagraph, to permit pupils in the seventh and eighth grades to compete in senior high school athletic competition, such pupils shall be eligible for competition during five consecutive seasons of a sport commencing with the pupil's entry into the eighth grade, or six consecutive seasons of a sport commencing with the pupil's entry into the seventh grade. A pupil enters competition in a given year when the pupil is a member of the team in the sport involved, and that team has completed at least one contest. A pupil shall be eligible for interschool competition in grades 9, 10, 11 and 12 until the last day of the school year in which he or she attains the age of 19, except as otherwise provided in subclause (a)(4) or clause (d) of this subparagraph, or in this subclause. The eligibility for competition of a pupil who has not attained the age of 19 years prior to July 1st may be extended under the following circumstances.

(i) If sufficient evidence is presented by the chief school officer to the section to show that the pupil's failure to enter competition during one or more seasons of a sport was caused by illness[,] *or* accident [, or similar circumstances beyond the control of the student], such pupil's eligibility shall be extended accordingly in that sport. In order to be deemed sufficient, the evidence must include documentation showing that as a direct result of the illness[,] *or* accident [or other circumstance beyond the control of the student], the pupil will be required to attend school for one or more additional semesters in order to graduate.

(ii) . . .

***This notice is intended*** to serve only as a notice of emergency adoption. This agency intends to adopt the provisions of this emergency rule as a permanent rule, having previously submitted to the Department of State a notice of proposed rule making, I.D. No. EDU-44-14-00024-EP, Issue of November 5, 2014. The emergency rule will expire March 13, 2015.

***Text of rule and any required statements and analyses may be obtained from:*** Kirti Goswami, State Education Department, Office of Counsel, State Education Building, Room 148, 89 Washington Ave., Albany, NY 12234, (518) 474-6400, email: legal@nysed.gov

***Regulatory Impact Statement***

1. STATUTORY AUTHORITY:

Education Law section 101 charges the Department with the general management and supervision of public schools and the educational work of the State.

Education Law section 207 empowers the Board of Regents and the Commissioner to adopt rules and regulations to carry out the laws of the State regarding education and the functions and duties conferred on the Department by law.

Education Law sections 305(1) and (2) provide that the Commissioner, as chief executive officer of the State system of education and of the Board of Regents, shall have general supervision over all schools and institutions subject to the provisions of the Education Law, or of any statute relating to education.

Education Law section 803 provides the Board of Regents with overall authority over physical education instruction in schools.

Education Law section 3204(2) and (3) relate to compulsory education.

2. LEGISLATIVE OBJECTIVES:

The proposed amendment is consistent with the authority conferred by the above statutes and is necessary to implement policy enacted by the Board of Regents relating to the age and four-year duration of competition limitations for athletic competition.

3. NEEDS AND BENEFITS:

Commissioner's Regulation section 135.4(c)(7)(ii)(b)(1), establishes the parameters for participation in senior high school interschool athletic competition. The duration of competition rule limits the participation of pupils in high school athletic competition to four consecutive seasons commencing with the pupil's entry into the ninth grade and prior to graduation. A request for an extension of duration of competition for a pupil's failure to enter competition during one or more seasons may be granted, only if sufficient evidence demonstrates that the pupil's failure to enter competition during one or more seasons was directly caused by illness, accident, or similar circumstances beyond the control of the student.

Department guidance indicates that the existing language providing for an extension upon evidence that the student's participation was impacted by "similar circumstances beyond the control of the student" is limited to circumstances related to such illness or accident. However, confusion continues to exist among school districts, students and parents. This regulatory amendment is necessary to provide clarity to the field regarding the circumstances under which a duration of competition extension may be granted. The proposed amendment provides that an extension may be granted if sufficient evidence is presented to show that the pupil's failure to enter competition during one or more seasons of a sport was caused illness or accident. Such clarification is intended to ensure safe and equitable competition.

4. COSTS:

(a) Costs to State government: none.

(b) Costs to local government: none.

(c) Costs to private regulated parties: none.

(d) Costs to the regulating agency for implementation and administration of this rule: none.

The proposed amendment does not impose any costs on the State, local governments, private regulated parties or the State Education Department, but merely clarifies when a student's eligibility for senior high school athletic competition may be extended for additional seasons for illness or accident.

5. LOCAL GOVERNMENT MANDATES:

The proposed amendment does not impose any additional program, service, duty or responsibility upon local governments, but merely clarifies when a student's eligibility for senior high school athletic competition may be extended for additional seasons for illness or accident.

6. PAPERWORK:

This proposed amendment does not impose any additional paperwork requirements, but merely clarifies when a student's eligibility for senior high school athletic competition may be extended for additional seasons for illness or accident.

7. DUPLICATION:

The proposed amendment does not duplicate existing State or federal regulations.

8. ALTERNATIVES:

The proposed amendment is necessary to clarify when a student's eligibility for senior high school athletic competition may be extended for additional seasons for illness or accident. There were no significant alternatives and none were considered.

9. FEDERAL STANDARDS:

There are no related federal standards.

10. COMPLIANCE SCHEDULE:

It is anticipated regulated parties will be able to achieve compliance with the proposed rule by its effective date. This proposed amendment does not impose any costs or compliance requirements, but merely clarifies when a student's eligibility for senior high school athletic competition may be extended for additional seasons for illness or accident.

***Regulatory Flexibility Analysis***

Small Businesses:

The proposed amendment merely clarifies when a student's eligibility for senior high school athletic competition may be extended for additional seasons for illness or accident. The proposed amendment does not impose any adverse economic impact, reporting, record keeping or any other compliance requirements on small businesses. Because it is evident from the nature of the proposed amendment that it does not affect small businesses, no further measures were needed to ascertain that fact and none were taken. Accordingly, a regulatory flexibility analysis for small businesses is not required and one has not been prepared.

Local Government:

1. EFFECT OF RULE:

The proposed amendment applies to each of the 695 school districts within the State.

2. COMPLIANCE REQUIREMENTS:

The proposed amendment does not impose any additional compliance requirements, but merely clarifies when a student's eligibility for senior high school athletic competition may be extended for additional seasons for illness or accident.

3. PROFESSIONAL SERVICES:

The proposed amendment imposes no additional professional service requirements.

4. COMPLIANCE COSTS:

The proposed amendment does not impose any costs, but merely clarifies when a student's eligibility for senior high school athletic competition may be extended for additional seasons for illness or accident.

5. ECONOMIC AND TECHNOLOGICAL FEASIBILITY:

The proposed amendment does not impose any technological requirements or costs on school districts.

6. MINIMIZING ADVERSE IMPACT:

The proposed amendment does not impose any additional costs or compliance requirements on school districts, but merely clarifies when a student's eligibility for senior high school athletic competition may be extended for additional seasons for illness or accident. Commissioner's Regulation section 135.4(c)(7)(ii)(b)(1), establishes the parameters for participation in senior high school interschool athletic competition. The duration of competition rule limits the participation of pupils in high school athletic competition to four consecutive seasons commencing with the pupil's entry into the ninth grade and prior to graduation. A request for an extension of duration of competition for a pupil's failure to enter competition during one or more seasons may be granted, only if sufficient evidence demonstrates that the pupil's failure to enter competition during one or more seasons was directly caused by illness, accident, or similar circumstances beyond the control of the student.

Department guidance indicates that the existing language providing for an extension upon evidence that the student's participation was impacted by "similar circumstances beyond the control of the student" is limited to circumstances related to such illness or accident. However, confusion continues to exist among school districts, students and parents. This regulatory amendment is necessary to provide clarity to the field regarding the circumstances under which a duration of competition extension may be granted. The proposed amendment provides that an extension may be granted if sufficient evidence is presented to show that the pupil's failure to enter competition during one or more seasons of a sport was caused illness or accident. Such clarification is intended to ensure safe and equitable competition.

7. LOCAL GOVERNMENT PARTICIPATION:

Copies of the proposed amendment have been provided to District Superintendents with the request that they distribute them to school districts within their supervisory districts for review and comment. Copies were also provided for review and comment to the chief school officers of the five big city school districts.

***Rural Area Flexibility Analysis***

1. TYPES AND ESTIMATED NUMBER OF RURAL AREAS:

The proposed rule applies to all school districts in the State, including those located in the 44 rural counties with less than 200,000 inhabitants and the 71 towns in urban counties with a population density of 150 per square mile or less.

2. REPORTING, RECORDKEEPING AND OTHER COMPLIANCE REQUIREMENTS, AND PROFESSIONAL SERVICES:

The proposed amendment does not impose any additional reporting, recordkeeping or other compliance requirements on school districts in rural areas, but merely clarifies when a student's eligibility for senior high school athletic competition may be extended for additional seasons for illness or accident. The proposed amendment imposes no additional professional service requirements.

3. COMPLIANCE COSTS:

The proposed amendment does not impose any costs on school districts in rural areas, but merely clarifies when a student's eligibility for senior high school athletic competition may be extended for additional seasons for illness or accident.

4. MINIMIZING ADVERSE IMPACT:

The proposed amendment does not impose any additional costs or compliance requirements on school districts in rural areas, but merely clarifies when a student's eligibility for senior high school athletic competition may be extended for additional seasons for illness or accident. Commissioner's Regulation section 135.4(c)(7)(ii)(b)(1), establishes the parameters for participation in senior high school interschool athletic competition. The duration of competition rule limits the participation of pupils in high school athletic competition to four consecutive seasons commencing with the pupil's entry into the ninth grade and prior to graduation. A request for an extension of duration of competition for a pupil's failure to enter competition during one or more seasons may be granted, only if sufficient evidence demonstrates that the pupil's failure to enter competition during one or more seasons was directly caused by illness, accident, or similar circumstances beyond the control of the student.

Department guidance indicates that the existing language providing for an extension upon evidence that the student's participation was impacted by "similar circumstances beyond the control of the student" is limited to circumstances related to such illness or accident. However, confusion continues to exist among school districts, students and parents. This regulatory amendment is necessary to provide clarity to the field regarding the circumstances under which a duration of competition extension may be granted. The proposed amendment provides that an extension may be granted if sufficient evidence is presented to show that the pupil's failure to enter competition during one or more seasons of a sport was caused illness or accident. Such clarification is intended to ensure safe and equitable competition.

5. RURAL AREA PARTICIPATION:

Comments on the proposed amendment were solicited from the Department's Rural Advisory Committee, whose membership includes school districts located in rural areas.

***Job Impact Statement***

The proposed amendment merely clarifies when a student's eligibility for senior high school athletic competition may be extended for additional seasons for illness or accident. The proposed amendment will not have an adverse impact on jobs or employment opportunities. Because it is evident from the nature of the amendment that it will have no impact on jobs or employment opportunities, no further steps were needed to ascertain those facts and none were taken. Accordingly, a job impact statement is not required and one has not been prepared.

## EMERGENCY RULE MAKING

### Appeals Process on Regents Exams Passing Score for English Language Learners (ELLs)

**I.D. No.** EDU-44-14-00026-E

**Filing No.** 34

**Filing Date:** 2015-01-13

**Effective Date:** 2015-01-19

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

***Action taken:*** Amendment of section 100.5(d)(7) of Title 8 NYCRR.

***Statutory authority:*** Education Law, sections 101(not subdivided), 207(not subdivided), 208(not subdivided), 209(not subdivided), 215(not subdivided), 305(1), (2), 308(not subdivided), 309(not subdivided), 2117(1), 3204(2), (2-a), (3) and (6)

***Finding of necessity for emergency rule:*** Preservation of general welfare.

***Specific reasons underlying the finding of necessity:*** The proposed amendment would create an additional English Language Learner (ELL) specific pathway to graduation for qualifying ELL students who are otherwise eligible to graduate but for their score on the English Language Arts (ELA) Regents examination. Under the proposed amendment, ELLs who entered the United States in 9th grade or above in the 2010-11 school year and thereafter, and who score between 55-61 on the Regents Exam in

English after two attempts at attaining a score of 65 or above, are also eligible to receive a local diploma via an appeal process if they:

- Successfully appeal the Regents Exam in English AND score at least 65 on each of the four remaining required Regents exams; OR
- Successfully appeal the Regents Exam in English AND score at least 65 on three other required Regents exams AND score between 62 to 64 on one other required Regents exam and successfully appeal that exam.

The proposed amendment was adopted at the October 20-21, 2014 Regents meeting as an emergency rule, effective October 21, 2014, and has now been adopted as a permanent rule at the January 12-13, 2015 Regents meeting. Pursuant to SAPA section 203(1), the earliest effective date of the permanent rule is January 28, 2015, the date a Notice of Adoption is published in the State Register. However the emergency rule adopted at the October 2014 Regents meeting will expire on January 18, 2015. A lapse in the rule's effect date may disrupt the ability of English Language Learners (ELLs) who enter the United States in 9th grade or above in the 2010-11 school year and thereafter to graduate with a Local Diploma pursuant to an appeal process, as set forth in the proposed amendment, if they score between 55-61 on the Regents Exam in English and meet all other conditions for appeal of a Regents score. Emergency action is necessary for the preservation of the general welfare in order to ensure that the emergency rule adopted at the October 2014 Regents meeting remains continuously in effect until the effective date of the rule's adoption as a permanent rule.

***Subject:*** Appeals process on Regents exams passing score for English Language Learners (ELLs).

***Purpose:*** To allow ELLs who enter the United States in 9th grade or above in the 2010-11 school year and thereafter to graduate with a Local Diploma if they score between 55-61 on the Regents Exam in English and meet all other conditions for appeal of a Regents score.

***Text of emergency rule:*** Paragraph (7) of subdivision (d) of section 100.5 of the Regulations of the Commissioner of Education is amended, effective January 19, 2015, as follows:

(7) Appeals process on Regents examinations passing score to meet Regents diploma requirements.

(i) School districts shall provide unlimited opportunities for all students to retake required Regents examinations to improve their scores.

*(a)* A student who first enters grade nine in September 2005 or thereafter and who fails, after at least two attempts, to attain a score of 65 or above on a required Regents examination for graduation shall be given an opportunity to appeal such score in accordance with the provisions of this paragraph, provided that no student may appeal his or her score on more than two of the five required Regents examinations and provided further that the student:

[(a)] *(1)* has scored within three points of the 65 passing score on the required Regents examination under appeal and has attained at least a 65 course average in the subject area of the Regents examination under appeal;

[(b)] *(2)* provides evidence that he or she has received academic intervention services by the school in the subject area of the Regents examination under appeal;

[(c)] *(3)* has an attendance rate of at least 95 percent for the school year during which the student last took the required Regents examination under appeal;

[(d)] *(4)* has attained a course average in the subject area of the Regents examination under appeal that meets or exceeds the required passing grade by the school and is recorded on the student's official transcript with grades achieved by the student in each quarter of the school year; and

[(e)] *(5)* is recommended for an exemption to the passing score on the required Regents examination under appeal by his or her teacher or department chairperson in the subject area of such examination.

*(b) A student who first enters school in the United States (the 50 States and the District of Columbia) in grade nine, ten, eleven or twelve in September 2010 or thereafter, is identified as an English Language Leaner pursuant to Part 154 of this Title, and fails, after at least two attempts, to attain a score of 65 or above on the Regents comprehensive examination in English or the Regents examination in English language arts (common core), as required by this section for graduation, shall be given an opportunity to appeal such score in accordance with the provisions of this paragraph, provided that no such student may appeal his or her score on more than two of the five required Regents examinations and provided further that the student:*

*(1) has scored between 55 and 61 on the required Regents comprehensive examination in English or Regents examination in English language arts (common core) under appeal;*

*(2) provides evidence that he or she has received academic intervention services by the school in English language arts;*

*(3) has an attendance rate of at least 95 percent for the school year during which the student last took the required Regents comprehensive examination in English or Regents examination in English language arts (common core);*

*(4) has attained a course average in English language arts that meets or exceeds the required passing grade by the school and is recorded on the student's official transcript with grades achieved by the student in each quarter of the school year; and*

*(5) is recommended for an exemption to the passing score on the required Regents comprehensive examination in English or Regents examination in English language arts (common core) by his or her teacher or department chairperson in English language arts.*

[(ii)] *(c)* An appeal may be initiated by the student, the student's parent or guardian, or the student's teacher, and shall be submitted in a form prescribed by the commissioner to the student's school principal.

[(iii)] *(d)* The school principal shall chair a standing committee comprised of three teachers (not to include the student's teacher in the subject area of the Regents examination under appeal) and two school administrators (one of whom shall be the school principal). The standing committee shall review an appeal within 10 school days of its receipt and make a recommendation to the school superintendent or, in the City School District of the City of New York, to the chancellor of the city school district or his/her designee, to accept or deny the appeal. The standing committee may interview the teacher or department chairperson who recommended the appeal, and may also interview the student making the appeal to determine that he or she has demonstrated the knowledge and skills required under the State learning standards in the subject area in question.

[(iv)] *(e)* The school superintendent or, in the City School District of the City of New York, the chancellor of the city school district or his/her designee, shall make a final determination to accept or deny the appeal. The school superintendent or chancellor or chancellor's designee may interview the student making the appeal to determine that the student has demonstrated the knowledge and skills required under the State learning standards in the subject area in question.

[(v)] *(f)* Diplomas.

*(1)* A student whose appeal is accepted for one required Regents examination *pursuant to clause (a) of subparagraph (i) of this paragraph*, and who has attained a passing score of 65 or above on each of the four remaining required Regents examinations, shall earn a Regents diploma.

*(2)* A student whose appeal is accepted for two required Regents examinations *pursuant to clause (a) of subparagraph (i) of this paragraph*, and who has attained a passing score of 65 or above on each of the three remaining required Regent examinations, shall earn a local diploma.

*(3) A student whose appeal is accepted for the required Regents comprehensive examination in English or Regents examination in English language arts (common core) pursuant to clause (b) of subparagraph (i) of this paragraph, and who has attained a passing score of 65 or above on each of the four remaining required Regents examinations, shall earn a local diploma.*

*(4) A student whose appeal is accepted for the required Regents comprehensive examination in English or Regents examination in English language arts (common core) pursuant to clause (b) of subparagraph (i) of this paragraph and for one other required Regents examination pursuant to clause (a) of subparagraph (i) of this paragraph, and who has attained a passing score of 65 or above on each of the three remaining required Regents examinations shall earn a local diploma.*

[(vi)] *(g)* Each school shall keep a record of all appeals received and granted and report this information to the State Education Department on a form prescribed by the commissioner. All school records relating to appeals of scores on required Regents examinations shall be made available for inspection by the State Education Department.

***This notice is intended*** to serve only as a notice of emergency adoption. This agency intends to adopt the provisions of this emergency rule as a permanent rule, having previously submitted to the Department of State a notice of proposed rule making, I.D. No. EDU-44-14-00026-EP, Issue of November 5, 2014. The emergency rule will expire March 13, 2015.

***Text of rule and any required statements and analyses may be obtained from:*** Kirti Goswami, State Education Department, Office of Counsel, State Education Building, Room 148, 89 Washington Ave., Albany, NY 12234, (518) 474-6400, email: legal@nysed.gov

***Regulatory Impact Statement***

STATUTORY AUTHORITY:

Education Law section 101 continues the existence of the Education Department, with the Board of Regents at its head and the Commissioner of Education as the chief administrative officer, and charges the Department with the general management and supervision of public schools and the educational work of the State.

Education Law section 207 empowers the Regents and the Commissioner to adopt rules and regulations to carry out State laws regarding education and the functions and duties conferred on the State Education Department by law.

Education Law section 208 authorizes the Regents to establish examinations as to attainments in learning and to award and confer suitable certificates, diplomas and degrees on persons who satisfactorily meet the requirements prescribed.

Education Law section 209 authorizes the Regents to establish secondary school examinations in studies furnishing a suitable standard of graduation and of admission to colleges; to confer certificates or diplomas on students who satisfactorily pass such examinations; and requires the admission to these examinations of any person who shall conform to the rules and pay the fees prescribed by the Regents.

Education Law section 215 authorizes the Regents and the Commissioner to require school districts to prepare and submit reports containing such information as they may prescribe.

Education Law section 305(1) and (2) provide that the Commissioner, as chief executive officer of the State system of education and of the Board of Regents, shall have general supervision over all schools and institutions subject to the provisions of the Education Law, or of any statute relating to education, and execute all educational policies determined by the Regents.

Education Law section 2117(1) empowers the Regents and the Commissioner to require school districts to submit any information they deem appropriate.

Education Law section 3204(2) and (2-a) provide for instructional programs for pupils with limited English proficiency (LEP) to be conducted in accordance with regulations of the Commissioner. Education Law section 3204(3) authorizes the Commissioner to establish standards for the instruction of LEP children, and section 3204(6) requires the Commissioner to establish standards by regulation.

LEGISLATIVE OBJECTIVES:

The proposed amendment is consistent with the above statutory authority and is necessary to implement Regents policy relating to criteria for bilingual education and English as a New Language programs for students who are English Language Learners, including determining graduation requirements, in order to ensure compliance with Education Law sections 3204 and 4403, and Title I and III of the Elementary and Secondary Education Act (ESEA), Title IV of the Civil Rights Act of 1964, Equal Educational Opportunities Act of 1974 (EEOA).

NEEDS AND BENEFITS:

Federal civil rights and education laws, as well as federal court jurisprudence, require that English Language Learner (ELL) students must be provided with equal access to all school programs and services offered to non-ELL students, including access to programs required for graduation. Education Law section 3204 and Part 154 of the Commissioner's Regulations contain standards for educational services provided to ELLs in New York State to meet these federal obligations.

The proposed amendment is necessary to implement policy adopted by the Regents relating to ELL equal access to education, in order to ensure compliance with Education Law sections 3204 and 4403, and Title I and III of the Elementary and Secondary Education Act, Title IV of the Civil Rights Act of 1964, Equal Educational Opportunities Act of 1974 (EEOA).

Over the past 10 years, New York State ELL student enrollment has increased by 20%. Currently in New York State, over 230,000 ELLs make up 8.9% of the total student population. While former ELLs generally achieve graduation rates equal to or above that of all non-ELLs, the graduation rate of current ELLs lagged well below that of non-ELLs. In June 2013, only 31.4% of ELLs graduated, compared to 74.9% of all students. Many of these ELLs were students who entered school in the United States for the first time on or after grade nine.

Throughout the process that resulted in the recent Regents action to amend Part 154 to add new Subparts 154-1 and 154-2 (EDU-27-14-00011-A; State Register, October 1, 2014), stakeholders raised concerns regarding the graduation rate of ELLs. While former ELLs generally achieve graduation rates almost equal to that of all non-ELLs, the graduation rate of current ELLs lags well below that of non-ELLs. In June 2013, only 31.4% of ELLs graduated, compared to 74.9% of all students. Many of the ELLs who are not graduating on time first entered school in the United States in high school. Extensive discussion with stakeholders suggests that late arriving ELLs who are able to pass other required Regents examinations with a score of 65 and who obtain a score of at least 55 on the Regents examination in English can benefit from the opportunity to obtain postsecondary education or enter a career in the same manner as other students who may earn a diploma through the appeal process. The proposed rule will make a Local Diploma available to those ELLs who score at least 55 on the Regents examination in English after two attempts to score a 65, and meet other existing appeals requirements that apply to ELLs and non-ELLs alike.

Section 100.5(d)(7) of the Commissioner's Regulations currently allows for all students, ELLs and non-ELLs, to be eligible to apply for the Local Diploma via appeal if they:

- Score 65+ on three Regents exams; AND
- Score 62-64 on two Regents exams.

Under the proposed amendment, ELLs who entered the United States in 9th grade or above in the 2010-11 school year and thereafter, and who score between 55-61 on the Regents Exam in English after two attempts at attaining a score of 65 or above, are also eligible to receive the Local Diploma via appeal if they:

- Successfully appeal the Regents Exam in English AND score at least 65 on each of the four remaining required Regents exams; OR
- Successfully appeal the Regents Exam in English AND score at least 65 on three other required Regents exams AND score between 62 to 64 on one other required Regents exam and successfully appeal that exam.

To be eligible to appeal a score on the Regents Exam in English, ELLs would also have to meet these conditions:

- The student has received academic intervention services in English language arts; AND
- The student has an attendance rate of at least 95 percent for the school year during which the student last took the Regents examination in English; AND
- The student has attained a course average in English language arts that meets or exceeds the required passing grade by the school and is recorded on the student's official transcript with grades achieved by the student in each quarter of the school year; AND
- The student is recommended for an exemption to the passing score on the Regents examination by his or her teacher or department chairperson.

Appeals by ELLs under the proposed amendment would be reviewed by the same committee that reviews all other Regents appeals. ELL students would remain eligible for the current appeals process as well.

COSTS:

(a) Costs to State government: The proposed amendment is necessary to ensure compliance with Education Law sections 3204 and 4403, Title I and III of the Elementary and Secondary Education Act (ESEA), Title IV of the Civil Rights Act of 1964, and the Equal Educational Opportunities Act of 1974 (EEOA) and does not impose any additional costs on State government, including the State Education Department, beyond those costs imposed by the statutes.

(b) Costs to local government: The proposed amendment will not impose any significant costs on local governments. An appeals process and criteria are already in place for students who score 65+ on three Regents exam and score 62-64 on two Regents exams, and the proposed amendment would merely expand the eligibility to a limited subset of qualifying late entry ELLs who score between 55-61 on the Regents examination in English after two tries and meet all other conditions for appeal. Newly qualifying students would merely go through this existing appeals process, and the same personnel who review appeals under the current system would review the additional appeals.

Any costs associated with the processing of these additional appeals are expected to be minimal and capable of being absorbed by using existing district staff and resources. In the long term, the proposed amendment is expected to be a cost saving measure in that it will boost the graduation rate, allowing more ELLs to access higher education or enter the workforce with a high school diploma. Both of these outcomes will in turn stimulate workforce productivity and economic performance in local communities.

(c) Costs to private regulated parties: none.

(d) Costs to regulating agency for implementation and continued administration of this rule: none.

LOCAL GOVERNMENT MANDATES:

The proposed amendment does not impose any additional program, service, duty or responsibility upon school districts. An appeals process and criteria are already in place for students who score 65+ on three Regents exam and score 62-64 on two Regents exams, and the proposed amendment would merely expand the eligibility to a limited subset of qualifying late entry ELLs who score between 55-61 on the Regents examination in English after two tries and meet all other conditions for appeal. Appeals by ELLs under the proposed amendment would be reviewed by the same committee that reviews all other appeals of Regents examination scores. ELL students would remain eligible for the current appeals process as well.

PAPERWORK:

The proposed amendment will not require any additional paperwork beyond what is necessary to process a limited number of additional appeals for a local diploma from qualifying late entry ELLs who score a 55-61 on the Regents examination in English after two tries who meet other conditions for appeal. Appeals by ELLs under the proposed amendment would be subject to the existing requirement in section 100.5(d)(7) that each school keep a record of all appeals received and granted and report this information to Department on a form prescribed by the Commissioner. All school records relating to appeals of scores shall be made available for inspection by the Department.

DUPLICATION:

The proposed amendment is necessary to ensure compliance with Education Law sections 3204 and 4403, Title I and III of the ESEA, Title IV of the Civil Rights Act of 1964, and the EEOA and does not duplicate existing State or Federal requirements.

ALTERNATIVES:

There were no significant alternatives and none were considered.

FEDERAL STANDARDS:

The proposed amendment is necessary to ensure compliance with Education Law sections 3204 and 4403, Title I and III of the ESEA, Title IV of the Civil Rights Act of 1964, and the EEOA. These laws require states and school districts to provide ELL students with appropriate services to overcome language barriers. In addition, federal jurisprudence in landmark cases such as Castañeda v. Pickard established standards to ensure compliance with EEOA. For example, the Castañeda standard mandates that programs for language-minority students must be (1) based on a sound educational theory, (2) implemented effectively with sufficient resources and personnel, and (3) evaluated to determine whether they are effective in helping students overcome language barriers.

COMPLIANCE SCHEDULE:

It is anticipated that school districts and BOCES will be able to achieve compliance with the proposed amendment by its effective date. An appeals process and criteria are already in place for students who score 65+ on three Regents exam and score 62-64 on two Regents exams, and the proposed amendment would merely expand the eligibility to a limited subset of qualifying late entry ELLs who score between 55-61 on the Regents examination in English after two tries and meet all other conditions for appeal. Newly qualifying students would merely go through this existing appeals process, and the same personnel who review appeals under the current system would review the additional appeals.

***Regulatory Flexibility Analysis***

Small Businesses:

The proposed amendment relates to State learning standards, State assessments and graduation and diploma requirements, and is necessary to implement policy adopted by the Regents relating to criteria for bilingual education and English as a New Language programs for students who are English Language Learners, including determining graduation requirements, in order to ensure compliance with Education Law sections 3204 and 4403, and Title I and III of the Elementary and Secondary Education Act (ESEA), Title IV of the Civil Rights Act of 1964, Equal Educational Opportunities Act of 1974 (EEOA). The proposed amendment does not impose any adverse economic impact, reporting, record keeping or other compliance requirements on small businesses. Because it is evident from the nature of the proposed amendment that it does not affect small businesses, no further steps were needed to ascertain that fact and none were taken. Accordingly, a regulatory flexibility analysis for small businesses is not required and one has not been prepared.

Local Governments:

1. EFFECT OF RULE:

The proposed amendment applies to each of the 689 public school districts and 37 boards of cooperative educational services (BOCES) in the State.

2. COMPLIANCE REQUIREMENTS:

The proposed amendment does not impose any additional compliance requirements on local governments. An appeals process and criteria are already in place for students who score 65+ on three Regents exam and score 62-64 on two Regents exams, and the proposed amendment would merely expand the eligibility to a limited subset of qualifying late entry ELLs who score between 55-61 on the Regents examination in English after two tries and meet all other conditions for appeal. Newly qualifying students would merely go through this existing appeals process, and the same personnel who review appeals under the current system would review the additional appeals.

3. PROFESSIONAL SERVICES:

The proposed amendment does not impose any additional professional service requirements on local governments.

4. COMPLIANCE COSTS:

The proposed amendment will not impose any significant costs on school districts or BOCES. An appeals process and criteria are already in place for students who score 65+ on three Regents exam and score 62-64 on two Regents exams, and the proposed amendment would merely expand the eligibility to a limited subset of qualifying late entry ELLs who score between 55-61 on the Regents examination in English after two tries and meet all other conditions for appeal. Newly qualifying students would merely go through this existing appeals process, and the same personnel who review appeals under the current system would review the additional appeals. Any costs associated with the processing of these additional appeals are expected to be minimal and capable of being absorbed by using existing district staff and resources. The proposed amendment is expected to be a long-term cost saving measure in that it will boost the graduation rate, allowing more ELLs to access higher education or enter the workforce with a high school diploma. Both of these outcomes will in turn stimulate workforce productivity and economic performance in the state.

5. ECONOMIC AND TECHNOLOGICAL FEASIBILTY:

The proposed amendment does not impose any additional technological requirements on school districts. Economic feasibility is addressed above under compliance costs.

6. MINIMIZE ADVERSE IMPACT:

The proposed amendment implements policy adopted by the Board of Regents relating to ELL equal access to education, in order to ensure compliance with Education Law sections 3204 and 4403, and Title I and III of the Elementary and Secondary Education Act, Title IV of the Civil Rights Act of 1964, Equal Educational Opportunities Act of 1974 (EEOA).

The proposed amendment does not impose any additional compliance requirements or significant costs upon school districts. An appeals process and criteria are already in place for students who score 65+ on three Regents exam and score 62-64 on two Regents exams, and the proposed amendment would merely expand the eligibility to a limited subset of qualifying late entry ELLs who score between 55-61 on the Regents examination in English after two tries and meet all other conditions for appeal. Appeals by ELLs under the proposed amendment would be reviewed by the same committee that reviews all other appeals of Regents examination scores. ELL students would remain eligible for the current appeals process as well. Any costs associated with the processing of these additional appeals are expected to be minimal and capable of being absorbed by using existing district staff and resources. The proposed amendment is expected to be a long-term cost saving measure in that it will boost the graduation rate, allowing more ELLs to access higher education or enter the workforce with a high school diploma. Both of these outcomes will in turn stimulate workforce productivity and economic performance in the State.

Federal civil rights and education laws, as well as federal court jurisprudence, require that ELL students must be provided with equal access to all school programs and services offered to non-ELL students. Education Law section 3204 and Part 154 of the Regulations of the Commissioner (CR Part 154) contain standards for educational services provided to ELLs in New York State in order to meet these federal obligations.

Over the past 10 years, New York State ELL student enrollment has increased by 20%. Currently in New York State, over 230,000 ELLs make up 8.9% of the total student population. While former ELLs generally achieve graduation rates equal to or above that of all non-ELLs, the graduation rate of current ELLs lagged well below that of non-ELLs. In June 2013, only 31.4% of ELLs graduated, compared to 74.9% of all students. Many of these ELLs were students who entered school in the United States for the first time on or after grade nine.

Extensive discussion with stakeholders suggests that late arriving ELLs who are able to pass other required Regents examinations with a score of 65 and who obtain a score of at least 55 on the Regents examination in English can benefit from the opportunity to obtain postsecondary education or enter a career in the same manner as other students who may earn a diploma through the appeal process. The proposed amendment will expand access to the Local Diploma to this precise group of ELLs who are in a position to benefit from the opportunity to obtain postsecondary education or enter a career with a high school diploma. Because ELLs by definition are not yet fluent in English, this alternate pathway to graduation facilitates equal access to the Local Diploma. The proposed amendment minimizes the adverse impact of denying ELLs who satisfy all other conditions for appeal the ability to attain a high school diploma on account of their lack of fluency in English.

7. LOCAL GOVERNMENT PARTICIPATION:

Copies of the proposed amendment have been provided to District Superintendents with the request that they distribute them to school districts within their supervisory districts for review and comment. Copies were also provided for review and comment to the chief school officers of the five big city school districts.

8. INITIAL REVIEW OF RULE (SAPA § 207):

Pursuant to State Administrative Procedure Act section 207(1)(b), the State Education Department proposes that the initial review of this rule shall occur in the fifth calendar year after the year in which the rule is adopted, instead of in the third calendar year. The justification for a five year review period is that the proposed amendment is necessary to implement long-range Regents policy relating to improving graduation outcomes for students who are English Language Learners. Accordingly, there is no need for a shorter review period.

The Department invites public comment on the proposed five year review period for this rule. Comments should be sent to the agency contact listed in item 10. of the Notice of Proposed Rule Making published herewith, and must be received within 45 days of the State Register publication date of the Notice.

***Rural Area Flexibility Analysis***

1. TYPES AND ESTIMATED NUMBER OF RURAL AREAS:

The proposed amendment applies to all school districts and boards of

cooperative educational services (BOCES) in the State, including those located in the 44 rural counties with less than 200,000 inhabitants and the 71 towns in urban counties with a population density of 150 per square mile or less.

2. REPORTING, RECORDKEEPING AND OTHER COMPLIANCE REQUIREMENTS; AND PROFESSIONAL SERVICES:

The proposed amendment does not impose any additional reporting, recordkeeping or other compliance requirements on school districts and BOCES located in rural areas. An appeals process and criteria are already in place for students who score 65+ on three Regents exam and score 62-64 on two Regents exams, and the proposed amendment would merely expand the eligibility to a limited subset of qualifying late entry ELLs who score between 55-61 on the Regents examination in English after two tries and meet all other conditions for appeal. Newly qualifying students would merely go through this existing appeals process, and the same personnel who review appeals under the current system would review the additional appeals.

3. COMPLIANCE COSTS:

The proposed amendment will not impose any significant costs on school districts or BOCES located in rural areas. An appeals process and criteria are already in place for students who score 65+ on three Regents exam and score 62-64 on two Regents exams, and the proposed amendment would merely expand the eligibility to a limited subset of qualifying late entry ELLs who score between 55-61 on the Regents examination in English after two tries and meet all other conditions for appeal. Newly qualifying students would merely go through this existing appeals process, and the same personnel who review appeals under the current system would review the additional appeals. Any costs associated with the processing of these additional appeals are expected to be minimal and capable of being absorbed by using existing district staff and resources. The proposed amendment is expected to be a long-term cost saving measure in that it will boost the graduation rate, allowing more ELLs to access higher education or enter the workforce with a high school diploma. Both of these outcomes will in turn stimulate workforce productivity and economic performance in the State.

4. MINIMIZING ADVERSE IMPACT:

The proposed amendment implements policy adopted by the Board of Regents relating to ELL equal access to education, in order to ensure compliance with Education Law sections 3204 and 4403, and Title I and III of the Elementary and Secondary Education Act, Title IV of the Civil Rights Act of 1964, Equal Educational Opportunities Act of 1974 (EEOA).

The proposed amendment does not impose any additional compliance requirements or significant costs upon school districts or BOCES located in rural areas. An appeals process and criteria are already in place for students who score 65+ on three Regents exam and score 62-64 on two Regents exams, and the proposed amendment would merely expand the eligibility to a limited subset of qualifying late entry ELLs who score between 55-61 on the Regents examination in English after two tries and meet all other conditions for appeal. Appeals by ELLs under the proposed amendment would be reviewed by the same committee that reviews all other appeals of Regents examination scores. ELL students would remain eligible for the current appeals process as well. Any costs associated with the processing of these additional appeals are expected to be minimal and capable of being absorbed by using existing district staff and resources. The proposed amendment is expected to be a long-term cost saving measure in that it will boost the graduation rate, allowing more ELLs to access higher education or enter the workforce with a high school diploma. Both of these outcomes will in turn stimulate workforce productivity and economic performance in the State.

Federal civil rights and education laws, as well as federal court jurisprudence, require that ELL students must be provided with equal access to all school programs and services offered to non-ELL students. Education Law section 3204 and Part 154 of the Regulations of the Commissioner (CR Part 154) contain standards for educational services provided to ELLs in New York State in order to meet these federal obligations.

Over the past 10 years, New York State ELL student enrollment has increased by 20%. Currently in New York State, over 230,000 ELLs make up 8.9% of the total student population. While former ELLs generally achieve graduation rates equal to or above that of all non-ELLs, the graduation rate of current ELLs lagged well below that of non-ELLs. In June 2013, only 31.4% of ELLs graduated, compared to 74.9% of all students. Many of these ELLs were students who entered school in the United States for the first time on or after grade nine.

Extensive discussion with stakeholders suggests that late arriving ELLs who are able to pass other required Regents examinations with a score of 65 and who obtain a score of at least 55 on the Regents examination in English can benefit from the opportunity to obtain postsecondary education or enter a career in the same manner as other students who may earn a diploma through the appeal process. The proposed amendment will expand access to the Local Diploma to this precise group of ELLs who are in a position to benefit from the opportunity to obtain postsecondary education or enter a career with a high school diploma. Because ELLs by definition are not yet fluent in English, this alternate pathway to graduation facilitates equal access to the Local Diploma. The proposed amendment minimizes the adverse impact of denying ELLs who satisfy all other conditions for appeal the ability to attain a high school diploma on account of their lack of fluency in English.

The proposed amendment relates to State learning standards, State assessments and graduation and diploma requirements, and is necessary to implement policy adopted by the Regents relating to criteria for bilingual education and English as a New Language programs for students who are English Language Learners, including determining graduation requirements, in order to ensure compliance with Education Law sections 3204 and 4403, and Title I and III of the Elementary and Secondary Education Act (ESEA), Title IV of the Civil Rights Act of 1964, Equal Educational Opportunities Act of 1974 (EEOA). Because this policy is applicable throughout the State, it was not possible to provide for a lesser standard or an exemption for school districts and BOCES in rural areas.

5. RURAL AREA PARTICIPATION:

Comments on the proposed rule were solicited from the Department's Rural Advisory Committee, whose membership includes school districts located in rural areas.

6. INITIAL REVIEW OF RULE (SAPA § 207):

Pursuant to State Administrative Procedure Act section 207(1)(b), the State Education Department proposes that the initial review of this rule shall occur in the fifth calendar year after the year in which the rule is adopted, instead of in the third calendar year. The justification for a five year review period is that the proposed amendment is necessary to implement long-range Regents policy relating to improving graduation outcomes for students who are English Language Learners. Accordingly, there is no need for a shorter review period.

The Department invites public comment on the proposed five year review period for this rule. Comments should be sent to the agency contact listed in item 10. of the Notice of Proposed Rule Making published herewith, and must be received within 45 days of the State Register publication date of the Notice.

***Job Impact Statement***

The proposed amendment creates an additional English Language Learner (ELL) specific pathway to graduation for qualifying students by allowing ELLs who enter the United States in 9th grade or above in the 2010-11 school year and thereafter to graduate with a Local Diploma if they score between 55-61 on the Regents Exam in English and meet all other conditions for appeal of a Regents score.

Over the past 10 years, New York State ELL student enrollment has increased by 20%. Currently in New York State, over 230,000 ELLs make up 8.9% of the total student population. While former ELLs generally achieve graduation rates equal to or above that of all non-ELLs, the graduation rate of current ELLs lagged well below that of non-ELLs. In June 2013, only 31.4% of ELLs graduated, compared to 74.9% of all students. Many of these ELLs were students who entered school in the United States for the first time on or after grade nine.

Extensive discussion with stakeholders suggests that late arriving ELLs who are able to pass other required Regents examinations with a score of 65 and who obtain a score of at least 55 on the Regents examination in English can benefit from the opportunity to obtain postsecondary education or enter a career in the same manner as other students who may earn a diploma through the appeal process. As a result, the Department determined that it would be beneficial to consider the proposed pathway to graduation for qualifying ELLs who enter United States schools in 9th grade or above.

Commissioners Regulations Part 100 currently allows for all students, ELLs and non-ELLs, to apply for the Local Diploma via appeal if they: Score 65+ on three Regents exams; AND Score 62-64 on two Regents exams. In addition, if these rules are adopted, late arriving ELLs who enter United States schools for the first time in grade nine or above in the 2010-11 school year and thereafter would be able to use the appeal process to meet the graduation assessment requirement in English Language Arts once they take the examination at least two times and score at least 55 on the examination.

The proposed amendment relates to State learning standards, State assessments and graduation and diploma requirements, and is necessary to implement policy adopted by the Regents relating to criteria for bilingual education and English as a New Language programs for students who are English Language Learners, including determining graduation requirements, in order to ensure compliance with Education Law sections 3204 and 4403, and Title I and III of the Elementary and Secondary Education Act (ESEA), Title IV of the Civil Rights Act of 1964, Equal Educational Opportunities Act of 1974 (EEOA). The proposed amendment will not have a substantial adverse impact on jobs or employment opportunities. Because it is evident from the nature of the proposed amendment that it will have no impact, or a positive impact, on jobs or employment op-

portunities, no further steps were needed to ascertain that fact and none were taken. Accordingly, a job impact statement is not required and one has not been prepared.

## NOTICE OF ADOPTION

### New York State Common Core Learning Standards (CCLS)

**I.D. No.** EDU-44-14-00019-A

**Filing No.** 30

**Filing Date:** 2015-01-13

**Effective Date:** 2015-01-28

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

***Action taken:*** Amendment of section 100.5(g)(1)(i) of Title 8 NYCRR.

***Statutory authority:*** Education Law, sections 101(not subdivided), 207(not subdivided), 208(not subdivided), 209(not subdivided), 305(1), (2), 308(not subdivided), 309(not subdivided) and 3204(3)

***Subject:*** New York State Common Core Learning Standards (CCLS).

***Purpose:*** To provide additional opportunities for students to meet diploma requirements by passing either the Regents Comprehensive Examination in English or the Common Core ELA examination at the January 2015, June 2015 and August 2015 test administrations.

***Text or summary was published*** in the November 5, 2014 issue of the Register, I.D. No. EDU-44-14-00019-EP.

***Final rule as compared with last published rule:*** No changes.

***Text of rule and any required statements and analyses may be obtained from:*** Kirti Goswami, State Education Department, Office of Counsel, State Education Building, Room 148, 89 Washington Ave., Albany, NY 12234, (518) 474-6400, email: legal@nysed.gov

***Initial Review of Rule***

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2019, which is the 4th or 5th year after the year in which this rule is being adopted. This review period, justification for proposing same, and invitation for public comment thereon, were contained in a RFA, RAFA or JIS.

An assessment of public comment on the 4 or 5-year initial review period is not attached because no comments were received on the issue.

***Assessment of Public Comment***

Since publication of a Notice of Emergency Adoption and Proposed Rule Making in the State Register on November 5, 2014, the State Education Department received one comment on the proposed rule. The comment expressed support for the proposed rule and stated that students and educators alike need options before using the Common Core Learning Standards (English Language Arts) Assessment as it is the only method of evaluation for both students and educators. No response is necessary as the comment is supportive.

## NOTICE OF ADOPTION

### Duration of Competition in High School Athletics

**I.D. No.** EDU-44-14-00024-A

**Filing No.** 37

**Filing Date:** 2015-01-13

**Effective Date:** 2015-01-28

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

***Action taken:*** Amendment of section 135.4 of Title 8 NYCRR.

***Statutory authority:*** Education Law, sections 101(not subdivided), 207(not subdivided), 305(1), (2), 803(not subdivided), 3204(2) and (3)

***Subject:*** Duration of competition in high school athletics.

***Purpose:*** Clarifies when a student's eligibility for senior high school athletic competition may be extended for illness or accident.

***Text or summary was published*** in the November 5, 2014 issue of the Register, I.D. No. EDU-44-14-00024-EP.

***Final rule as compared with last published rule:*** No changes.

***Text of rule and any required statements and analyses may be obtained from:*** Kirti Goswami, State Education Department, Office of Counsel, State Education Building, Room 148, 89 Washington Ave., Albany, NY 12234, (518) 474-6400, email: legal@nysed.gov

***Initial Review of Rule***

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2019, which is the 4th or 5th year after the year in which this rule is being adopted. This review period, justification for proposing same, and invitation for public comment thereon, were contained in a RFA, RAFA or JIS.

An assessment of public comment on the 4 or 5-year initial review period is not attached because no comments were received on the issue.

***Assessment of Public Comment***

The agency received no public comment.

## NOTICE OF ADOPTION

### Pathways to Graduation

**I.D. No.** EDU-44-14-00025-A

**Filing No.** 31

**Filing Date:** 2015-01-13

**Effective Date:** 2015-01-28

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

***Action taken:*** Amendment of sections 100.2 and 100.5 of Title 8 NYCRR.

***Statutory authority:*** Education Law, sections 101(not subdivided), 207(not subdivided), 208(not subdivided), 209(not subdivided), 305(1), (2), 308(not subdivided), 309(not subdivided) and 3204(3)

***Subject:*** Pathways to Graduation.

***Purpose:*** To establish criteria for multiple, comparably rigorous assessment pathways for high school graduation and college and career readiness, including pathways that utilize career-focused integrated course and programs, and to prescribe new unit of credit and examination requirements for social studies.

***Text or summary was published*** in the November 5, 2014 issue of the Register, I.D. No. EDU-44-14-00025-P.

***Final rule as compared with last published rule:*** No changes.

***Text of rule and any required statements and analyses may be obtained from:*** Kirti Goswami, State Education Department, Office of Counsel, State Education Building, Room 148, 89 Washington Ave., Albany, NY 12234, (518) 474-6400, email: legal@nysed.gov

***Initial Review of Rule***

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2019, which is the 4th or 5th year after the year in which this rule is being adopted. This review period, justification for proposing same, and invitation for public comment thereon, were contained in a RFA, RAFA or JIS.

An assessment of public comment on the 4 or 5-year initial review period is not attached because no comments were received on the issue.

***Assessment of Public Comment***

Since publication of a Notice of Proposed Rule Making in the State Register on November 5, 2014, the State Education Department received the following substantive comments:

Multiple Pathways Proposal

1. COMMENT:

Support is expressed for Career and Technical Education (CTE) Pathways, but concern is also expressed that career readiness is not evident in other pathways. Consideration should be made for all pathways to have components similar to the requirements within the CTE program approval process and to begin pathway options in middle school.

DEPARTMENT RESPONSE:

The proposed CTE pathway includes career readiness components. Specific details being considered for the other proposed pathways are not yet available. It is anticipated that the Regents may consider potential amendments to regulations pertaining to students enrolled in Pathways programs.

2. COMMENT:

Supports both the development of CTE and other alternative pathways and the changes to the social studies course requirements for graduation and the Global Studies Regents exam, but urges the Department to make sure that any plan for multiple pathways to a diploma includes instructional and assessment options for all students.

DEPARTMENT RESPONSE:

The current proposal is for all students. It is expected that students pursuing this option will need instruction in the pathway to be prepared for a pathway assessment. Assessment options must be determined locally on an individual pathway basis as they are implemented.

3. COMMENT:

Support expressed for Arts Pathway.
DEPARTMENT RESPONSE:
No response is necessary as the comment is supportive.
4. COMMENT:
Support expressed for Multiple Pathways and Special Services Aid to support pathways expansion in New York City.
DEPARTMENT RESPONSE:
The Board of Regents supports State funding for pathways expansion in its 2015 State legislative priorities http://www.regents.nysed.gov/meetings/2014/October2014/1014p12d5.pdf.
5. COMMENT:
Support expressed for Pathways and a 3 + 2 option, but encouraged expanding the technical assessment list.
DEPARTMENT RESPONSE:
The 3 + 2 option was discussed by the Board of Regents but is beyond the scope of the proposed rulemaking. The Department is currently considering expansion of the list of approved technical assessments.
6. COMMENT:
Concern is expressed that the 4 + 1 model will not sufficiently increase access to graduation for the 25% of students who are not currently graduating. The Board of Regents and New York State Education Department are strongly encouraged to make access to these instructional pathways integral to the development of the new model and to ensure that all students have the opportunities to benefit from them.
DEPARTMENT RESPONSE:
The Department is working with school districts and institutions to build capacity to ensure students receive adequate preparation to take advantage of rigorous pathways. In addition, the Regents 2015-2016 State Aid Proposal requests additional funding to help expand access to and support multiple pathways for all students.
7. COMMENT:
Commenter questions whether Pathways proposal is for all students.
DEPARTMENT RESPONSE:
As described in the October 2014 Board of Regents Multiple Pathways proposal, http://www.regents.nysed.gov/meetings/2014/October2014/1014bra4.pdf, pathway and assessment options are intended for all students.
Pathways Assessments and Graduation Requirements
8. COMMENT:
General support expressed for Multiple Pathways, but the Department should consider other assessments and expand the list of approved technical assessments.
DEPARTMENT RESPONSE:
The Department is currently reviewing additional alternative assessments for the 4 + 1 option, including comparable technical assessments.
9. COMMENT:
The 13 technical assessments approved for the pathways assessment 4 + 1 option only represent 9 of the 16 Career Cluster areas recognized nationally. Questions if the other career areas will be represented in the future.
DEPARTMENT RESPONSE:
The original approved technical assessments represent an initial effort intended to support the continued efforts of local school districts and BOCES to build high quality CTE pathway programs aligned to graduation requirements. The Department is currently considering expansion of the list of approved technical assessments.
10. COMMENT:
Reduce the number of exit exams required to graduate from 5 to 3, develop a pathway that allows all students to demonstrate their knowledge and skills through State-developed and/or approved performance-based assessments in lieu of each required Regents exam. Build more flexibility into the current system by expanding access to the appeals process for all students.
DEPARTMENT RESPONSE:
The comment is beyond the scope of the proposed rulemaking. The proposed regulations are intended to update the regulations pertaining to programs and services found in Commissioner's Regulations § § 100.2 and 100.5. It is anticipated that the Regents may consider at a future time potential amendments to regulations pertaining to students enrolled in Pathways programs.
11. COMMENT:
Consider a "grandfather" clause to allow all students previously failing Global to use assessment substitution option and allow low pass score (45) for SWD in pathways assessment option.
DEPARTMENT RESPONSE:
The comment is beyond the scope of the proposed rulemaking. The proposed regulations are intended to update the regulations pertaining to programs and services found in Commissioner's Regulations § § 100.2 and 100.5. It is anticipated that the Regents may consider at a future time potential amendments to regulations pertaining to students enrolled in Pathways programs.
12. COMMENT:
Commenters question elimination of one required Social Studies (SS) Regents exam and recommend delay of 4 + 1 option to 2018 after revision to SS exam. Commenters also encourage Board of Regents to support students taking both SS exams then choose a pathway. Commenters ask if pathways will change requirements for Advanced Diploma.
DEPARTMENT RESPONSE:
If the proposed regulations are approved by the Board of Regents, guidance will be created and released by the Department.
13. COMMENT:
Commenter suggests the use of high school exit exams as a barrier to graduation needs to be fundamentally rethought, and recommends the Board of Regents form a working group to recommend flexible, multiple-measure graduation criteria.
DEPARTMENT RESPONSE:
The comment is beyond the scope of the proposed rulemaking. The proposed regulations are intended to update the regulations pertaining to programs and services found in Commissioner's Regulations § § 100.2 and 100.5. It is anticipated that the Regents may consider at a future time potential amendments to regulations pertaining to students enrolled in Pathways programs.
14. COMMENT:
Commenter is against all standardized assessment.
DEPARTMENT RESPONSE:
The comment is beyond the scope of the proposed rulemaking. The proposed regulations are intended to update the provisions pertaining to programs and services found in Commissioner's Regulations § § 100.2 and 100.5.
Requirements for Pathways
15. COMMENT:
General support expressed for CTE Pathway, but school districts must be stopped from imposing "caps" on the number of students that are allowed to participate in CTE programs.
DEPARTMENT RESPONSE:
The comment is beyond the scope of the proposed rulemaking. However, the Department is committed to working with school districts towards ensuring that all students have access to prepare them for college, career and citizenship readiness.
16. COMMENT:
Support expressed for Multiple Pathways, and financial education and work-based learning experiences should be required for all students.
DEPARTMENT RESPONSE:
If the proposed regulations are approved by the Board of Regents, guidance will be created and released by the Department.
17. COMMENT:
Require all students to take Career and Financial Management (CFM) course.
DEPARTMENT RESPONSE:
CFM course content is currently a requirement of all CTE approved programs. The current proposal indicates CTE pathways must contain approved programs. No details are available for the other proposed pathways at this time. If the proposed regulations are approved by the Board of Regents, guidance will be created and released by the Department.
18. COMMENT:
Require increased role of academic teachers in CTE programs as well as state funding to support program expansion.
DEPARTMENT RESPONSE:
Regulations currently allow participation of academic teachers in CTE programs based on program content and teacher certification. The Board of Regents supports State funding for pathways in its 2015 State legislative priorities http://www.regents.nysed.gov/meetings/2014/October2014/1014p12d5.pdf.
19. COMMENT:
More information needed on pathways for all stakeholders including students and parents. Additionally SED must provide guidance to the field.
DEPARTMENT RESPONSE:
If the proposed regulations are approved by the Board of Regents, guidance will be created and released by the Department.
20. COMMENT:
STEM pathway must address engineering and technology not just math and science.
DEPARTMENT RESPONSE:
The comment is beyond the scope of the proposed rulemaking. Curriculum requirements for pathways are determined at the local level. Pathway assessments options will be considered for engineering and technology if appropriate and comparably rigorous assessment options exist.
21. COMMENT:
Review existing CTE teacher certification pathways and create a new pathway specifically for business/industry persons.
DEPARTMENT RESPONSE:

The comment is beyond the scope of the proposed rulemaking. However, it is anticipated that the Department may review existing CTE certification options and may recommend changes to CTE teacher certification in the future.

22. COMMENT:

Requests additional guidance to:

(i) Address the reality of lost instructional time for social studies at the elementary level.

(ii) Study the impact that eliminating the state assessments in Grade 5 and Grade 8 has had on student achievement by high school.

(ii) Revise Regents Examinations to truly reflect historical thinking practices as described in the Social Studies K-12 Framework and the C3 Inquiry Arc.

(iv) Clarify the description of "multiple pathways", since it has generated extensive confusion among the field.

DEPARTMENT RESPONSE:

If the proposed regulations are approved by the Board of Regents, guidance will be created and released by the Department.

## NOTICE OF ADOPTION

### Appeals Process on Regents Exams Passing Score for English Language Learners (ELLs)

**I.D. No.** EDU-44-14-00026-A

**Filing No.** 35

**Filing Date:** 2015-01-13

**Effective Date:** 2015-01-28

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

***Action taken:*** Amendment of section 100.5(d)(7) of Title 8 NYCRR.

***Statutory authority:*** Education Law, sections 101(not subdivided), 207(not subdivided), 208(not subdivided), 209(not subdivided), 215(not subdivided), 305(1), (2), 308(not subdivided), 309(not subdivided), 2117(1), 3204(2), (2-a), (3) and (6)

***Subject:*** Appeals process on Regents exams passing score for English Language Learners (ELLs).

***Purpose:*** To allow ELLs who enter the United States in 9th grade or above in the 2010-11 school year and thereafter to graduate with a Local Diploma if they score between 55-61 on the Regents Exam in English and meet all other conditions for appeal of a Regents score.

***Text or summary was published*** in the November 5, 2014 issue of the Register, I.D. No. EDU-44-14-00026-EP.

***Final rule as compared with last published rule:*** No changes.

***Text of rule and any required statements and analyses may be obtained from:*** Kirti Goswami, State Education Department, Office of Counsel, State Education Building, Room 148, 89 Washington Ave., Albany, NY 12234, (518) 474-6400, email: legal@nysed.gov

***Initial Review of Rule***

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2019, which is the 4th or 5th year after the year in which this rule is being adopted. This review period, justification for proposing same, and invitation for public comment thereon, were contained in a RFA, RAFA or JIS.

An assessment of public comment on the 4 or 5-year initial review period is not attached because no comments were received on the issue.

***Assessment of Public Comment***

Since publication of a Notice of Emergency Adoption and Proposed Rule Making in the State Register on November 5, 2014, the State Education Department received the following comments:

1. COMMENT:

Recommends that the proposed amendment apply to all English Language Learners (ELLs), regardless of the date they arrived in the United States. In particular, recommends that the proposed amendment apply to ELLs who arrive in the United States during middle school, because research suggests that students often require more than four years to develop English language skills. Also, many new immigrant students arrive late in the school year, in May or June, and ELLs who arrive late in their eighth grade year should not be excluded.

DEPARTMENT RESPONSE:

The proposed amendment is targeted specifically to those late arriving ELLs who are able to pass other required Regents examinations with a score of 65 and who obtain a score of at least 55 on the Regents examination in English. Extensive discussion with stakeholders suggests that this specific category of ELLs is able to benefit from the opportunity to obtain postsecondary education or enter a career in the same manner as other students who may earn a diploma through the appeal process. While we recognize that there will be immigrant students who arrive shortly before the cut-off for eligibility to receive a local diploma through the appeals process, that would be true no matter where the line is drawn, and those students will have the benefit of a full year of ninth grade instruction.

2. COMMENT:

Recommends that the proposed amendment apply to all ELLs who entered high school in 2009 and thereafter, so that current fifth and sixth-year ELLs may benefit from the proposal.

DEPARTMENT RESPONSE:

The Department will consider this recommendation for future rulemaking and guidance.

3. COMMENT:

Recommends the expansion of access to the appeal process for all students.

DEPARTMENT RESPONSE:

As described above, the proposed amendment is targeted specifically to late arriving ELLs who are able to pass other required Regents examinations with a score of 65 and who obtain a score of at least 55 on the Regents examination in English. Extensive discussion with stakeholders suggests that this specific category of ELLs is able to benefit from the opportunity to obtain postsecondary education or enter a career in the same manner as other students who may earn a diploma through the appeal process.

4. COMMENT:

Recommends revising the proposed amendment to make clear that it is available to all ELLs, including those who meet graduation assessment requirements through any available alternative pathway (such as, performance based and other alternative assessments). As currently drafted, the proposed amendment could be interpreted as applying only to students who take all five Regents Exams.

DEPARTMENT RESPONSE:

The intent of the proposed amendment is not to exclude those ELLs who meet graduation assessment requirements through available alternative pathways. The Department will issue guidance to clarify that ELLS who satisfy one or more graduation requirement via an alternate pathway and who satisfy all other requirements of the proposed amendment may also earn a Local Diploma via appeal.

5. COMMENT:

Recommends reduction of the attendance requirement to qualify for the appeal procedure set forth in the proposed amendment to 90 percent, because a 95 percent attendance rate is unduly onerous and does not take into account illness or other life circumstances that may prevent a student's attendance at school.

DEPARTMENT RESPONSE:

The requirement of a 95% attendance rate conforms to existing requirements for all students to access the appeal process. The intent of the proposed amendment is merely to make a Local Diploma via appeal available to qualifying late arriving ELLs, not to change the underlying requirements of the appeal process for any student.

6. COMMENT:

Recommends that days missed for mandated immigration court appearances are not counted toward the 95 percent attendance requirement.

DEPARTMENT RESPONSE:

Commissioner's Regulation section 100.4(i) directs each school district to adopt a comprehensive attendance policy that, among other things, specifies which pupil absences, tardiness, and extended departures shall be excused and unexcused. It is not the intent of the proposed amendment to change the requirements of Commissioner's Regulation section 100.4(i) by dictating what kinds of absences are excused and what kinds of absences are unexcused.

7. COMMENT:

Recommends reduction of the number of required attempts to score a 65 or above on the Regents Exam in English from two to one, because requiring two attempts creates incentives for students to spend time and resources on test preparation rather than learning new material and students may feel discouraged and drop out altogether after the first attempt.

DEPARTMENT RESPONSE:

The requirement of two attempts to score a 65 or above on the Regents Exam in English conforms to existing requirements for all students to access the appeal process. The intent of the proposed amendment is merely to make a Local Diploma via appeal available to qualifying late arriving ELLs, not to change the underlying requirements of the appeal process for any student.

8. COMMENT:

Making available the Local Diploma via appeal does not go far enough in establishing meaningful alternatives for students who cannot adequately demonstrate their knowledge and skills on standardized tests, but who can demonstrate proficiency via other rigorous forms of assessment. Recommends reducing the number of exit exams required to graduate from five to three.

DEPARTMENT RESPONSE:

This comment is beyond the scope of the proposed amendment. The intent of the proposed amendment is to make a Local Diploma via appeal available to qualifying late arriving ELLs, not to change the underlying graduation requirements by reducing the total number of mandated exit exams from five to three.

9. COMMENT:

Recommends development of a pathway that allows all students to demonstrate their knowledge and skills through a State-developed and/or approved performance-based assessment in lieu of each required exit exam.

DEPARTMENT RESPONSE:

This comment is beyond the scope of the proposed amendment. The intent of the proposed amendment is to make a Local Diploma via appeal available to qualifying late arriving ELLs, not to change the underlying graduation requirements by developing additional pathways for graduation such as performance-based assessments in lieu of required exit exams. However, the Department will take this recommendation under advisement for possible future rulemaking.

10. COMMENT:

Opposes the proposed amendment, and recommends that the Regents Exam in English should remain a requirement for all ELLs, except those who are classified as special education and unable to achieve proficiency in their native language. Commenter argues that the proposed amendment waters down the use of English as a national language and sets a precedent for bilingual education, which is discriminatory toward speakers of all other non-English languages.

DEPARTMENT RESPONSE:

The Department disagrees. The Regents Exam in English remains a graduation requirement for ELLs, and the proposed amendment merely extends to qualifying late arriving ELLs the ability to earn a Local Diploma via appeal. Furthermore, bilingual education is not limited to any particular language and is not discriminatory toward any speakers of non-English languages. In fact, under Section 154-1.3(g) of the Commissioner's Regulations, school districts with 20 or more ELL students with the same native language are legally mandated to provide bilingual education in all languages in which that population threshold is met.

## NOTICE OF ADOPTION

### Elementary and Secondary Education Act (ESEA) Flexibility and School and School District Accountability

**I.D. No.** EDU-44-14-00027-A

**Filing No.** 33

**Filing Date:** 2015-01-13

**Effective Date:** 2015-01-28

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

***Action taken:*** Amendment of sections 100.4 and 100.18 of Title 8 NYCRR.

***Statutory authority:*** Education Law, sections 101(not subdivided), 207(not subdivided), 208(not subdivided), 209(not subdivided), 210(not subdivided), 215(not subdivided), 305(1), (2), (20), 308(not subdivided), 309(not subdivided), 3204(3), 3713(1) and (2)

***Subject:*** Elementary and Secondary Education Act (ESEA) Flexibility and school and school district accountability.

***Purpose:*** To provide flexibility to LEAs in the administration of Regents mathematics examinations (Common Core) students in grades 7-8.

***Text or summary was published*** in the November 5, 2014 issue of the Register, I.D. No. EDU-44-14-00027-P.

***Final rule as compared with last published rule:*** No changes.

***Text of rule and any required statements and analyses may be obtained from:*** Kirti Goswami, State Education Department, Office of Counsel, State Education Building, Room 148, 89 Washington Ave., Albany, NY 12234, (518) 474-6400, email: legal@nysed.gov

***Initial Review of Rule***

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2019, which is the 4th or 5th year after the year in which this rule is being adopted. This review period, justification for proposing same, and invitation for public comment thereon, were contained in a RFA, RAFA or JIS.

An assessment of public comment on the 4 or 5-year initial review period is not attached because no comments were received on the issue.

***Assessment of Public Comment***

The agency received no public comment.

## PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

### Use of Department Facilities in the Cultural Education Center

**I.D. No.** EDU-04-15-00007-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

***Proposed Action:*** Amendment of section 230.2 of Title 8 NYCRR.

***Statutory authority:*** Education Law, sections 101(not subdivided), 207(not subdivided), 305(1), (2), (6) and (20)

***Subject:*** Use of Department Facilities in the Cultural Education Center.

***Purpose:*** To prescribe standards for the use of Cultural Education Center facilities.

***Text of proposed rule:*** Section 230.2 of the Regulations of the Commissioner of Education is amended, effective April 29, 2015, as follows:

§ 230.2 Use of [the museum] *Department* facilities in the Cultural Education Center.

(a) When not required to serve the program needs of the Education Department, the facilities of the [New York State Museum in the] *Office of Cultural Education in the* Cultural Education Center, including but not limited to the student center, meeting rooms and [auditorium] *auditoriums*, may be made available for general public and private use in accordance with the limitations and requirements of this section.

(b) The [museum] facilities may not be used for the presentation of any programs that are religious, political or commercial, or at which attendance is exclusive, except that attendance at meetings under the control of institutions in the University of the State of New York may be exclusive.

(c) Fees. Each person, association, organization or corporation permitted the use of the [museum] facilities shall pay for all costs resulting from such use. Each such person, association, organization or corporation, except a State agency, shall provide liability and property damage insurance.

(d) The Education Department reserves the right to require the use of as many building guards for an event as it deems necessary to provide adequate audience safety.

***Text of proposed rule and any required statements and analyses may be obtained from:*** Kirti Goswami, State Education Building, Office of Counsel, State Education Building, Room 148, 89 Washington Ave., Albany, NY 12234, (518) 474-6400, email: legal@mail.nysed.gov

***Data, views or arguments may be submitted to:*** Same as above.

***Public comment will be received until:*** 45 days after publication of this notice.

***This rule was not under consideration at the time this agency submitted its Regulatory Agenda for publication in the Register.***

***Regulatory Impact Statement***

1. STATUTORY AUTHORITY:

Education Law section 101 continues the existence of the Education Department, with the Board of Regents at its head and the Commissioner of Education as the chief administrative officer, and charges the Department with the general management and supervision of public schools and the educational work of the State.

Education Law section 207 empowers the Board of Regents and the Commissioner to adopt rules and regulations to carry out laws of the State regarding education and the functions and duties conferred on the Department by law.

Education Law section 305(1) and (2) provide that the Commissioner, as chief executive officer of the State system of education and of the Board of Regents, shall have general supervision over all schools and institutions subject to the provisions of the Education Law, or of any statute relating to education, and shall execute all educational policies determined by the Board of Regents. Education Law section 305(6), in applicable part, vests in the Commissioner responsibility for property in charge of the Regents and for the proper administration of the various divisions of the Education Department.

2. LEGISLATIVE OBJECTIVES:

The proposed amendment is consistent with the above statutory authority and is necessary to clarify requirements governing the availability of Cultural Education Center facilities for general public and private use.

3. NEEDS AND BENEFITS:

Section 230.2 sets forth requirements governing the availability of Cultural Education Center (CEC) facilities for general public and private use, when not required to serve the program needs of the State Education Department. The section currently refers only to the use of museum facilities within the CEC. The proposed amendment needs to be updated to reflect current availability and use practices relating to all facilities in the CEC.

4. COSTS:
(a) Costs to State government: None.
(b) Costs to local government: None.
(c) Costs to private regulated parties: None.
(d) Costs to regulating agency for implementation and continued administration of this rule: None.
The proposed amendment will not impose any costs on the State, local governments, private regulated parties or the State Education Department. The proposed amendment merely updates the requirements governing the availability of Cultural Education Center facilities for general public and private use to include all CEC facilities, and not only museum facilities.
5. LOCAL GOVERNMENT MANDATES:
The proposed amendment does not impose any program, service, duty or responsibility upon any county, city, town, village, school district, fire district or other special district. The proposed amendment merely updates the requirements governing the availability of Cultural Education Center facilities for general public and private use to include all CEC facilities, and not only museum facilities.
6. PAPERWORK:
The proposed amendment does not impose any additional paperwork or recordkeeping requirements. The proposed amendment merely updates the requirements governing the availability of Cultural Education Center facilities for general public and private use to include all CEC facilities, and not only museum facilities.
7. DUPLICATION:
The proposed amendment does not duplicate existing State or federal requirements.
8. ALTERNATIVES:
The proposed amendment merely updates the requirements governing the availability of Cultural Education Center facilities for general public and private use to include all CEC facilities, and not only museum facilities. There are no significant alternatives to the proposed amendment and none were considered.
9. FEDERAL STANDARDS:
There are no related federal standards in this area.
10. COMPLIANCE SCHEDULE:
The proposed amendment will not impose any compliance requirements or costs on the State, local governments, private regulated parties or the State Education Department. The proposed amendment merely updates the regulation to reflect current practices concerning the requirements governing the availability of Cultural Education Center facilities for general public and private use, to include all CEC facilities and not only museum facilities. Therefore, there is no need to state an estimated time for regulated parties to achieve compliance with the proposed amendment.

***Regulatory Flexibility Analysis***

The proposed amendment relates to requirements governing the availability of Cultural Education Center facilities for general public and private use. The Cultural Education Center is located in the Empire State Plaza, Albany, NY.
The proposed amendment will not impose any compliance requirements or costs, or have any adverse economic impact, on small businesses or local governments. Because it is evident from the nature of the proposed amendment that it will not adversely affect small businesses or local governments, no affirmative steps were needed to ascertain that fact and none were taken. Accordingly, a regulatory flexibility analysis for small businesses and local governments is not required, and one has not been prepared.

***Rural Area Flexibility Analysis***

The proposed amendment relates to requirements governing the availability of Cultural Education Center facilities for general public and private use. The Cultural Education Center is located in the Empire State Plaza, Albany, NY.
The proposed amendment will not have an adverse impact on rural areas or impose reporting, recordkeeping or other compliance requirements on public or private entities in rural areas. Because it is evident from the nature of the proposed amendment that it does not affect rural areas or public or private entities in rural areas, no further measures were needed to ascertain that fact and none were taken. Accordingly, a rural area flexibility analysis is not required and one has not been prepared.

***Job Impact Statement***

The proposed amendment relates to requirements governing the availability of Cultural Education Center facilities for general public and private use. The Cultural Education Center is located in the Empire State Plaza, Albany, NY.
The proposed amendment will not have an adverse impact on jobs or employment opportunities. Because it is evident from the nature of the proposed amendment that it will have no impact on jobs or employment opportunities, no further steps were needed to ascertain those facts and none were taken. Accordingly, a job impact statement is not required and one has not been prepared.

# State Board of Elections

## EMERGENCY RULE MAKING

### Independent Expenditure Disclosure

**I.D. No.** SBE-04-15-00003-E
**Filing No.** 21
**Filing Date:** 2015-01-08
**Effective Date:** 2015-01-08

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

***Action taken:*** Repeal of section 6200.10; and addition of new section 6200.10 to Title 9 NYCRR.

***Statutory authority:*** L. 2014, ch. 55

***Finding of necessity for emergency rule:*** Preservation of general welfare.

***Specific reasons underlying the finding of necessity:*** The Commissioners determined that it is necessary for the preservation of the general welfare that this amendment be adopted on an emergency basis as authorized by section 202(6) of the State Administrative Procedure Act, effective immediately upon filing with the Department of State. This amendment is adopted as an emergency measure because time is of the essence and to adopt the regulation in the normal course of business would be contrary to the public interest as a necessary change in the agency's regulations would not be effective for the June 1, 2014 effective date.
The General Government Budget Bill (Chapter 55 of the laws of 2014) created the new independent expenditure disclosure requirements.

***Subject:*** Independent Expenditure Disclosure.

***Purpose:*** The purpose of this law is to set forth the requirements for Independent Expenditure Committees to disclose financial activity.

***Substance of emergency rule:*** Chapter 55 of the Laws of 2014 increased the disclosure and reporting requirements for independent expenditure committees. The purpose of this regulation is to set forth the requirements to achieve compliance of reporting and disclosure requirements by Independent Expenditure Committees.

***This notice is intended*** to serve only as an emergency adoption, to be valid for 90 days or less. This rule expires April 7, 2015.

***Text of rule and any required statements and analyses may be obtained from:*** Cheryl Couser, New York State Board of Elections, 40 N. Pearl Street, Suite 5, Albany, NY 12207, (518) 474-2063, email: Cheryl.Couser@elections.ny.gov

***Regulatory Impact Statement***

1. Statutory authority: Chapter 55 of the Laws of 2014.
2. Legislative objectives: The SFY 2014-2015 New York State Budget set forth new requirements for the increased disclosure of Independent Expenditure activity.
3. Needs and benefits: The New York State Election Law mandates how financial activity, including independent expenditures, is to be disclosed. Article 14 of the Election law sets forth the requirement that independent expenditures be disclosed through the filing of campaign financial disclosure reports.
Chapter 55 of the Laws of 2014 set forth definitions on what an independent expenditure is and how they are to be disclosed in order to promote public transparency of political activity. The effective date of this law was June 1, 2014.
4. Costs: Regulated parties should incur minimal costs for additional compliance requirements. Those entities that engage in certain independent expenditure activities have been required to register and report with the New York State Board of Elections. Chapter 55 of the Laws of 2014 requires an increased level of record keeping and reporting.
5. Local government mandates: There are no additional responsibilities imposed by this rule upon any county, city, town, village, school district, fire district or other special district.
6. Paperwork: This rule requires Committees to make additional electronic disclosures for any contribution received over $1,000 or any expenditure made over $5,000 within certain set time frames. This could include 24 hour disclosures of activity or weekly disclosure of such activity.
In addition, for any Independent Expenditure communication which cost more than $1,000 in the aggregate are required to include attribution on the communication. Such attribution would include the name of the

person who paid for the Independent Expenditure and a statement that the communication was not expressly authorized or requested by any candidate or by any candidate's political committee or its agents.

Lastly, a copy of all political communications paid for by an Independent Expenditure Committee must be submitted to the NYSBOE.

7. Duplication: The Federal Elections Commission and the New York City Campaign Finance Board have other legal requirements that may duplicate, overlap or conflict with the rule. At the time of publication, the Board has not undertaken efforts to resolve or minimize the impact of any duplication, overlap or conflict on regulated persons, including but not limited to seeking waivers or amendments of or exemptions from such other rules or legal requirements, or entering into a memorandum of understanding or other agreement regarding same.

8. Alternatives: As the provisions of this law were enacted as part of the SFY 2014-15 budget, the Board did not consider alternative proposals. However, the Board did request public comment on the proposed rule on its website since May 2014. Public comment is still being accepted.

9. Federal standards: Not applicable.

10. Compliance schedule: This provision of law was effective June 1, 2014. NYSBOE provided several webinars in May and provided guidance materials via our website to enable regulated persons to achieve compliance with the rule.

***Regulatory Flexibility Analysis***

1. Effect of rule: There is no impact on local governments due to this rule. This rule will have a minimal impact on small businesses. Should a small business engage in independent expenditures, they would already be required to register and report activity to the Board.

2. Compliance requirements: If a small business were to engage in independent expenditures, they would have to register with the NYSBOE as a political committee. In addition, they would have to maintain books of related financial activity and make required disclosures to the Board of such activity. This rule does not impact local government.

3. Professional services: A small business that engages in independent expenditures may acquire accounting services to maintain and report activity to comply with this rule.

4. Compliance costs: It is unclear as to the initial capital costs that will be incurred by a regulated business or industry to comply with the rule. A regulated business may hire a staff accountant or services to comply.

5. Economic and technological feasibility: Our assessment of the economic and technological feasibility of compliance with such rule by small businesses and local governments would be that a computer is necessary to make required disclosures.

6. Minimizing adverse impact: The rule was not designed to minimize any adverse economic impact the rule may have on small businesses. There is no impact on local governments.

7. Small business and local government participation: Although this is an emergency rule, the NYSBOE has solicited and will continue to receive and consider public comment. This would include comments that may suggest alternatives to minimize the impact on small businesses.

8. (IF APPLICABLE) For rules that either establish or modify a violation or penalties associated with a violation: The rule text does not include a cure period or other opportunity for ameliorative action, the successful completion of which will prevent the imposition of penalties on the party or parties subject to enforcement, as the underlying statute, Chapter 55 of the Laws of 2014, did not authorize such a cure period.

9. (IF APPLICABLE) Initial review of the rule, pursuant to SAPA § 207 as amended by L. 2012,ch. 462: Not applicable.

***Rural Area Flexibility Analysis***

1. Types and estimated numbers of rural areas: This rule has a statewide impact. Any entity which engages in independent expenditure activity, over a $1,000 threshold, will have to register and report to the NYSBOE. This rule does not impact local government.

2. Reporting, recordkeeping and other compliance requirements; and professional services: Entities that engage in independent expenditures activity will have to open and maintain a bank account, maintain books for a period of five years, and make a variety of disclosure reports depending on their activity. Disclosure reports range from 24 hour disclosures, weekly disclosures, periodic and election cycle disclosure reports, as applicable. Accounting services may be needed to comply although many entities will absorb this function in house. A computer is needed to comply with disclosure requirements of this rule.

3. Costs: Undetermined.

4. Minimizing adverse impact: This rule was not designed to minimize any adverse impact on rural areas, however, only entities that engage in such activity are captured.

5. Rural area participation: NYSBOE has solicited and is accepting public comment on for impacted entities to participate in the rule making process to minimize cost or complexity.

6. (IF APPLICABLE) Initial review of the rule, pursuant to SAPA § 207 as amended by L. 2012,ch. 462: Not Applicable.

***Job Impact Statement***

1. Nature of impact: This rule should have a minimal impact on jobs as it amends existing disclosure requirements for independent expenditures by political committees. Prior to this rule, Committees have had to register and disclose independent expenditure activity with the Board.

2. Categories and numbers affected: This rule will impact Committees which engage in independent expenditure activity. It may create employment opportunities due to increased recording keeping and reporting requirements. Approximate numbers of employment opportunities have not been determined.

3. Regions of adverse impact: This rule has a statewide impact but would not have an adverse impact on jobs or employment opportunities.

4. Minimizing adverse impact: The Board has not taken any measures to minimize adverse impacts on existing jobs or to promote the development of new employment opportunities. The Board has not determined that this rule would have an adverse impact on jobs.

5. (IF APPLICABLE) Self-employment opportunities: Not applicable.

6. (IF APPLICABLE) Initial review of the rule, pursuant to SAPA § 207 as amended by L. 2012, ch. 462: Not applicable.

***Assessment of Public Comment***

The New York State Board of Elections has received public comment from the following:

- Citizen's Union
- Family Planning Advocates of New York State
- League of Women Voters
- Anonymous Individual

# Department of Environmental Conservation

## PROPOSED RULE MAKING
## NO HEARING(S) SCHEDULED

**Regulations Governing the Recreational Harvest of Winter Flounder**

**I.D. No.** ENV-04-15-00006-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

***Proposed Action:*** Amendment of Part 40 of Title 6 NYCRR.

***Statutory authority:*** Environmental Conservation Law, sections 11-0303, 13-0105 and 13-0340-c

***Subject:*** Regulations governing the recreational harvest of winter flounder.

***Purpose:*** Extend the recreational winter flounder fishing open season from April 1 - May 30 to March 1 - December 31.

***Text of proposed rule:*** Existing subdivision 40.1 (f) of 6 NYCRR is amended to read as follows:

Species Striped bass through Bluefish remain the same. Species Winter flounder is amended to read as follows:

40.1(f) Table A – Recreational Fishing.

| Species | Open Season | Minimum Length | Possession Limit |
|---|---|---|---|
| Winter flounder | [April 1 – May 30] *March 1 – Dec. 31* | 12" TL | 2 |

Species Scup (porgy) through Oyster toadfish remain the same.

***Text of proposed rule and any required statements and analyses may be obtained from:*** Stephen Heins, New York State Department of Environmental Conservation, 205 North Belle Mead Road, Suite 1, East Setauket, NY 11733, (631) 444-0435, email: steve.heins@dec.ny.gov

***Data, views or arguments may be submitted to:*** Same as above.

***Public comment will be received until:*** 45 days after publication of this notice.

***Additional matter required by statute:*** Pursuant to the State Environmental Quality Review Act, a negative declaration is on file with the Department.

***Regulatory Impact Statement***

1. Statutory authority:

Environmental Conservation Law (ECL) sections 11-0303, 13-0105, and 13-0340-c authorize the Department of Environmental Conservation

(DEC or the department) to establish by regulation the open season, size, catch limits, possession and sale restrictions and manner of taking for winter flounder.

2. Legislative objectives:

It is the objective of the above-cited legislation that DEC manages marine fisheries to optimize resource use for commercial and recreational harvesters consistent with marine fisheries conservation and management policies, and interstate fishery management plans.

3. Needs and benefits:

These regulations are necessary for New York to maximize winter flounder fishing opportunities for its marine recreational anglers while remaining in compliance with the Interstate Fishery Management Plan (FMP) adopted by the Atlantic States Marine Fisheries Commission (ASMFC). The proposed rule will extend the current 60 day open season (April 1 – May 30) to 306 days (March 1 – December 31) without altering the current 12 inch minimum size limit or the 2 fish possession limit. This regulatory change will provide New York marine recreational anglers with similar access to winter flounder as anglers in NY's neighboring states of Rhode Island, Connecticut and New Jersey. The proposed season will provide additional fishing opportunities during periods of the year when there are few other species to fish for. It is hoped that these relaxed regulations will increase interest and fishing activity, resulting in economic benefits to a number of different types of associated businesses.

4. Costs:

There are no new costs to state and local governments from this action. The department will incur limited costs associated with both the implementation and administration of these rules, including the costs relating to notifying recreational harvesters, party and charter boat operators and other recreational support industries of the new rules.

5. Local government mandates:

None.

6. Paperwork:

None.

7. Duplication:

None.

8. Alternatives:

A moratorium or other more restrictive measures on the harvest of winter flounder: Some stakeholders have said that the winter flounder fishery should be closed or more restrictive than it is currently managed to eliminate fishing mortality on these fish. However, neighboring states have already decided to extend the winter flounder season. This alternative was rejected because such a closure would deny New York State anglers fishing opportunities made available to anglers in neighboring states and because a closure may adversely impact the incomes of New York State recreational fishery businesses.

"No action" alternative or status quo: Under this alternative New York State winter flounder regulations would remain at the current season of April 1 through May 30. This alternative is not projected to impact fishing mortality in any manner. This alternative was rejected because the current winter flounder season is shorter than the winter flounder seasons set by neighboring states. New York State anglers would be denied fishing opportunities made available to anglers in neighboring states.

Extend the season to shorter period than the proposed March through December: Under the ASMFC season extension, New York State can extend its fishing season from 60 days up to 306 days, between the dates March 1 and December 31. A proposed season shorter than the proposed 306 day season allowed by ASMFC could provide some conservation benefit to the winter flounder stock, particularly those sub-populations that are resident in New York's bays. For example, the season could be closed during times when winter flounder aggregate in June and November-December. As above, this alternative was rejected because such a season is shorter than the winter flounder seasons set by neighboring states.

9. Federal standards:

The amendments to Part 40 are in compliance with the ASMFC and Regional Fishery Management Council FMPs.

10. Compliance schedule:

The proposed rule will extend the recreational fishing season for winter flounder. Regulated persons will be notified by mail, press release, and DEC's website of the changes to the winter flounder regulations. Regulated persons will be able to achieve compliance with the rule as soon as it is adopted and in effect.

***Regulatory Flexibility Analysis***

1. Effect of rule:

The Atlantic States Marine Fisheries Commission (ASMFC) adopted a significantly expanded recreational fishing season for winter flounder in February 2014. New York State can adopt this 306 day season (March 1-December 31) or one more restrictive. The current regulations in place are far more restrictive with only a 60-day fishing season (April 1-May 30); this proposed rule represents a considerable relaxation of current regulations and increased opportunity for marine recreational anglers and associated businesses (party and charter [for-hire] boats, bait and tackle sales, gas docks, and marinas). Neither the current minimum size limit of 12 inches nor the possession limit of 2 fish will change. The adoption of the proposed rule will provide New York State recreational anglers and fishing associated businesses with parity with those in neighboring states where the longer season has already been adopted.

2. Compliance requirements:

The rule does not impose any reporting or recordkeeping requirements for small businesses or local governments.

3. Professional services:

None.

4. Compliance costs:

Associated businesses may experience some economic benefits. Increasing fishing pressure on already depressed stocks of inshore winter flounder may impact their recovery and bear a long term cost for those that wish to fish on them.

5. Economic and technological feasibility:

There is no additional technology required for small businesses, and this action does not apply to local governments; there are no negative economic or technological impacts for either.

6. Minimizing adverse impact:

The promulgation of this regulation is necessary for DEC to optimize opportunities for its recreational fishing industry and recreational anglers while maintaining compliance with the ASMFC fishery management plan (FMP) for winter flounder. The proposed rule is a significant relaxation of current regulations and should not result in any immediate negative impacts to small businesses.

7. Small business and local government participation:

The department received recommendations from the Marine Resource Advisory Council, comprised of representatives from recreational and commercial fishing interests, although no formal quorum was present on the number of different occasions that this proposed rule was discussed. Public opinion was also expressed at these meetings. The majority of Councilors and the public were in favor of extending the recreational winter flounder fishing season, but this sentiment was not unanimous.

8. Cure period or other opportunity for ameliorative action:

Although the proposed rule will extend the recreational fishing season for winter flounder, the minimum size limit and possession limit will remain in effect, as management measures to constrain the impacts of fishing on the winter flounder stock. The text of the rule does not include a cure period or other opportunity for ameliorative action (the successful completion of which will prevent the imposition of penalties on the party or parties subject to enforcement). Pursuant to SAPA 202-b (1-a)(b), no such cure period is included in the rule because of the potential adverse impact on the winter flounder resource. Cure periods for the illegal taking of fish or wildlife are neither desirable nor recommended. Immediate compliance is required to ensure the general welfare of the public and the resource is protected.

***Rural Area Flexibility Analysis***

The Department of Environmental Conservation has determined that this rule will not impose an adverse impact on rural areas. There are no rural areas within the marine and coastal district. Winter flounder fisheries directly affected by the proposed rule are entirely located within the marine and coastal district, and are not located adjacent to any rural areas of the state. Further, the proposed rule does not impose any reporting, recordkeeping, or other compliance requirements on public or private entities in rural areas. Since no rural areas will be affected by the proposed amendments of 6 NYCRR Part 40, a Rural Area Flexibility Analysis is not required.

***Job Impact Statement***

1. Nature of impact:

The ASMFC adopted a significantly expanded recreational fishing season for winter flounder in February 2014 and New York State has the option to adopt this 306 day season (March 1-December 31) or one more restrictive. The current regulations in place are far more restrictive at only 60 days (April 1-May 30) so this proposed rule represents a considerable relaxation of current regulations and increased opportunity for marine recreational anglers and associated businesses (for-hire vessels, bait and tackle sales, gas docks, marinas). Neither the current minimum size limit of 12 inches nor the possession limit of 2 fish will change. The adoption of the proposed rule will provide New York State anglers and recreational fishing businesses parity with anglers and fishing businesses in neighboring states where the longer season has already been adopted. Winter flounder was at one time the most popular marine recreational fishery in New York State. Its popularity has declined as the population decreased and regulations became more restrictive.

2. Categories and numbers affected:

In 2013, there were 475 licensed party and charter businesses in New

York State. There were also a number of retail and wholesale marine bait and tackle shop businesses operating in New York; however, DEC does not have a record of the actual number. According to the American Sportfishing Association, in 2011 New York had an estimated 800,811 marine recreational anglers that spent $1,194,493,042 on saltwater fishing, generating $144,539,079 in state and local tax revenue. In 2014, over the 60 day open season, New York marine recreational anglers only made 22,378 trips targeting winter flounder. This is in stark contrast to the almost 2 million directed trips per year in the mid 1980's when fish were more abundant, the season was year around, and there was no restrictions on the possession limit.

3. Regions of adverse impact:

The proposed rule is less restrictive than those currently in place and it is not anticipated that the rule will have adverse impacts on jobs in the Marine and Coastal District of New York.

4. Minimizing adverse impact:

The proposed rule is less restrictive than those currently in place and it is not anticipated that the rule will have adverse impacts on jobs in the Marine and Coastal District of New York. Long term consequences to the inshore stock from increased fishing pressure is difficult to predict but could ultimately effect the livelihoods of those that depend upon winter flounder.

# Department of Financial Services

## EMERGENCY RULE MAKING

### Public Retirement Systems

**I.D. No.** DFS-04-15-00001-E

**Filing No.** 20

**Filing Date:** 2015-01-07

**Effective Date:** 2015-01-07

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

***Action taken:*** Amendment of Part 136 (Regulation 85) of Title 11 NYCRR.

***Statutory authority:*** Financial Services Law, sections 202 and 302; and Insurance Law, sections 301, 314, 7401(a) and 7402(n)

***Finding of necessity for emergency rule:*** Preservation of general welfare.

***Specific reasons underlying the finding of necessity:*** The Second Amendment to 11 NYCRR 136 (Insurance Regulation 85), effective November 19, 2008, established new standards of behavior with regard to investment of the assets of the New York State Common Retirement Fund ("Fund"), conflicts of interest, and procurement. In addition, it created new audit and actuarial committees, and greatly strengthened the investment advisory committee. The Second Amendment also set high ethical standards, strengthened internal controls and governance, enhanced the operational transparency of the Fund, and strengthened supervision by the Department.

Nevertheless, recent events surrounding how placement agents conduct business on behalf of their clients with regard to the Fund compel the Superintendent to conclude that the mere strengthening of the Fund's control environment is insufficient to protect the integrity of the state employees' retirement systems. Rather, only an immediate ban on the use of placement agents will ensure sufficient protection of the Fund's members and beneficiaries and safeguard the integrity of the Fund's investments.

This regulation was previously promulgated on an emergency basis on June 18, 2009, September 16, 2009, January 5, 2010, April 2, 2010, May 28, 2010, July 29, 2010, September 23, 2010, November 19, 2010, January 18, 2011, March 21, 2011, May 19, 2011, August 16, 2011, November 10, 2011, February 7, 2012, May 7, 2012, August 3, 2012, October 31, 2012, January 28, 2013, April 26, 2013, July 24, 2013, October 21, 2013, January 17, 2014, April 16, 2014, July 14, 2014, and October 10, 2014. The Department is currently working with the Governor's Office to make additional revisions to the regulation.

***Subject:*** Public Retirement Systems.

***Purpose:*** To ban the use of placement agents by investment advisors engaged by the State employees' retirement systems.

***Text of emergency rule:*** Section 136-2.2 is amended to read as follows:

§ 136-2.2 Definitions.

The following words and phrases, as used in this Subpart, unless a different meaning is plainly required by the context, shall have the following meanings:

[(a) Retirement system shall mean the New York State and Local Employees' Retirement System and the New York State and Local Police and Fire Retirement System.]

[(b) Fund shall mean the New York State Common Retirement Fund, a fund in the custody of the Comptroller as trustee, established pursuant to Section 422 of the Retirement and Social Security Law, which holds the assets of the retirement system.]

[(c)]*(a)* Comptroller shall mean the Comptroller of the State of New York in his capacity as administrative head of the Retirement System and the sole trustee of the [fund] *Fund*.

[(d) OSC shall mean the Office of the State Comptroller.]

[(e)]*(b)* Consultant or advisor shall mean any person (other than an OSC employee) or entity retained by the [fund] *Fund* to provide technical or professional services to the [fund] *Fund* relating to investments by the [fund] *Fund*, including outside investment counsel and litigation counsel, custodians, administrators, broker-dealers, and persons or entities that identify investment objectives and risks, assist in the selection of [money] *investment* managers, securities, or other investments, or monitor investment performance.

*(c) Family member shall mean any person living in the same household as the Comptroller, and any person related to the Comptroller within the third degree of consanguinity or affinity.*

*(d) Fund shall mean the New York State Common Retirement Fund, a fund in the custody of the Comptroller as trustee, established pursuant to Section 422 of the Retirement and Social Security Law ("RSSL"), which holds the assets of the Retirement System.*

[f] *(e)* Investment manager shall mean any person (other than an OSC employee) or entity engaged by the Fund in the management of part or all of an investment portfolio of the [fund] *Fund*. "Management" shall include, but is not limited to, analysis of portfolio holdings, and the purchase, sale, and lending thereof. For the purposes hereof, any investment made by the Fund pursuant to RSSL § 177 (7) shall be deemed to be the investment of the Fund in such investment entity (rather than in the assets of such investment entity).

*(f) Investment policy statement shall mean a written document that, consistent with law, sets forth a framework for the investment program of the Fund.*

*(g) OSC shall mean the Office of the State Comptroller.*

[(g)] *(h)* Placement agent or intermediary shall mean any person or entity*, including registered lobbyists, directly or indirectly* engaged *and compensated* by an investment manager (other than [an] *a regular* employee of the investment manager) to *promote investments to or solicit investment by* [assist the investment manager in obtaining investments by the fund, or otherwise doing business with] the [fund] *Fund*, whether compensated on a flat fee, a contingent fee, or any other basis. Regular employees of an investment manager are excluded from this definition unless they are employed principally for the purpose of *securing or influencing the decision to secure a particular transaction or investment by the Fund.*[obtaining investments or providing other intermediary services with respect to the fund.] *For purpose of this paragraph, the term "employee" shall include any person who would qualify as an employee under the federal Internal Revenue Code of 1986, as amended, but shall not include a person hired, retained or engaged by an investment manager to secure or influence the decision to secure a particular transaction or investment by the Fund.*

[(h) Investment policy statement shall mean a written document that, consistent with law, sets forth a framework for the investment program of the fund.]

[(i) Third party administrator shall mean any person or entity that contractually provides administrative services to the retirement system, including receiving and recording employer and employee contributions, maintaining eligibility rosters, verifying eligibility for benefits or paying benefits and maintaining any other retirement system records. Administrative services do not include services provided to the fund relating to fund investments.]

*(i) Retirement System shall mean the New York State and Local Employees' Retirement System and the New York State and Local Police and Fire Retirement System.*

*(j) Third party administrator shall mean any person or entity that contractually provides administrative services to the Retirement System, including receiving and recording employer and employee contributions, maintaining eligibility rosters, verifying eligibility for benefits, paying benefits or maintaining any other Retirement System records. "Administrative services" do not include services provided to the Fund relating to Fund investments.*

[(j)] *(k)* Unaffiliated Person shall mean any person other than: (1) the Comptroller or a family member of the Comptroller, (2) an officer or employee of OSC, (3) an individual or entity doing business with OSC or the

[fund] Fund, or (4) an individual or entity that has a substantial financial interest in an entity doing business with OSC or the [fund] *Fund*. For the purpose of this paragraph, the term "substantial financial interest" shall mean the control of the entity, whereby *"*control*"* means the possession, direct or indirect, of the power to direct or cause the direction of the management and policies of the entity, whether through the ownership of voting securities, by contract (except a commercial contract for goods or non-management services) or otherwise; but no individual shall be deemed to control an entity solely by reason of his being an officer or director of such entity. Control shall be presumed to exist if any individual directly or indirectly owns, controls or holds with the power to vote ten percent or more of the voting securities of such entity.

[(k) Family member shall mean any person living in the same household as the Comptroller, and any person related to the Comptroller within the third degree of consanguinity or affinity.]

Section 136-2.4(d) is amended to read as follows:

(d) Placement agents or intermediaries: In order to preserve the independence and integrity of the [fund] *Fund*, to [address] *preclude* potential conflicts of interest, and to assist the Comptroller in fulfilling his or her duties as a fiduciary to the [fund] *Fund*, [the Comptroller shall maintain a reporting and review system that must be followed whenever the fund] *the Fund shall not* [engages, hires, invests with, or commits] *engage, hire, invest with or commit* to[,] an outside investment manager who is using the services of a placement agent or intermediary to assist the investment manager in obtaining investments by the [fund] *Fund.* [, or otherwise doing business with the fund. The Comptroller shall require investment managers to disclose to the Comptroller and to his or her designee payments made to any such placement agent or intermediary. The reporting and review system shall be set forth in written guidelines and such guidelines shall be published on the OSC public website.]

Section 136-2.5(g) is amended to read as follows:

(g) The Comptroller shall:

(1) file with the superintendent an annual statement in the format prescribed by Section 307 of the Insurance Law, including the [retirement system's] *Retirement System's* financial statement, together with an opinion of an independent certified public accountant on the financial statement;

(2) file with the superintendent the Comprehensive Annual Financial Report within the time prescribed by law, but no later than the time it is published on the OSC public website;

(3) disclose on the OSC public website, on at least an annual basis, all fees paid by the [fund] *Fund* to investment managers, consultants or advisors, and third party administrators;

[(4) disclose on the OSC public website, on at least an annual basis, instances where an investment manager has paid a fee to a placement agent or intermediary;]

[(5)]*(4)* disclose on the OSC public website the [fund's] *Fund's* investment policies and procedures; and

[(6)]*(5)* require fiduciary and conflict of interest reviews of the [fund] *Fund* every three years by a qualified unaffiliated person.

***This notice is intended*** to serve only as a notice of emergency adoption. This agency intends to adopt this emergency rule as a permanent rule and will publish a notice of proposed rule making in the *State Register* at some future date. The emergency rule will expire April 6, 2015.

***Text of rule and any required statements and analyses may be obtained from:*** Michael Maffei, New York State Department of Financial Services, One State Street, New York, NY 10004, (212) 480-5027, email: michael.maffei@dfs.ny.gov

***Regulatory Impact Statement***

1. Statutory authority: The Superintendent's authority for the adoption of the rule to 11 NYCRR 136 is derived from sections 202 and 302 of the Financial Services Law ("FSL") and sections 301, 314, 7401(a), and 7402(n) of the Insurance Law.

FSL section 202 establishes the office of the Superintendent and designates the Superintendent to be the head of the Department of Financial Services ("DFS").

FSL section 302 and Insurance Law section 301, in material part, authorize the Superintendent to effectuate any power accorded to him by the Insurance Law, the Banking Law, the Financial Services Law, or any other law of this state and to prescribe regulations interpreting the Insurance Law.

Insurance Law section 314 vests the Superintendent with the authority to promulgate standards with respect to administrative efficiency, discharge of fiduciary responsibilities, investment policies and financial soundness of the public retirement and pension systems of the State of New York, and to make an examination into the affairs of every system at least once every five years in accordance with Insurance Law sections 310, 311 and 312. The implementation of the standards is necessarily through the promulgation of regulations.

As confirmed by the Court of Appeals in Matter of Dinallo v. DiNapoli, 9 N.Y. 3d 94 (2007), the Superintendent functions in two distinct capacities. The first is as regulator of the insurance industry. The second is as statutory receiver of financially distressed insurance entities. Article 74 of the Insurance Law sets forth the Superintendent's role and responsibilities in this latter capacity.

Insurance Law section 7401(a) sets forth the entities, including the public retirement systems, to which Article 74 applies.

Insurance Law section 7402(n) provides that it is a ground for rehabilitation if an entity subject to Article 74 has failed or refused to take such steps as may be necessary to remove from office any officer or director whom the Superintendent has found, after appropriate notice and hearing, to be a dishonest or untrustworthy person.

2. Legislative objectives: Insurance Law section 314 authorizes the Superintendent to promulgate and amend, after consultation with the respective administrative heads of public retirement and pension systems and after a public hearing, standards with respect to the public retirement and pension systems of the State of New York.

This rule, which in effect bans the use of an investment tool that has been found to be untrustworthy, is consistent with the public policy objectives that the Legislature sought to advance in enacting Insurance Law section 314, which provides the Superintendent with the powers to promulgate standards to protect the New York State Common Retirement Fund (the "Fund").

3. Needs and benefits: The Second Amendment to 11 NYCRR 136 (Regulation 85), effective November 19, 2008, established new standards with regard to investment of the assets of the Fund, conflicts of interest and procurement. In addition, the Second Amendment created new audit and actuarial committees, and greatly strengthened the investment advisory committee. The Second Amendment also set high ethical standards, strengthened internal controls and governance, enhanced the operational transparency of the Fund, and strengthened supervision by the Department.

Nevertheless, recent allegations regarding "pay to play" practices, whereby politically connected individuals reportedly sold access to investment opportunities with the Fund, compel the Superintendent to conclude that the mere strengthening of the Fund's control environment is insufficient to protect the integrity of the state employees' retirement systems. The Third Amendment to Regulation 85 will adopt an immediate ban on the use of placement agents to ensure sufficient protection of the Fund's members and beneficiaries, and safeguard the integrity of the Fund's investments. Further, the rule defines "placement agent or intermediary" in a manner that both thwarts evasion of the ban while ensuring that such ban not extend to persons otherwise acting lawfully on behalf of investment managers.

4. Costs: The rule does not impose any additional requirements on the Comptroller, and no additional costs are expected to result from the implementation of the ban imposed by this rule. There are no costs to the Department or other state government agencies or local governments. Investment managers, consultants and advisors who provide services to the Fund, which are required to discontinue the use of placement agents in connection with investment services they provide to the Fund, may lose opportunities to do business with the Fund.

5. Local government mandates: The rule imposes no new programs, services, duties or responsibilities on any county, city, town, village, school district, fire district or other special district.

6. Paperwork: No additional paperwork should result from the prohibition imposed by the rule.

7. Duplication: This rule will not duplicate any existing state or federal rule.

8. Alternatives: The Superintendent considered other ways to limit the influence of placement agents, including a partial ban, increased disclosure requirements, and adopting alternative definitions of placement agent or intermediary. The Department considered limiting the ban to include intent on the part of the party using placement agents, or defining "placement agent" in more general terms.

In developing the rule, the Superintendent and State Comptroller not only consulted with one another, but also briefed representatives of: (1) New York State and New York City Public Employee Unions; (2) New York City Retirement and Pension Funds; (3) the Borough Presidents of the five counties of New York City; and (4) officials of the New York City Mayor's Office, Comptroller's Office and Finance Department. These entities agreed with the concerns expressed by the Department and intend to explore remedies most appropriate to the pension funds that they represent.

Initially, the Superintendent concluded that only an immediate total ban on the use of placement agents could provide sufficient protection of the Fund's members and beneficiaries and safeguard the integrity of the Fund's investments. The proposed rule was published in the State Register on March 17, 2010. A Public Hearing was held on April 28, 2010. The following comments were received:

Blackstone Group, a global investment manager and financial advisor, wrote to oppose the proposed ban on the use of placement agents by investment advisors engaged by the New York State Common Retirement Fund ("The Fund"). It stated that the rule would lessen the number of investment opportunities brought before the Fund, adversely affect small, medium-sized and women-and minority-owned investment firms seeking to do business with the Fund, and adversely affect a number of New York-headquartered financial institutions doing business as placement agents.

Blackstone suggested the inclusion of the following provisions in the rule instead:

- A ban on political contributions by any employee of any placement agent seeking to do business with the Fund;
- A requirement that any placement agent seeking do to business with the Fund be registered as a broker dealer with the SEC and ensure that its professionals have passed the appropriate Series qualifications administered by Financial Industry Regulatory Authority ("FINRA");
- A requirement that any placement agent seeking to do business in New York register with the Department; and
- A requirement that any placement agent representing an investment manager before the Fund fully disclose the contractual arrangement between it and the manager, including the fee arrangement and the scope of services to be provided.

The Securities Industry and Financial Markets Association ("SIFMA"), representing hundreds of securities firms, banks, and asset managers, commented that the proposed rule (1) inadvertently limits the access of smaller fund managers to the Fund; (2) restricts the number and types of advisers that could be utilized by the Fund; (3) creates an inherent conflict between federal and state law that would make it impossible to do business with the Fund while complying with both; and (4) adds duplicative regulation in an area already substantially regulated at the state level and that is primed for further federal regulation through the imminent imposition of a federal pay-to-play regime on all registered broker-dealers acting as placement agents. In addition, SIFMA provided language that it believes would be consistent with the existing federal requirements on the use of placement agents. SIFMA requested that the Department either exclude from the proposed rule those placement agents who are registered as broker-dealers under the Securities Exchange Act of 1934 or delay the enactment of the proposed rule until the federal and state placement agent initiatives are finalized.

The Superintendent did consider other ways to limit the influence of placement agents, including a partial ban, increased disclosure requirements, and adopting alternative definitions of placement agent or intermediary. The Department considered limiting the ban to include intent on the part of the party using placement agents, or defining "placement agent" in more general terms. At the time, the Superintendent concluded that only an immediate, total ban on the use of placement agents could provide sufficient protection of the Fund's members and beneficiaries and safeguard the integrity of the Fund's investments.

9. Federal standards: The Securities and Exchange Commission issued a "Pay-To-Play" regulation for financial advisors on July 1, 2010, which may have an impact on the issues addressed in the proposed rule.

10. Compliance schedule: The emergency adoption of this regulation on June 18, 2009 ensured that the ban would become enforceable immediately. The ban needs to remain in effect on an emergency basis until such time as an amended regulation can be made permanent.

***Regulatory Flexibility Analysis***

1. Effect of the rule: This rule strengthens standards for the management of the New York State and Local Employees' Retirement System and New York State and Local Police and Fire Retirement System (collectively, "the Retirement System"), and the New York State Common Retirement Fund ("the Fund").

The Second Amendment to 11 NYCRR 136 (Insurance Regulation 85), effective November 19, 2008, established new standards with regard to investment of the assets of the Fund, conflicts of interest and procurement. In addition, the Second Amendment created new audit and actuarial committees, and greatly strengthened the investment advisory committee. The Second Amendment also set high ethical standards, strengthened internal controls and governance, enhanced the operational transparency of the Fund, and strengthened supervision by the Department.

Nevertheless, recent allegations regarding "pay to play" practices, whereby politically connected individuals reportedly sold access to investment opportunities with the Fund, compel the Superintendent to conclude that the mere strengthening of the Fund's control environment is insufficient to protect the integrity of the state employees' retirement systems. The Third Amendment to Insurance Regulation 85 will adopt an immediate ban on the use of placement agents to ensure sufficient protection of the Fund's members and beneficiaries, and safeguard the integrity of the Fund's investments. Further, the rule defines "placement agent or intermediary" in a manner that both thwarts evasion of the ban while ensuring that such ban not extend to persons otherwise acting lawfully on behalf of investment managers.

These standards are intended to assure that the conduct of the business of the Retirement System and the Fund, and of the State Comptroller (as administrative head of the Retirement System and as sole trustee of the Fund), are consistent with the principles specified in the rule. Most among all affected parties, the State Comptroller, as a fiduciary whose responsibilities are clarified and broadened, is impacted by the rule. The State Comptroller is not a "small business" as defined in section 102(8) of the State Administrative Procedure Act.

This rule will affect investment managers and other intermediaries (other than OSC employees) who provide technical or professional services to the Fund related to Fund investments. The rule will prohibit investment managers from using the services of a placement agent unless such agent is a regular employee of the investment manager and is acting in a broader capacity than just providing specific investment advice to the Fund. In addition, the rule is also directed to placement agents, who as a result of this rule, will no longer be engaged directly or indirectly by investment managers that do business with the Fund. Some investment managers and placement agents may come within the definition of "small business" set forth in section 102(8) of the State Administrative Procedure Act, because they are independently owned and operated, and employ 100 or fewer individuals.

The rule bans the use of placement agents in connection with investments by the Fund. This may adversely affect the business of placement agents, who will lose opportunities to earn profits in connection with investments by the Fund. Nevertheless, as a result of recent allegations regarding "pay to play" practices, whereby politically connected individuals reportedly sold access to investment opportunities with the Fund, the Superintendent has concluded that an immediate ban on the use of placement agents is necessary to protect the Fund's members and beneficiaries and to safeguard the integrity of the Fund's investments.

This rule will not impose any adverse compliance requirements or result in any adverse impacts on local governments. The basis for this finding is that this rule is directed at the State Comptroller; employees of the Office of State Comptroller; and investment managers, placement agents, consultant or advisors - none of which are local governments.

2. Compliance requirements: None.

3. Professional services: Investment managers, consultants and advisors who provide services to the Fund, and are required to discontinue the use of placement agents in connection with investment services they provide to the Fund, may need to employ other professional services.

4. Compliance costs: The rule does not impose any additional requirements on the Comptroller, and no additional costs are expected to result from the implementation of the ban imposed by this rule. There are no costs to the Department of Financial Services or other state government agencies or local governments. However, investment managers, consultants and advisors who provide services to the Fund, which are required to discontinue the use of placement agents in connection with investment services they provide to the Fund, may lose opportunities to do business with the Fund.

5. Economic and technological feasibility: The rule does not impose any economic and technological requirements on affected parties, except for placement agents who will lose the opportunity to earn profits in connection with investments by the Fund.

6. Minimizing adverse impact: The costs to placement agents are lost opportunities to earn profits in connection with investments by the Fund. The Superintendent considered other ways to limit the influence of placement agents, including a partial ban, increased disclosure requirements, and adopting alternative definitions of placement agent or intermediary. But in the end, the Superintendent concluded that only an immediate total ban on the use of placement agents could provide sufficient protection of the Fund's members and beneficiaries and safeguard the integrity of the Fund's investments.

7. Small business and local government participation: In developing the rule, the Superintendent and State Comptroller not only consulted with one another, but also briefed representatives of: (1) New York State and New York City Public Employee Unions; (2) New York City Retirement and Pension Funds; (3) the Borough Presidents of the five counties of New York City; and (4) officials of the New York City Mayor's Office, Comptroller's Office and Finance Department.

A public hearing was held on April 28, 2010. Comments were received from two entities recommending that the total ban on the use of placement agents be modified. The Department will continue to assess the comments that have been received and any others that may be submitted.

***Rural Area Flexibility Analysis***

1. Types and estimated numbers of rural areas: Investment managers, placement agents, consultants or advisors that do business in rural areas as defined under State Administrative Procedure Act Section 102(10) will be affected by this rule. The rule bans the use of placement agents in connection with investments by the New York State Common Retirement Fund ("the Fund"), which may adversely affect the business of placement agents

and of other entities that utilize placement agents and are involved in Fund investments.

2. Reporting, recordkeeping and other compliance requirements, and professional services: This rule will not impose any reporting, recordkeeping or other compliance requirements on public or private entities in rural areas, with the exception of requiring investment managers, consultants and advisors who provide services to the Fund to discontinue the use of placement agents.

3. Costs: The costs to placement agents are lost opportunities to earn profits in connection with investments by the Fund.

4. Minimizing adverse impact: The rule does not adversely impact rural areas.

5. Rural area participation: A public hearing was held on April 28, 2010. Comments were received from two entities recommending that the total ban on the use of placement agents be modified. The Department will continue to assess the comments that have been received and any others that may be submitted.

***Job Impact Statement***

The Department of Financial Services finds that this rule will have little or no impact on jobs and employment opportunities. The rule bans investment managers from using placement agents in connection with investments by the New York State Common Retirement Fund ("the Fund"). The rule may adversely affect the business of placement agents, who could lose the opportunity to earn profits in connection with investments by the Fund. Nevertheless, in view of recent events about how placement agents conduct business on behalf of their clients with regard to the Fund, the Superintendent has concluded that an immediate ban on the use of placement agents is necessary to protect the Fund's members and beneficiaries, and to safeguard the integrity of the Fund's investments.

## PROPOSED RULE MAKING
## NO HEARING(S) SCHEDULED

### Life Insurance Reserves

**I.D. No.** DFS-04-15-00005-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

***Proposed Action:*** Amendment of Parts 98 (Regulation 147) and 100 (Regulation 179) of Title 11 NYCRR.

***Statutory authority:*** Financial Services Law, sections 202 and 302; and Insurance Law, sections 301, 1304, 1308, 4217, 4218, 4221, 4224, 4240 and 4517

***Subject:*** Life insurance reserves.

***Purpose:*** To modernize the current regulatory scheme with respect to universal life insurance with secondary guarantee reserves.

***Substance of proposed rule (Full text is posted at the following State website:http://www.dfs.ny.gov):*** Sections 98.4(b)(5)(ii), 98.4(b)(5)(iii), 98.4(b)(5)(vii)(b), 98.7(b)(1)(iv), and 98.7(b)(1)(v) are amended to allow for the recognition of mortality improvement beyond the valuation date for universal life policies that guarantee that coverage will remain in force as long as the accumulation of premiums paid satisfies the secondary guarantee requirement, issued on or after January 1, 2015.

Section 98.9(c)(2)(viii)(b)(2) is amended by renumbering subclause (2) as item (i) and adding a new item (ii). Item (ii) provides the lapse rates that may be used for policies issued on or after January 1, 2015.

Section 98.9(c)(2)(viii)(e) is amended to refer to the lapse rates in section 98.9(c)(2)(viii)(b)(2)(i) for policies issued on or after January 1, 2007 and prior to January 1, 2015 and to refer to the rates in section 98.9(c)(2)(viii)(b)(2)(ii) for policies issued on or after January 1, 2015.

Section 100.1 is amended by adding a new subdivision (c), which recognizes and permits the use of mortality improvement scale LT for universal life policies that guarantee that coverage will remain in force as long as the accumulation of premiums paid satisfies the secondary guarantee requirement.

Section 100.2 is amended by changing the applicability section and clarifying that new section 100.12 applies only to universal life policies that guarantee that coverage will remain in force as long as the accumulation of premiums paid satisfies the secondary guarantee requirement.

Section 100.3(o) is amended to reflect the mortality adjustments described in section 100.12.

Sections 100.6(a)(2), 100.6(a)(3), 100.6(a)(7), and 100.6(a)(8) are amended to allow for the recognition of mortality improvement beyond the valuation date for universal life policies that guarantee that coverage will remain in force as long as the accumulation of premiums paid satisfies the secondary guarantee requirement, issued on or after January 1, 2015.

Section 100.12 ("Severability") is re-numbered as section 100.13, and a new section 100.12 ("Universal Life Policies That Guarantee That Coverage Will Remain In Force As Long As The Accumulation Of Premiums Paid Satisfies The Secondary Guarantee Requirement Mortality Improvement") is added to provide the mortality improvement factors and formulas for universal life policies that guarantee that coverage will remain in force as long as the accumulation of premiums paid satisfies the secondary guarantee requirement, and to include a numerical example for applying the mortality improvement factors and formulas.

***Text of proposed rule and any required statements and analyses may be obtained from:*** Amanda Fenwick, New York State Department of Financial Services, One Commerce Plaza, Albany, New York 12257, (518) 474-7929, email: amanda.fenwick@dfs.ny.gov

***Data, views or arguments may be submitted to:*** Same as above.

***Public comment will be received until:*** 45 days after publication of this notice.

***Regulatory Impact Statement***

1. Statutory authority: The Superintendent's authority to promulgate the Sixth Amendment to Insurance Regulation 147 (11 NYCRR 98) and Fourth Amendment to Insurance Regulation 179 (11 NYCRR 100) derives from sections 202 and 302 of the Financial Services Law ("FSL") and sections 301, 1304, 1308, 4217, 4218, 4221, 4224, 4240, and 4517 of the Insurance Law.

FSL section 202 establishes the office of the Superintendent of Financial Services ("Superintendent") and designates the Superintendent as the head of the Department of Financial Services ("Department").

FSL section 302 and Insurance Law section 301 authorize the Superintendent to effectuate any power accorded to the Superintendent by the Insurance Law, the Banking Law, the Financial Services Law, or any other law of this state and to prescribe regulations interpreting the Insurance Law, among other things.

Insurance Law section 1304 requires insurers to maintain reserves for life insurance policies and certificates according to prescribed tables of mortality and rates of interest.

Insurance Law section 1308 sets forth the parameters for reinsuring risks and policy liabilities, and the effect that reinsurance will have on an insurer's reserves.

Insurance Law section 4217 requires the Superintendent to annually value, or cause to be valued, the reserve liabilities ("reserves") for all outstanding policies and contracts of every life insurer doing business in New York. Insurance Law section 4217(a)(1) specifies that the Superintendent may certify the amount of any such reserves, specifying the mortality table or tables, and rate or rates of interest and methods used in the calculation of reserves.

Insurance Law section 4217(c)(2)(A)(iii) permits the use of, as a minimum standard of valuation for life insurance policies, any ordinary mortality table adopted by the National Association of Insurance Commissioners ("NAIC") after 1980 and approved by the Superintendent.

Insurance Law section 4217(c)(2)(A)(iv) authorizes the Superintendent to adopt any mortality table or modifications of any table for any specific class of risk.

Section 4217(c)(6)(D) permits the Superintendent to issue, by regulation, guidelines for the application of the reserve valuation provisions of section 4217 to such policies and contracts as the Superintendent deems appropriate.

Section 4217(c)(9) requires that, in the case of any plan of life insurance that provides for a future premium determination, the amounts of which are to be determined by the insurance company based on estimates of future experience, or in the case of any plan of life insurance or annuity that is of such a nature that the minimum reserves cannot be determined by the methods described in section 4217(c)(6) and section 4218, the reserves held for a plan must be appropriate in relation to the benefits and pattern of premiums for that plan and must be computed by a method that is consistent with the principles of sections 4217(c)(6) and 4218, as determined by the Superintendent.

Insurance Law section 4218 requires that when the actual premium charged for life insurance under any life insurance policy is less than the modified net premium calculated on the basis of the commissioner's reserve valuation method (as such term is defined in section 4217(c)(6)), the minimum reserve required for such policy shall be the greater of either the reserve calculated according to the mortality table, rate of interest, and method actually used for such policy, or the reserve calculated by the commissioner's reserve valuation method replacing the modified net premium by the actual premium charged for the policy in each contract year for which the modified net premium exceeds the actual premium.

Insurance Law section 4221(k)(9)(B)(vi) permits, for policies of ordinary insurance, the use of any ordinary mortality table adopted by the NAIC after 1980 and approved by the Superintendent, for use in determining the minimum nonforfeiture standard.

Insurance Law section 4224(a)(1) prohibits unfair discrimination between individuals of the same class and of equal expectation of life in the amount or payment or return of premiums or the rates charged for life insurance policies.

Insurance Law section 4240(d)(6) provides that the reserve liability for variable contracts shall be established in accordance with actuarial procedures that recognize the variable nature of the benefits provided and any mortality guarantees provided in the contract. Section 4240(d)(7) authorizes the Superintendent to promulgate regulations, as may be appropriate, to carry out the provisions of this section.

Insurance Law section 4517(b)(2) provides, with respect to fraternal benefit societies, that reserves according to the commissioner's reserve valuation method for life insurance certificates that provide for a varying amount of benefits, or requiring the payment of varying premiums, shall be calculated by a method consistent with the principles of subsection (b). Section 4517(c)(2) requires fraternal benefit societies to comply with the minimum valuation standards of Insurance Law section 4217 for life insurance certificates issued on or after January 1, 1980.

2. Legislative objectives: Helping to ensure the continued solvency of insurers doing business in New York is one of the primary policy goals of the Insurance Law and a principal focus of the Superintendent's regulatory oversight. One fundamental way the Insurance Law seeks to ensure solvency is by requiring all insurers and fraternal benefit societies authorized to do business in New York State to hold reserve funds in amounts sufficient to meet the obligations made to policyholders. The Insurance Law prescribes the mortality tables and interest rates to be used for calculating such reserves. At the same time, an insurer benefits when it has adequate capital to use for company expansion, product innovation, and other forms of business development.

3. Needs and benefits: The Superintendent has determined that universal life with secondary guarantee insurance reserves are currently set high relative to actuarial experience due to such factors as the impact of lapsation on universal life with secondary guarantee insurance and future claims and improvement in mortality since the NAIC's last release of the CSO mortality table. Reserving has not historically included lapse as a factor in calculations because it was not relevant to traditional forms of life insurance contracts; therefore, section 4217 does not expressly include references to lapses. However, new types of policies and contracts have been developed, which were not contemplated at the time that section 4217 was written, for which lapses may be relevant in calculating their reserves. Pursuant to section 4217, the reserves held for a plan must be appropriate in relation to the benefits and pattern of premiums for that plan and must be computed by a method that is consistent with the principles of sections 4217 and 4218, as determined by the Superintendent. In accordance with the statutory authority and the directive of section 4217, the Superintendent is amending Insurance Regulations 147 and 179, as stated in the Superintendent's letter to state insurance commissioners, dated March 27, 2014 in a manner that will modernize the current regulatory scheme with respect to universal life with secondary guarantee insurance reserves.

Insurance Regulation 147 is amended to recognize mortality improvement beyond the valuation date for universal life policies that guarantee that coverage remains in force as long as the accumulation of premiums paid satisfies the secondary guarantee requirement, issued on or after January 1, 2015. Additionally, a lapse rate of two percent may be used for the first five years, followed by a rate of no more than one percent for the remaining life of the policy.

Insurance Regulation 179 is amended consistent with mortality improvement. Because insureds are generally living longer, the amendment applies a 1.0 percent mortality improvement factor to the current mortality table (2001 CSO) for up to 40 years, and applies a 0.5 percent mortality improvement factor thereafter through attained age 80. The mortality rates linearly grade from attained ages 81 through 90. These factors will apply only during the first segment. The Department anticipates that the NAIC will adopt a new mortality table in 2015, which may result in an additional update to Insurance Regulation 179.

The Department estimates that concurrent amendments to Insurance Regulations 147 and 179 will result in up to a 15 percent reduction in reserves for universal life with secondary guarantee insurance on a prospective basis.

4. Costs: Insurers and fraternal benefit societies that are authorized to do business in New York State that are impacted by these amendments may incur costs to modify existing computer software to incorporate the new mortality and lapse requirements for prospective business, as well as the testing and implementation of the changes to the software, if they choose to make these changes. However, insurers and fraternal benefit societies are not required to make the changes that are prescribed in the amendments, because not applying the changes will result in higher-than-minimum-required reserves and an insurer or fraternal benefit society may choose to hold reserves at an amount that is higher than the minimum level required.

Software modification, testing and implementation costs are estimated to be $10,000 or less. After an insurer has modified its computer systems to comply with these amendments, only minimal additional costs should be anticipated.

The amendments are expected to result in the need for a small amount of training of Department staff. The cost of such training will be absorbed through the Department's normal budget. There are no costs to other government agencies or local governments.

5. Local government mandates: The amendments impose no new programs, services, duties or responsibilities on any county, city, town, village, school district, fire district or other special district.

6. Paperwork: The amendments do not alter paperwork requirements.

7. Duplication: The amendments do not duplicate any existing laws or regulations.

8. Alternatives: An alternative considered by the Superintendent was to allow company-specific assumptions that were supported by credible experience. However, this rulemaking provides a more objective and uniform floor on reserves, ensuring that reduced reserves will be held at intended levels. Another alternative considered by the Superintendent was to specify a set percentage of universal life with secondary guarantee insurance reserves resulting from the current standard. However, that method is not actuarially sound because it is not supported by a mortality table. The Department's Life Bureau reached out to a number of insurers that write universal life with secondary guarantee policies, which included discussions with the affected insurers' trade association, The Life Insurance Council of New York, prior to drafting these amendments.

9. Federal standards: There are no federal standards in this subject area.

10. Compliance schedule: These amendments apply to policies issued on or after January 1, 2015 and will impact statements due May 15, 2015 and filed thereafter.

***Regulatory Flexibility Analysis***

1. Small businesses: The Department of Financial Services ("Department") finds that the amendments to Insurance Regulations 147 and 179 will not impose any adverse economic impact on small businesses and will not impose any reporting, recordkeeping or other compliance requirements on small businesses. The basis for this finding is that these rules are directed at all insurers and fraternal benefit societies that are authorized to do business in New York State, none of which comes within the definition of "small business" provided in State Administrative Procedure Act Section 102(8). The Department reviewed filed reports on examination and annual statements of authorized insurers and fraternal benefit societies and concludes that none of these entities comes within the definition of "small business," because there are none that are both independently owned and have fewer than one hundred employees.

2. Local governments: These amendments do not impose any impacts, including any adverse impacts, or reporting, recordkeeping, or other compliance requirements on any local governments.

***Rural Area Flexibility Analysis***

1. Types and estimated number of rural areas: Insurers and fraternal benefit societies affected by the amendments to Insurance Regulations 147 and 179 do business in every county in this state, including rural areas as defined in State Administrative Procedure Act section 102(10).

2. Reporting, recordkeeping and other compliance requirements, and professional services: There are new mortality and lapse rate requirements for policies issued on or after January 1, 2015.

3. Costs: Insurers and fraternal benefit societies that are authorized to do business in New York State that are impacted by these amendments may incur costs to modify existing computer software to incorporate the new mortality and lapse requirements for prospective business, as well as the testing and implementation of the changes to the software, if they choose to make these changes. However, insurers and fraternal benefit societies are not required to make the changes that are prescribed in the proposed amendments, because not applying the changes will result in higher-than-minimum required reserves and an insurer or fraternal benefit society may choose to hold reserves at an amount that is higher than the minimum level required.

Software modification, testing and implementation costs are estimated to be $10,000 or less. After an insurer has modified its computer systems to comply with these amendments, only minimal additional costs should be anticipated.

These amendments are expected to result in the need for a small amount of training for staff of the Department of Financial Services ("Department"). The cost of such training will be absorbed through the Department's normal budget. There are no costs to other government agencies or local governments.

4. Minimizing adverse impact: These amendments do not impose any adverse impact on rural areas.

5. Rural area participation: The Department's Life Bureau reached out to a number of insurers that would be affected by these amendments and

to the insurers' trade association, the Life Insurance Council of New York ("LICONY"), prior to drafting these amendments.

***Job Impact Statement***

The amendments to Insurance Regulations 147 and 179 should have no impact on jobs and employment opportunities. The amendments enable life insurers to lower their reserves for universal life policies that guarantee coverage will remain in force as long as the accumulation of premiums paid satisfies the secondary guarantee requirement. Insurance Regulation 147 allows for the recognition of mortality improvement beyond the valuation date for universal life insurance policies that guarantee coverage will remain in force as long as the accumulation of premiums paid satisfies the secondary guarantee requirement. Insurance Regulation 179 adopts mortality improvement factors that are to be used with current mortality rates to calculate reserves for universal life insurance policies that guarantee coverage will remain in force as long as the accumulation of premiums paid satisfies the secondary guarantee requirement. Insurers should not need to hire additional employees or independent contractors to comply with these new standards.

# Office of General Services

## NOTICE OF ADOPTION

### Service-Disabled Veteran-Owned Business Enterprises

**I.D. No.** GNS-33-14-00004-A

**Filing No.** 39

**Filing Date:** 2015-01-13

**Effective Date:** 2015-01-28

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

***Action taken:*** Addition of Part 252 to Title 9 NYCRR.

***Statutory authority:*** Executive Law, section 369-i(5); and Executive Law, section 200

***Subject:*** Service-Disabled Veteran-Owned Business Enterprises.

***Purpose:*** To establish standards, procedures and criteria with respect to the Service-Disabled Veteran-Owned Business Enterprise program.

***Substance of final rule:*** The proposed regulation makes extensive changes to the existing regulations governing the award process of State procurement contracts by facilitating and promoting Service-Disabled Veteran-Owned Business Enterprise ("SDVOBE") participation in State procurement. This process includes State certification of SDVOBEs, the promulgation of measures and procedures to ensure these certified businesses are afforded meaningful participation in State procurement, and the monitoring and reporting of State agency compliance with the statewide goal for participation on State contracts by SDVOBEs.

Sections 252.1-252.3 define terms unique to the scope and implementation of the SDVOBE program, outline State agency responsibilities in terms of program purpose, scope, and applicability, as well as provide for implementation of a statewide certification program.

(1) Section 252.1 defines the terms applicable to the program and makes clear that in order to benefit from this program, the SDVOBE must be certified by the OGS Division of Service-Disabled Veteran Owned Business Development (DSDVBD). This certification process is to ensure that the appropriate businesses, for which this regulation has been drafted, receive maximum benefits from the program. A certified SDVOBE means a business enterprise that is independently owned and operated and is authorized to do business in New York State. The business must be at least 51% owned by one or more service-disabled veterans in such a way that ownership is real, substantial, and continuous and the service-disabled veteran must exercise independent control over day-to-day business.

(2) As provided by Section 252.1(v), the SDVOBE must be a small business, meaning that the business has a significant business presence in the State, but is not dominant in its field and employs, based on industry, a certain number of persons as determined by the director, but not to exceed 300, taking into account various other factors.

(3) Pursuant to Section 252.1(s) and (z), to be considered a service-disabled veteran, one must have received an honorable or general discharge from the United States Army, Navy, Marines, Air Force, Coast Guard, and/or reserves thereof, and/or in the Army National Guard, Air National Guard, New York Guard and/or the New York Naval Militia. In addition, (a) in the case of the United States Army, Navy, Air Force, Marines, Coast Guard, Army National Guard or Air National Guard and/or reserves thereof, a veteran must have received a compensation reading of ten percent or greater from the United States Department of Veterans Affairs or from the United States Department of Defense because of a service-connected disability incurred in the line of duty and (b) in the case of the New York Guard or the New York Naval Militia and/or reserves thereof, a veteran must be certified by the New York State Division of Veterans' Affairs pursuant to the appropriate provisions contained within the Code of Federal Regulations, as having an injury equivalent to a compensation rating of ten percent or greater from the United States department of veterans affairs or from the United States Department of Defense because of a service-connected disability incurred in the line of duty.

(4) Pursuant to Sections 252.1(f) and 252.2, in order for a certified SDVOBE to benefit from a State procurement contract governed by this regulation, the SDVOBE must perform a commercially useful function by actually performing, managing, and supervising the work for which it is responsible. Additionally, where applicable, the SDVOBE must also be responsible, with respect to materials and supplies used on the contract, for ordering and negotiating price, determining quality and quantity and installation. The SDVOBE must add substantive value to the contract to be considered a commercially useful function. Various other factors may be applied to make a final determination.

(5) Pursuant to Sections 252.1(t) and 252.2(j), this program may be implemented using a "set aside." A set aside means the reservation in whole or in part of certain procurements by State agencies bidding where more than one certified SDVOBE can provide the services and/or commodities necessary to the State procurement contract. The Commissioner of General Services, in consultation with State agencies shall develop and provide written guidance on the appropriate use of set asides to State agencies.

(6) Pursuant to Section 252.2(a), in order to maximize the effectiveness of this program, where it is practical, feasible and appropriate, State agencies will seek to meet a six percent goal of participation by SDVOBEs on all State contracts. Where it is not practical, feasible or appropriate for a State agency to seek the statewide goal of six percent, the agency may request a waiver. Individual State agencies may adopt agency-specific goals as long as those goals are reflected in the State agency's master goal plan submitted to the DSDVBD, and that the agency-specific goals are justified based on the following factors: (1) statewide availability of SDVOBEs for construction, construction services, non-construction services, technology, commodities, or products; (2) statewide availability of SDVOBEs for the State agency's State contracts found in the Directory of Service-Disabled Veteran Owned Businesses maintained by OGS; (3) the geographic location of the performance of the State contract; (4) the extent to which the geographical location of performance of the State contract hinders the ability of SDVOBEs to perform; and (5) other relevant factors.

(7) Pursuant to Section 252.2(b)-(d), each State agency must have a master goal plan on file with the DSDVBD which must include any agency-specific goals, justifications thereof, descriptions of implementation strategies, practices, and procedures, as well as a list of personnel responsible for implementation. Each State agency's master goal plan is subject to review by the Director of the DSDVBD to ensure reasonableness of goals, as well as to judge the prospective effectiveness of the plan with regards to the program's overall goal of promoting SDVOBEs.

(8) Pursuant to Section 252.2(e), each State agency must submit a report to OGS annually, and the report must include the relevant information necessary to assess the success of implementation of the master goal plan, including, but not limited to, the number and average amount of contracts entered into pursuant to this program.

(9) Pursuant to Section 252.2(f), each State agency must demonstrate a good faith effort to meet the State agency's goal adopted pursuant to this program. Whether or not a good faith effort has been made is determined by Director of the DSDVBD using the following factors: (1) the availability of SDVOBEs capable of participating in the relevant State contracts; (2) State agency strategy to unbundle State contracts and solicit bids from SDVOBEs; (3) whether there were available SDVOBEs outside the region that could have performed; (4) whether joint ventures or other similar arrangements in order to include SDVOBEs were encouraged; (5) the number of opportunities the State agency could have made discretionary purchases from SDVOBEs, versus the number of times the State agency actually did so; (6) the amount paid to certified SDVOBEs as a result of State agency's discretionary purchasing; (7) whether the State agency utilized set asides; (8) whether the State agency had the appropriate processes and procedures in place to ensure compliance with the goals, utilization plans, utilization reports, and waivers of this program; (9) whether the State agency submitted the appropriate reports; (10) any other relevant information or factors; and (11) any other information submitted by the State agency or other criteria that the Director of the DSDVBD deems relevant.

(10) Pursuant to Section 252.2(g), any State agency that fails to meet its goals must review its master goal plan and identify the necessary steps to be taken in order to meet its goals. The State agency may confer with the Director of DSDVBD to discuss performance improvements.

(11) Pursuant to Section 252.2(h), contractors shall be notified of the goal in the appropriate bid documents, and will also be provided with the current electronic list of certified Service-Disabled Veteran-Owned Businesses. In accordance with Section 252.2(i), contractors will then be required by State agencies to submit utilization plans that identify how the contractor plans to meet the contract's goals for SDVOBE participation. The contractor's utilization plan is subject to approval based on the contract's goals. If not approved, the contractor may attempt to remedy any deficiencies and re-submit within seven days. If the contractor fails to comply it may be disqualified. Pursuant to Section 252.2(k), once a State contract is executed, and the contractor's utilization plan has been approved, or appropriately waived, the plan will be posted on the State agency's website. Pursuant to Section 252.2(q), contractors must report directly to the State agency on utilization plan compliance. Pursuant to Section 252.2(r), subsequent to being awarded a State contract, the contractor may file a complaint with the State after becoming deficient with the implementation of the utilization plan in order to request a full or partial waiver.

(12) Similar to the scrutiny imposed on State agency compliance, pursuant to Section 252.2(s), contractors must be able to demonstrate a good faith effort to comply with their utilization plans by using certified SDVOBEs in a commercially useful function for the appropriate predetermined percentage value. Where the State has determined that a contractor has failed to comply and demonstrate a good faith effort to comply, after having given notice of deficiency, the State agency may proceed with the next ranked bidder if the State agency has not received a request to review its determination. Any contractor who willfully and intentionally fails to comply with the SDVOBE participation requirements shall be liable for damages, and shall provide for other appropriate remedies.

(13) Pursuant to Section 252.2(p), State agencies are responsible for determining contractor compliance with goals established in State contracts.

(14) Pursuant to Section 252.3, in order to effectively and efficiently implement the objectives of the program, the SDVOBEs must be properly certified. Applications can be obtained and returned to the DSDVBD. Applicants must be able to demonstrate that the SDVOBE meets the appropriate definitions of "small business," "veteran," and "service-disabled," where the service-disabled veteran exercises the requisite control and ownership over the business. As part of the application process, the place of business may be subject to inspection. Applicants will receive a status notification of the application, including any deficiencies that must be addressed, within thirty days of the date stamped on the application. Any deficiency must be cured within twenty days of notification or else the applicant will receive notification that the application has been rejected. An application may be withdrawn by an applicant without prejudice. Upon rejection of an application, an applicant must wait ninety days before reapplying. A written determination approving or denying an application must be provided in writing within sixty days of mailing the notice of application completion. Certification may be held for five years, unless certification is revoked, under the appropriate revocation procedures, due to a change in circumstances resulting in an applicant no longer being entitled to certification. Applicants already holding federal certification do not have to submit a New York State application and may instead submit a supplemental application.

***Final rule as compared with last published rule:*** Nonsubstantive changes were made in Part 252.

***Text of rule and any required statements and analyses may be obtained from:*** Paula B. Hanlon, Esq., New York State Office of General Services, 41st Floor, Corning Tower, Empire State Plaza, Albany, New York 12242, (518) 474-5607, email: RegsReceipt@ogs.ny.gov

***Revised Regulatory Impact Statement***

1. Statutory authority: Chapter 22 of the Laws of 2014 amended the Executive Law by creating a new Article 17-B, which establishes a program to increase participation of "Service-Disabled Veteran-Owned Business Enterprises", ("SDVOBE" as defined in the Text) in State contracting. Additionally, it required the Commissioner of the Office of General Services ("OGS") to promulgate regulations, within 90 days of the effective date of the new Article (May 12, 2014) to implement the new program created by law.

2. Legislative objectives: By enacting Chapter 22 of the Laws of 2014, the Legislature sought to increase the participation in the economy. The Legislature sought to provide additional assistance and support to better equip disabled veterans to form and expand small businesses. Chapter 22 provides that the Director of the Division of Service-Disabled Veterans' Business Development ("Director") or Commissioner of General Services promulgate regulations that contain specific provisions that (a) provide measures and procedures to ensure that SDVOBEs are afforded the opportunity for meaningful participation in the performance of State contracts and to assist in State agencies' identification of those State contracts for which SDVOBEs may best perform; (b) provide for measures and procedures that assist State agencies in the identification of State contracts where service-disabled veteran contract goals are practical, feasible and appropriate for the purpose of increasing the utilization of SDVOBE participation on State contracts; (c) achieve a statewide goal for participation on State contracts by SDVOBEs of six percent; (d) provide for procedures relating to submission and receipt of applications by SDVOBEs for certification; (e) provide for the monitoring and compliance of State contracts by State agencies with respect to the provisions of Article 17-B of the Executive Law; (f) provide for the requirement that State agencies submit regular reports, as determined by the Director, with respect to their SDVOBE program activity, including but not limited to, utilization reporting and State contract monitoring and compliance; (g) notwithstanding any provision of the State Finance Law, the Public Buildings Law, the Highway law, the Transportation Law or the Public Authorities Law to the contrary, provide for the reservation or set-aside of certain procurements by State agencies in order to achieve the objectives of Article 17-B of the Executive Law; provided, however, that such procurements shall remain subject to (i) priority of preferred sources pursuant to Sections 162 and 163 of the State Finance Law; (ii) the approval of the Comptroller of the State of New York pursuant to Sections 112 and 163 of the State Finance Law and Section 2879-a of the Public Authorities Law; and (iii) the procurement record requirements pursuant to 163(9)(g) of the State Finance Law; and (h) provide for any other purposes to effectuate the new Article 17-B.

3. Needs and benefits: In order to enable SDVOBEs to grow and thrive by conducting business with the State of New York, Section 369-i(5) of the Executive Law specifically mandates that regulations be promulgated to effectuate the SDVOBE program. The addition of this new Part is necessary to comply with that mandate and will assist State agencies in maximizing their opportunities.

Among other things, the regulations establish a statewide certification program that provides standards and criteria for the DSDVBD to consider when determining whether to approve, deny or revoke an applicant's SDVOBE certification. Having a set list of criteria and an established process to follow helps to ensure that all applications will be evaluated in a consistent manner. Without these regulations, there is a risk that applicants could be evaluated using different criteria, resulting in inconsistent determinations. Establishing the criteria in regulation creates transparency and ensures the integrity of the program.

These regulations will also assist service-disabled veterans by clarifying the criteria they need to meet in order to submit an application. Providing this information in regulation helps to ensure that any SDVOBE wishing to become certified will know what is expected of them during the application process. Without providing a detailed process to follow, applications could be incomplete upon submission or misdirected to an incorrect location. The regulations provide a clear and single resource for applicants to go to for direction.

Additionally, the new Part 252 establishes standards, criteria and procedures for state agencies to follow when setting annual goals for participation. It also establishes a process by which State agencies submit their master goal plans. The regulations are necessary to maintain consistency across the agencies and establish the information that needs to be reported, as well as the procedures that State agencies must follow when submitting their plans. Finally, the regulations provide consequences for those State agencies failing to meet their goals. In order for the program to be successful, there must be a documented process in place for state agencies that do not comply.

4. Costs:

a. Costs for the implementation of, and continuing compliance with, the rule to regulated parties. OGS expects that there would be minimal, if any costs associated with the proposed regulations. The transmittal of applications and supporting documentation (if mailed) would have minimal costs associated, but are not anticipated to be significant or greater than normal business opportunity costs.

b. Costs for the implementation of, and continued administration of, the rule to the agency and to the State and its local governments. OGS expects to incur only minimal, if any, additional costs associated with the proposed regulations. The creation of a Director position is directed by the legislation. Any costs related to the proposed regulations would be associated with the administrative processing of certification applications submitted by applicants and plans and reports submitted by State agencies and authorities. The regulations do not apply to local governments and therefore do not impose any costs on local governments.

c. The information, including the source or sources of such information, and methodology upon which the cost analysis is based. The cost estimates

are based on OGS's experience with the Minority and Women-Owned Business Enterprise program, which has goals similar to this program.

5. Paperwork: The regulations will have minimal paperwork implications. The DSDVBD will need to create an application form that SDVOBEs may use to apply for certification, but the application is expected to be available on-line as well as in paper form. Additionally, State agencies and authorities are required to prepare goal plans and the DSDVBD is required to submit annual reports, but those requirements are directed by the legislation rather than by the proposed regulations. It is expected that the overall addition of paperwork to comply with the proposed regulations will be minimal.

6. Local government mandates: The subject regulations do not impose any program, service duty or responsibility upon any local governments, school districts, fire districts, or other special districts.

7. Duplication: The subject regulations do not duplicate other existing federal or State requirements.

8. Alternatives: Although the option of taking no regulatory action was considered, this alternative was rejected since Section 369-i(5) of the Executive Law requires that Director or the Commissioner promulgate rules and regulations for the specific purposes provided above in the "legislative objectives" section of this statement.

OGS has drafted these regulations streamlining the certification process and operations of the SDVOBE program to ensure that the benefits of the program are quickly provided to these businesses and diversify State procurements.

9. Federal standards: The regulations do not exceed any federal standards for similar SDVOBE programs.

10. Compliance schedule: OGS expects that regulated parties will be able to comply with the regulations when adopted.

***Revised Regulatory Flexibility Analysis, Revised Rural Area Flexibility Analysis and Revised Job Impact Statement***

No changes were made to the Statement in Lieu of a Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement previously filed for this rulemaking, on November 17, 2014.

***Initial Review of Rule***

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2018, which is no later than the 3rd year after the year in which this rule is being adopted.

***Assessment of Public Comment***

The only comments received were joint comments from New York State Assemblymembers Benedetto, Englebright, and Zebrowski.

Comment: A number of the comments made by the Assemblymembers suggest that the language of the Service-Disabled Veteran-Owned Business Enterprises ("SDVOBE") regulations should mirror the text of the regulations for the Minority- and Women-Owned Business Enterprises ("MWBE") program.

Response: OGS recognizes that the rules for the two programs are different. While there are similar purposes behind the two programs, there are unique aspects to both and those differences are reflected in the different rules. Unlike the MWBE program, a disparity study does not support the SDVOBE program. Data on the number and types of SDVOBEs, their operational issues, capacity, and ability to participate in public procurement is not readily available. OGS appreciates the comments made by the Assemblymembers and while no substantive changes to the rules are being made at this time, OGS recognizes that this is a new and innovative program and that, consequently, some change over time is inevitable. As OGS gains experience and data to enable OGS to enhance and improve the program, some changes may be necessary. Some of those may be addressed administratively and others may be handled through amendments to the rules.

Comment: The commenters express concern that Section 252.2(h)(1) permits State agencies to seek a "blanket waiver" of the SDVOBE goals and suggest that such provision be deleted from the rule.

Response: Section 252.2(h)(1) in referring to the "waiver" notes that the State agency must follow the process set forth in Section 252.2(m). In that subdivision, waivers are clearly associated with each proposed State contract award that includes the SDVOBE goals. Any waiver is attached to a specific State contract. In complying with the waiver requirements in Section 252.2(m), granting of a "blanket waiver" is not a possible outcome and is not part of the SDVOBE program.

Comment: The commenters note that Section 252.2(e), which sets forth the information that State agencies must report to OGS, includes the number of SDVOBEs certified, the number of applications for certification, the number of denials for certification, the number of appeals of such denials, the outcome of such appeals, and the average time required for the completion of the certification process. Because the certification process is under the control of OGS, this is information that OGS should already have, so it makes no sense for State agencies to report it to OGS. These items should be removed from the reporting requirements in Section 252.2(e).

Response: Section 252.2(e) has been revised to make the requested change.

Comment: Section 252.3(c)(3) states that if a SDVOBE that applies for certification is denied, a written notice will be provided stating the reasons for denial and the procedures for filing an appeal before a hearing officer. The commenters note, however, that there are no procedures outlined in the rules for the conduct of such an appeal. The hearing procedures set forth in Section 252.3(d) apply only to appeals of revocations, not denials of an application for certification.

Response: While procedures for the conduct of an appeal are not set forth in the rules, the intent is to provide information about the process and the associated procedures as part of the written notice. The process and associated procedures will provide due process to the applicant and will ensure that an appeal is fairly evaluated and an impartial decision rendered based on the facts, the law and these rules. As experience is gained in overseeing the SDVOBE program, a further review will be conducted to determine whether there is a benefit to outlining the process and procedures in these rules. In the interim, some latitude will provide opportunities to adjust practices based on the nature of the appeals that arise during implementation of the program.

Comment: The commenters note that the definition of "State agency" in Section 252.1(w) does not mirror the definition of such term in Executive Law § 369-h(6), as it should, which means that the rules do not bind the Dormitory Authority, the Facilities Development Corporation, NYSERDA, and the New York State Science and Technology Foundation when they enter into State contracts on behalf of a number of State authorities. The rule should be revised to match the statute.

Response: Section 252.1(w) has been revised to make the requested change.

Comment: The commenters note that Section 252.2(l)(9) states that a contractor changing its utilization plan after submission must notify the State agency and obtain approval "in accordance with this section and this subdivision." The commenters correctly surmise that the confusing language is a result of an inartful translation of the MWBE rule in 5 NYCRR § 142.6.

Response: Section 252.2(l)(9) has been revised to read "in accordance with this subdivision and subdivision (n) of this section."

Comment: The commenters state that Section 252.2(i) contains an erroneous reference to "certified minority- and women-owned business enterprises" rather than "certified service-disabled veteran-owned business enterprises."

Response: It appears the commenters may be referring to an early nonfinal version of the emergency rules. Section 252.2(i) of the emergency rules posted on the OGS website properly refer to certified SDVOBEs.

# Office of Mental Health

## NOTICE OF ADOPTION

### Vital Access Program and Providers

**I.D. No.** OMH-46-14-00005-A

**Filing No.** 23

**Filing Date:** 2015-01-09

**Effective Date:** 2015-01-28

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

***Action taken:*** Addition of Part 530 to Title 14 NYCRR.

***Statutory authority:*** Mental Hygiene Law, sections 7.09, 31.02 and 43.02; L. 2014, ch. 53

***Subject:*** Vital Access Program and Providers.

***Purpose:*** To establish a process by which providers may be designated as Vital Access Providers to receive supplemental funding.

***Text of final rule:*** A new Part 530 is added to 14 NYCRR to read as follows:

*PART 530*

*VITAL ACCESS PROGRAM and PROVIDERS*

*(Statutory authority: Mental Hygiene Law §§ 7.09, 31.02, 43.02, Chapter 53 of the Laws of 2014)*

*530.1 Background and Intent.*

*The purpose of this Part is to provide a means to support the stability and geographic distribution of mental health clinic services throughout all geographic and economic regions of the State. A designation of Vital*

*Access Provider denotes the Commissioner's determination to ensure patient access to a provider's essential services otherwise jeopardized by the provider's payer mix or geographic isolation.*

*530.2 Legal Base.*

*(a) Section 7.09 of the Mental Hygiene Law authorizes the Commissioner to adopt regulations that are necessary and proper to implement matters under his or her jurisdiction.*

*(b) Section 31.02 of the Mental Hygiene Law authorizes the Commissioner to issue operating certificates for the provision of inpatient and outpatient mental health services.*

*(c) Section 43.02 of the Mental Hygiene Law authorizes the Office to establish rates or methods of payment for services at facilities subject to licensure or certification by the Office.*

*(d) Chapter 53 of the Laws of 2014 authorizes the Commissioner to provide special funding to certain designated providers.*

*530.3 Definitions.*

*(a) Vital Access Program ("VAP") means a program of supplemental funding and/or temporary rate or fee adjustments available to providers of mental health services that are determined by the Commissioner to be essential to the availability of mental health services in a geographic or economic region of the State but in financial jeopardy due to their payer mix or geographic isolation.*

*(b) Vital Access Provider means a provider of mental health clinic services that is licensed under Article 31 of the Mental Hygiene Law and that is designated by the Commissioner as eligible for participation in the Vital Access Program. It does not include a provider that is licensed under Article 28 of the Public Health Law.*

*530.4 Vital Access Program.*

*(a) The Commissioner may accept applications from licensed providers of mental health clinic services requesting designation as a Vital Access Provider eligible to receive supplemental funding or a temporary rate adjustment. The Commissioner may give priority to providers serving regions or populations in the State that he or she shall determine are in special need of services. Such applications must sufficiently demonstrate that:*

*(1) The provider is essential to maintaining access to the mental health services it is authorized to provide to individuals with mental illness who reside in the geographic or economic region of the State served by the provider;*

*(2) The provider is in financial jeopardy due to payer mix or geographic isolation;*

*(3) The additional resources provided by supplemental funding or a rate or fee adjustment will achieve one or more of the following:*

*(i) protect or enhance access to care;*

*(ii) protect or enhance quality of care;*

*(iii) improve the cost effectiveness of the delivery of health care services; or*

*(iv) otherwise protect or enhance the health care delivery system, as determined by the Commissioner.*

*(b) Application.*

*(1) The written application required pursuant to subdivision (a) of this Section shall be submitted to the Commissioner at least sixty (60) days prior to the requested effective date of the designation as a Vital Access Provider and shall include a proposed budget to achieve the goals identified in the application.*

*(2) The Commissioner may require that applications submitted pursuant to this Section be submitted in response to, and in accordance with, a Request For Applications or a Request For Proposals issued by the Office.*

*(c) Reimbursement.*

*A provider that is designated as a Vital Access Provider shall be eligible to receive supplemental funding or a temporary rate or fee adjustment.*

*(d) Conditions on Approval.*

*(1) Any temporary rate adjustment issued pursuant to this section shall be in effect for a specified period of time of no more than three years, as determined by the Commissioner, based upon review and approval of a specific plan of action to achieve one or more of the goals set forth in subdivision (a) of this section. At the end of the specified timeframe, the provider shall be reimbursed in accordance with the otherwise applicable rate-setting methodology or fee schedule pertaining to such provider.*

*(2) The Commissioner may establish, as a condition of designation as a Vital Access Provider, benchmarks, goals and standards to be achieved, and may require such periodic reports as he or she shall determine to be necessary to ensure their achievement. A determination by the Commissioner of a failure to demonstrate satisfactory progress in achieving such benchmarks, goals and standards shall be a basis for revoking the provider's designation as a Vital Access Provider, and terminating the supplemental funding or temporary rate or fee adjustment prior to the end of the specified timeframe.*

*(3) No portion of the funds received pursuant to this Part shall be used for the payment of any prior debt or obligation incurred by the designated provider, or for any purpose not related to the purposes set forth in this Part.*

***Final rule as compared with last published rule:*** Nonsubstantive changes were made in section 530.4(d)(1) and (2).

***Text of rule and any required statements and analyses may be obtained from:*** Sue Watson, NYS Office of Mental Health, 44 Holland Avenue, Albany, NY 12229, (518) 474-1331, email: Sue.Watson@omh.ny.gov

***Revised Regulatory Impact Statement***

The changes made to the published rule do not necessitate revision to the previously published Regulatory Impact Statement ("RIS") for the regulatory filing to create a new 14 NYCRR Part 503 – Vital Access Program and Providers. The revisions to the rule merely clarify the text by correcting technical errors (i.e., citation and grammar), which require no change to the RIS.

***Revised Regulatory Flexibility Analysis***

The changes made to the published rule do not necessitate revision to the previously published Regulatory Flexibility Analysis for Small Business and Local Governments ("RFASBLG") for the regulatory filing to create a new 14 NYCRR Part 530 – Vital Access Program and Providers. The revisions to the rule merely clarify the text by correcting technical errors (i.e., citation and grammar), which require no change to the RFASBLG.

***Revised Rural Area Flexibility Analysis***

The changes made to the published rule do not necessitate revision to the previously published Rural Area Flexibility Analysis ("RAFA") for the regulatory filing to create a new 14 NYCRR Part 530 – Vital Access Program and Providers. The revisions to the rule merely clarify the text by correcting technical errors (i.e., citation and grammar), which require no change to the RAFA.

***Revised Job Impact Statement***

The changes made to the published rule do not necessitate revision to the previously published Job Impact Statement ("JIS") for the regulatory filing to create a new 14 NYCRR Part 530 – Vital Access Program and Providers. The revisions to the rule merely clarify the text by correcting technical errors (i.e., citation and grammar), which require no change to the JIS.

***Initial Review of Rule***

As a rule that does not require a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2020, which is no later than the 5th year after the year in which this rule is being adopted.

***Assessment of Public Comment***

The agency received no public comment.

## NOTICE OF ADOPTION

### Medical Assistance Rates of Payment for Residential Treatment Facilities for Children and Youth

**I.D. No.** OMH-47-14-00011-A

**Filing No.** 44

**Filing Date:** 2015-01-13

**Effective Date:** 2015-01-28

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

***Action taken:*** Amendment of Part 578 of Title 14 NYCRR.

***Statutory authority:*** Mental Hygiene Law, sections 7.09 and 43.02

***Subject:*** Medical Assistance Rates of Payment for Residential Treatment Facilities for Children and Youth.

***Purpose:*** Elimination of the trend factor effective July 1, 2014 through June 30, 2015.

***Text or summary was published*** in the November 26, 2014 issue of the Register, I.D. No. OMH-47-14-00011-P.

***Final rule as compared with last published rule:*** No changes.

***Text of rule and any required statements and analyses may be obtained from:*** Sue Watson, NYS Office of Mental Health, 44 Holland Avenue, Albany, NY 12229, (518) 474-1331, email: Sue.Watson@omh.ny.gov

***Initial Review of Rule***

As a rule that does not require a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2020, which is no later than the 5th year after the year in which this rule is being adopted.

***Assessment of Public Comment***

The agency received no public comment.

## PROPOSED RULE MAKING
## NO HEARING(S) SCHEDULED

### Prevention of Influenza Transmission

**I.D. No.** OMH-04-15-00002-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

***Proposed Action:*** Amendment of Part 509 of Title 14 NYCRR.

***Statutory authority:*** Mental Hygiene Law, sections 7.07, 7.09 and 31.04

***Subject:*** Prevention of Influenza Transmission.

***Purpose:*** Provide clarification and flexible system for documentation.

***Text of proposed rule:*** 1. Section 509.3 of Title 14 NYCRR is amended to read as follows:

§ 509.3 Definitions. For the purposes of this Part:

(a) Facility shall mean:

(1) a psychiatric center established pursuant to Section 7.17 of the Mental Hygiene Law; including all programs or services operated by, or under the auspices of, such psychiatric center;

(2) a hospital operated pursuant to Part 582 of this Title.

(b) Influenza season shall mean the period of time during which influenza is prevalent as determined by the Commissioner of Health.

(c) *Influenza vaccine or Vaccine shall mean a vaccine currently licensed for immunization and distribution in the United States by the Food and Drug Administration (FDA) for active immunization for the prevention of influenza disease caused by influenza virus(es) or authorized for such use by the FDA pursuant to an Emergency Use Authorization (EUA) or as an Emergency Investigational New Drug (EIND).*

*(d) Patient shall mean any person receiving services from a facility, as defined in this section, as well as any person presenting for admission to a facility.*

[(d)]*(e)* Personnel shall mean all persons employed or affiliated with a facility, as defined in this Section, whether paid or unpaid, including but not limited to employees, members of the medical, nursing, and other treatment staff, contract staff, students, and volunteers, who engage in activities such that if they were infected with influenza, they could potentially expose patients to the disease.

2. Section 509.4 of Title 14 NYCRR is amended to read as follows:

Section 509.4 Documentation Requirements.

(a) All facilities shall determine and document which persons qualify as ''personnel'' under this Part.

(b) All facilities shall document the influenza vaccination status of all personnel for the current influenza season in a secure file separate from their personnel history folder. Documentation of vaccination must include [the name and address of the individual who ordered or administered the vaccine and the date of vaccination.]*:*

*(1) a document prepared by the licensed healthcare practitioner who administered the vaccine, indicating that one dose of influenza vaccine was administered, and specifying the vaccine formulation and the date of administration; or*

*(2) for personnel employed by a healthcare employer other than the facility in which he or she is providing services, an attestation by the employer that the employee(s) named in the attestation has been vaccinated against influenza for the current influenza season, and that the health care employer maintains documentation of vaccination of the employee(s), as described in paragraph (1) of this subdivision; or*

*(3) for student personnel, an attestation by the professional school that the student(s) named in the attestation has been vaccinated against influenza for the current influenza season, and that the school maintains documentation of the vaccination of the student(s) as described in paragraph (1) of this subdivision.*

(c) During the influenza season, all facilities shall ensure that all personnel who have not been vaccinated against influenza for the current influenza season wear a surgical or procedure mask while in areas where patients [may be] *are typically* present[. Facilities shall supply such masks to personnel, free of charge.]*, except that:*

*(1) when personnel provide services outside the facility, mask wear shall not be required by this section, provided that this paragraph shall not be interpreted as eliminating the requirement that personnel wear a mask pursuant to standard and transmission-based precautions not addressed by this section;*

*(2) personnel required to wear a mask by this subdivision, but who provide speech therapy services, may remove the mask when necessary to deliver care, such as when modeling speech; and*

*(3) for any person who lip reads, personnel required to wear a mask by this subdivision may remove the mask when necessary for communication.*

(d) Upon the request of the Office, a facility must report the number and percentage of personnel that have been vaccinated against influenza for the current influenza season.

(e) All facilities shall develop and implement a policy and procedure to ensure compliance with the provisions of this Part. The policy and procedure shall include, but is not limited to, the identification of those areas where unvaccinated personnel must wear a mask pursuant to subdivision (c) of this Section.

(f) *Facilities shall supply surgical or procedure masks required by this section at no cost to personnel.*

*(g) Nothing in this Part shall be interpreted as prohibiting any facility from adopting policies that are more stringent than the requirements of this Part.*

[(f)]*(h)* For those facilities that are required to comply with 10 NYCRR Section 2.59, compliance with such Section shall be deemed compliance with this Part.

***Text of proposed rule and any required statements and analyses may be obtained from:*** Sue Watson, NYS Office of Mental Health, 44 Holland Avenue, Albany, NY 12229, (518) 474-1331, email: Sue.Watson@omh.ny.gov

***Data, views or arguments may be submitted to:*** Same as above.

***Public comment will be received until:*** 45 days after publication of this notice.

***Regulatory Impact Statement***

1. Statutory Authority: Section 7.07 of the Mental Hygiene Law charges the Office of Mental Health with the responsibility for seeing that persons with mental illness are provided with care and treatment, and that such care, treatment and rehabilitation is of high quality and effectiveness.

Section 7.09 of the Mental Hygiene Law gives the Commissioner of the Office of Mental Health the power and responsibility to adopt regulations that are necessary and proper to implement matters under his or her jurisdiction.

Section 31.04 of the Mental Hygiene Law grants the Commissioner of Mental Health the power and responsibility to adopt regulations to effectuate the provisions and purposes of Article 31 of such law, including procedures for the issuance and amendment of operating certificates, and for setting standards of quality and adequacy of facilities.

2. Legislative Objectives: Articles 7 and 31 of the Mental Hygiene Law reflect the Commissioner's authority to establish regulations regarding mental health programs and charges OMH with the responsibility for ensuring that persons with mental illness receive high quality care and treatment.

3. Needs and Benefits: Part 509 of Title 14 NYCRR requires all OMH-operated psychiatric centers (including all programs and services operated by, or under the auspices of such psychiatric centers) and Article 31 "free standing" psychiatric hospitals to ensure that all personnel who have not been vaccinated against influenza wear a mask during the influenza season. These regulations are consistent with New York State Department of Health (DOH) regulations at 10 NYCRR Section 2.59, which require all unvaccinated personnel in certain health settings to wear surgical or procedure masks during the time when the Commissioner of Health determines that influenza is prevalent. The DOH regulations apply to general hospitals, nursing homes, diagnostic and treatment centers, certified home health agencies, long term home health care programs, acquired immune deficiency syndrome (AIDS) home care programs, licensed home care service agencies, limited licensed home care service agencies and hospices (licensed by DOH under Public Health Law, Articles 28, 36 and 40). DOH recently enacted clarifying amendments to its regulations, which codified its interpretation of 10 NYCRR Section 2.59, as published by DOH in a document entitled "Frequently Asked Questions (FAQ) Regarding Title 10 Section 2.59 "Regulations for Prevention of Influenza Transmission by Healthcare and Residential Facility and Agency Personnel." OMH's proposed amendments to 14 NYCRR Part 509 mirror the DOH amendments. Specifically, the amendments clarify that the masking requirement applies in those areas where patients are "typically" present. The proposed amendments also define "influenza vaccine" to mean a vaccine approved as an influenza vaccine by the Food and Drug Administration (FDA) or pursuant to an Emergency Use Authorization (EUA) or as an Emergency Investigational New Drug (EIND). The amendments also clarify that the regulation is not intended to require mask wearing while a patient is receiving services outside the regulated facility. The final clarification amendment provides that the regulation should not be interpreted as requiring mask wear by unvaccinated personnel who provide speech therapy services, during the time that such personnel are providing care. Similarly, for any person who reads lips, unvaccinated personnel may remove the mask when necessary to communicate.

The proposed amendments to 14 NYCRR Part 509 also replicate a substantive change made by DOH to 10 NYCRR Section 2.59, i.e., they revise the documentation requirement for facilities. The intent of this

change is to create a more flexible system for documenting a vaccination status, thereby easing the paperwork burden on regulated facilities. Specifically, required documentation would include only the date of vaccination and information specifying the vaccine formulation administered. Further, where the personnel of a facility includes contract staff and students, the facility may accept an attestation from the employer or school, stating that the specified persons have been vaccinated and that the employer or school maintains the required documentation.

4. Costs: (a) Costs to Local Government: These regulatory amendments will not result in any additional costs to local government.

(b) Costs to State and Regulated Parties: These regulatory amendments will not result in any additional costs to the State or regulated parties.

5. Local Government Mandates: These regulatory amendments will not result in any additional imposition of duties or responsibilities upon county, city, town, village, school or fire districts, except to the extent that the local governmental unit is a provider of services.

6. Paperwork: These amendments will not result in any increase in paperwork requirements of facilities covered by the regulations. In fact, the amendments to the documentation requirements are intended to reduce paperwork burdens.

7. Duplication: These regulatory amendments do not duplicate existing State or federal requirements. In instances where an inpatient program is required to comply with the Department of Health regulations found in 10 NYCRR Section 2.59, compliance with that section shall be deemed compliance with this Part.

8. Alternatives: As the amendments are intended to conform OMH regulations with similar DOH regulations, no alternatives were considered.

9. Federal Standards: The regulatory amendments do not exceed any minimum standards of the federal government for the same or similar subject areas.

10. Compliance Schedule: These regulatory amendments will be effective immediately upon adoption.

***Regulatory Flexibility Analysis***

14 NYCRR Part 509 requires all OMH-operated psychiatric centers (including all programs and services operated by, or under the auspices of such psychiatric centers) and Article 31 "free standing" psychiatric hospitals to ensure that all personnel who have not been vaccinated against influenza wear a mask during the influenza season. These regulations are consistent with similar New York State Department of Health (DOH) regulations at 10 NYCRR Section 2.59. DOH recently enacted clarifying amendments to its regulations, and OMH's proposed amendments to 14 NYCRR Part 509 mirror the DOH amendments. Specifically, the amendments:

- clarify that the masking requirement applies in those areas where patients are "typically" present;
- define "influenza vaccine" to mean a vaccine approved as an influenza vaccine by the Food and Drug Administration (FDA) or pursuant to an Emergency Use Authorization (EUA) or as an Emergency Investigational New Drug (EIND);
- clarify that the regulation is not intended to require mask wearing while a patient is receiving services outside the regulated facility;
- clarify that the regulation should not be interpreted as requiring mask wear by unvaccinated personnel who provide speech therapy services, during the time that such personnel are providing care, and for any person who reads lips, unvaccinated personnel may remove the mask when necessary to communicate; and
- revise the documentation requirement to create a more flexible system for documenting a vaccination status, thereby easing the paperwork burden on regulated facilities.

As stated above, the provisions of 14 NYCRR Part 509 apply to OMH-operated psychiatric centers (including all programs and services operated by, or under the auspices of such psychiatric centers) and "free standing" psychiatric hospitals licensed under Article 31 of the Mental Hygiene Law. All of these hospitals employ more than 100 people; therefore, none of them qualify as a small business. As there will be no adverse economic impact on small business or local governments, a Regulatory Flexibility Analysis for Small Business and Local Governments has not been submitted with this notice.

***Rural Area Flexibility Analysis***

1. Description of the types and estimation of the number of rural areas in which the rule will apply: In New York State, 43 counties have a population of less than 200,000: Allegany, Cattaraugus, Cayuga, Chautauqua, Chemung, Chenango, Clinton, Columbia, Cortland, Delaware, Essex, Franklin, Fulton, Genesee, Greene, Hamilton, Herkimer, Jefferson, Lewis, Livingston, Madison, Montgomery, Ontario, Orleans, Oswego, Otsego, Putnam, Rensselaer, St. Lawrence, Schenectady, Schoharie, Schuyler, Seneca, Steuben, Sullivan, Tioga, Tompkins, Ulster, Warren, Washington, Wayne, Wyoming and Yates. Additionally, 10 counties with certain townships have a population density of 150 persons or less per square mile: Albany, Broome, Dutchess, Erie, Monroe, Niagara, Oneida, Onondaga, Orange, and Saratoga.

14 NYCRR Part 509 requires all OMH-operated psychiatric centers (including all programs and services operated by, or under the auspices of such psychiatric centers) and Article 31 "free standing" psychiatric hospitals to ensure that all personnel who have not been vaccinated against influenza wear a mask during the influenza season. These regulations are consistent with similar New York State Department of Health (DOH) regulations at 10 NYCRR Section 2.59. DOH recently enacted clarifying amendments to its regulations, and OMH's proposed amendments to 14 NYCRR Part 509 mirror the DOH amendments. Specifically, the amendments:

- clarify that the masking requirement applies in those areas where patients are "typically" present;
- define "influenza vaccine" to mean a vaccine approved as an influenza vaccine by the Food and Drug Administration (FDA) or pursuant to an Emergency Use Authorization (EUA) or as an Emergency Investigational New Drug (EIND);
- clarify that the regulation is not intended to require mask wearing while a patient is receiving services outside the regulated facility;
- clarify that the regulation should not be interpreted as requiring mask wear by unvaccinated personnel who provide speech therapy services, during the time that such personnel are providing care, and for any person who reads lips, unvaccinated personnel may remove the mask when necessary to communicate; and
- revise the documentation requirement to create a more flexible system for documenting a vaccination status, thereby easing the paperwork burden on regulated facilities.

2. Reporting, recordkeeping and other compliance requirements and professional services: All facilities covered by the regulation will have to document the vaccination status of each personnel member as defined in this regulation for influenza virus; however, the amendments to Part 509 revise the documentation requirements to create a more flexible system for documenting a vaccination status, thereby easing the paperwork burden on regulated facilities. No additional professional services are required as a result of this regulation.

3. Compliance costs: These amendments do not create any new costs for small businesses or local governments. To the extent that regulated parties are located in rural areas, the revised documentation requirements are expected to ease the regulatory burden on these entities.

4. Economic and technological feasibility: This proposal is economically and technically feasible, as it does not impose any additional burdens.

5. Minimizing adverse impact: This proposal does not create any adverse effect on regulated parties that would require a minimization analysis.

6. Participation of public and private interests in rural areas: In accordance with statutory requirements, the rule will be presented to the Behavioral Health Services Advisory Council for review and recommendation at an upcoming meeting.

***Job Impact Statement***

A Job Impact Statement for these amendments is not being submitted with this rule making. The amendments to 14 NYCRR Part 509 provide clarification and allow for a more flexible documentation system with respect to mask wearing requirements during influenza season in all OMH-operated psychiatric centers (including all programs and services operated by, and under the auspices of, such psychiatric centers) and Article 31 "free standing" psychiatric hospitals. It is apparent from the nature and purpose of the rule that it will not have an impact on jobs and employment opportunities.

# Department of Motor Vehicles

## NOTICE OF EXPIRATION

The following notice has expired and cannot be reconsidered unless the Department of Motor Vehicles publishes a new notice of proposed rule making in the NYS *Register.*

**Personalized Plates for Historical Motor Vehicles**

| I.D. No. | Proposed | Expiration Date |
|---|---|---|
| MTV-01-14-00006-P | January 8, 2014 | January 8, 2015 |

# Niagara Frontier Transportation Authority

## PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

**Smoking**

**I.D. No.** NFT-04-15-00015-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

***Proposed Action:*** This is a consensus rule making to amend Part 1151 of Title 21 NYCRR.

***Statutory authority:*** Public Authorities Law, sections 1299-e (14), 1299-f(4) and (7)

***Subject:*** Smoking.

***Purpose:*** To clarify where smoking is prohibited at NFTA locations.

***Text of proposed rule:*** Section 1151.9 is amended to read as follows:

1151.9 Smoking.

No person shall smoke, carry or possess a lighted cigarette, cigar, pipe, match or other lighted equipment capable of causing naked flame inside any transportation facility or transportation vehicle. No person shall use any electronic or battery operated device that is capable of delivering vapor for inhalation, with or without nicotine, inside any transportation facility or transportation vehicle. No person shall smoke, carry or possess a lighted cigarette, cigar, pipe, match or other lighted equipment capable of causing naked flame, or use any electronic or battery operated device that is capable of delivering vapor for inhalation, with or without nicotine:

(a) within 20 feet of the main entrance to any transportation facility;

(b) inside any covered parking area that is physically part of or connected to a transportation facility;

(c) within 20 feet of building air intake ducts; [and]

(d) within 20 feet of the storage of flammable and combustible materials[.]*;*

*(e) outside the designated smoking area for the Metropolitan Transportation Center that is on North Division Street, across from the taxi parking;*

*(f) outside the designated smoking area for the Buffalo Niagara International Airport that is located outside the arrivals and departures area of the terminal; and*

*(g) outside either of the two designated smoking areas at the Niagara Falls International Airport that are located at opposite ends outside the terminal.*

***Text of proposed rule and any required statements and analyses may be obtained from:*** Brigette R. Whitmore, Niagara Frontier Transportation Authority, 181 Ellicott Street, Buffalo, New York 14203, (716) 855-7219, email: Brigette_Whitmore@nfta.com

***Data, views or arguments may be submitted to:*** Same as above.

***Public comment will be received until:*** 45 days after publication of this notice.

***Consensus Rule Making Determination***

The Niagara Frontier Transportation Authority has determined that no person is likely to object to the rule being repealed or the rule as written for the following reasons:

1. Most of the changes are explanatory and/or are technical in nature.
2. None of the changes are controversial.

***Job Impact Statement***

The Niagara Frontier Transportation Authority has determined adoption of the proposed rule will have no impact on jobs or employment opportunities for the following reasons:

1. The subject of the proposed rule is the regulation of smoking at NFTA facilities. The rule does not impact hiring practices nor does it change the rules regarding smoking inside NFTA facilities.

# Office for People with Developmental Disabilities

## NOTICE OF ADOPTION

**Amendments to Rate Setting Methodology: Rates for Residential Habilitation Delivered in IRAs and CRs and for Day Habilitation**

**I.D. No.** PDD-46-14-00003-A

**Filing No.** 41

**Filing Date:** 2015-01-13

**Effective Date:** 2015-01-28

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

***Action taken:*** Amendment of Subpart 641-1 of Title 14 NYCRR.

***Statutory authority:*** Mental Hygiene Law, sections 13.09(b) and 43.02

***Subject:*** Amendments to Rate Setting Methodology: Rates for Residential Habilitation Delivered in IRAs and CRs and for Day Habilitation.

***Purpose:*** To amend the new rate setting methodology that was effective in July 2014.

***Text or summary was published*** in the November 19, 2014 issue of the Register, I.D. No. PDD-46-14-00003-EP.

***Final rule as compared with last published rule:*** No changes.

***Text of rule and any required statements and analyses may be obtained from:*** Regulatory Affairs Unit, OPWDD, 44 Holland Avenue, Albany, NY 12229, (518) 474-1830, email: RAU.unit@opwdd.ny.gov

***Additional matter required by statute:*** Pursuant to the requirements of the State Environmental Quality Review Act, OPWDD, as lead agency, has determined that the action described herein will have no effect on the environment, and an E.I.S. is not needed.

***Assessment of Public Comment***

The agency received no public comment.

## NOTICE OF ADOPTION

**Amendments to Rate Setting for Non-State Providers: Intermediate Care Facilities for Persons with Developmental Disabilities**

**I.D. No.** PDD-46-14-00004-A

**Filing No.** 40

**Filing Date:** 2015-01-13

**Effective Date:** 2015-01-28

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

***Action taken:*** Amendment of Subpart 641-2 of Title 14 NYCRR.

***Statutory authority:*** Mental Hygiene Law, sections 13.09(b) and 43.02

***Subject:*** Amendments to Rate Setting for Non-State Providers: Intermediate Care Facilities for Persons with Developmental Disabilities.

***Purpose:*** To amend the new rate setting methodology that was effective July 2014.

***Text or summary was published*** in the November 19, 2014 issue of the Register, I.D. No. PDD-46-14-00004-EP.

***Final rule as compared with last published rule:*** No changes.

***Text of rule and any required statements and analyses may be obtained from:*** Regulatory Affairs Unit, OPWDD, 44 Holland Avenue, Albany, NY 12229, (518) 474-1830, email: RAU.unit@opwdd.ny.gov

***Additional matter required by statute:*** Pursuant to the requirements of the State Environmental Quality Review Act, OPWDD, as led agency, has determined that the action described herein will have no effect on the environment, and an E.I.S. is not needed.

***Assessment of Public Comment***

The agency received no public comment.

# Public Service Commission

## NOTICE OF ADOPTION

### Approve the Waiver Request of Tariff Provisions and Main Extension Regulations

**I.D. No.** PSC-17-12-00015-A
**Filing Date:** 2015-01-12
**Effective Date:** 2015-01-12

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

***Action taken:*** On 1/8/15, the PSC adopted an order approving the joint petition of Saratoga Water Services, Inc./Thomas P. Deveno and Thomas J. Farone for a waiver of tariff provisions and main extension regulations to allow for the provision of service.

***Statutory authority:*** Public Service Law, sections 4(1), 20(1) and 89-b

***Subject:*** Approve the waiver request of tariff provisions and main extension regulations.

***Purpose:*** To approve the waiver of tariff provisions and main extension regulations.

***Substance of Final Rule:*** The Commission, on January 8, 2015, adopted an order approving the joint petition of Saratoga Water Services, Inc. (SWS) and Thomas P. Deveno and Thomas J. Farone for a waiver of SWS's tariff provisions and main extension regulations to allow for the provision of service to a proposed project in the Town of Malta, Saratoga County, subject to the terms and conditions set forth in the order.

***Final rule as compared with last published rule:*** No changes.

***Text of rule may be obtained from:*** Elaine Agresta, Public Service Commission, Three Empire State Plaza, Albany, New York 12223, (518) 486-2660, email: elaine.agresta@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

***Assessment of Public Comment***

An assessment of public comment is not submitted with this notice because the rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(12-W-0148SA1)

## NOTICE OF ADOPTION

### Denying a Petition to Allow Certain NYPA Municipal Customers to Opt-In to SBC and RPS Programs

**I.D. No.** PSC-25-14-00012-A
**Filing Date:** 2015-01-13
**Effective Date:** 2015-01-13

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

***Action taken:*** On 1/8/15, the PSC adopted an order denying the petition of Global Structured Finance Advisors and GP Renewables & Trading, on behalf of New York Power Authority municipal customers seeking to opt-in to SBC and RPS Programs.

***Statutory authority:*** Public Service Law, sections 4(1), 5(1)(b), (2), 65(1), 66(1), (2), (4), (5), (9) and (12)

***Subject:*** Denying a petition to allow certain NYPA municipal customers to opt-in to SBC and RPS programs.

***Purpose:*** To deny a petition to allow certain NYPA municipal customers to opt-in to SBC and RPS programs.

***Substance of final rule:*** The Commission, on January 8, 2015, adopted an order denying the petition of Global Structured Finance Advisors and GP Renewables & Trading, on behalf of New York Power Authority municipal customers seeking to opt-in to the System Benefits Charge and Renewable Portfolio Standard programs, subject to the terms and conditions set forth in the order.

***Final rule as compared with last published rule:*** No changes.

***Text of rule may be obtained from:*** Elaine Agresta, Public Service Commission, Three Empire State Plaza, Albany, New York 12223, (518) 486-2660, email: elaine.agresta@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

***Assessment of Public Comment***

An assessment of public comment is not submitted with this notice because the rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(03-E-0188SA50)

## NOTICE OF ADOPTION

### Allowing Quadlogic Controls to Use the Quadlogic MiniCloset – 5N Multi Tenant Smart Meter

**I.D. No.** PSC-28-14-00011-A
**Filing Date:** 2015-01-12
**Effective Date:** 2015-01-12

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

***Action taken:*** On 1/8/15, the PSC adopted an order approving the petition of Quadlogic Controls Corporation for the Quadlogic MiniClosset – 5N, to be used to monitor electric flow in submetering applications.

***Statutory authority:*** Public Service Law, section 67(1)

***Subject:*** Allowing Quadlogic Controls to use the Quadlogic MiniCloset – 5N Multi Tenant Smart Meter.

***Purpose:*** To allow Quadlogic MiniCloset – 5N Multi Tenant Smart Meter in New York State.

***Substance of final rule:*** The Commission, on January 8, 2015, adopted an order approving a petition filed by Quadlogic Controls Corporation to allow the use of the Quadlogic Controls MiniCloset – 5N electric meter for submetering applications, subject to the terms and conditions set forth in the order.

***Final rule as compared with last published rule:*** No changes.

***Text of rule may be obtained from:*** Elaine Agresta, Public Service Commission, Three Empire State Plaza, Albany, New York 12223, (518) 486-2660, email: elaine.agresta@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

***Assessment of Public Comment***

An assessment of public comment is not submitted with this notice because the rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(14-E-0223SA1)

## NOTICE OF ADOPTION

### Adopting a Joint Proposal to Resolve a Dispute Over Gas Imbalance Charges

**I.D. No.** PSC-29-14-00008-A
**Filing Date:** 2015-01-09
**Effective Date:** 2015-01-09

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

***Action taken:*** On 1/8/15, the PSC adopted an order approving the terms of a joint proposal resolving a dispute regarding Energy Service Company gas imbalance charges.

***Statutory authority:*** Public Service Law, sections 5(1)(b), 65(1) and 66(1)

***Subject:*** Adopting a joint proposal to resolve a dispute over gas imbalance charges.

***Purpose:*** To adopt a joint proposal to resolve a dispute over gas imbalance charges.

***Substance of final rule:*** The Commission, on January 8, 2015, adopted the terms of a joint proposal, as modified, by Consolidated Edison Company of New York, Inc., the Marathon Energy Coalition, and Censtar Energy Corp. that resolves a dispute regarding Energy Service Company gas imbalance charges for the months of January, February and March, 2014, subject to the terms and conditions set forth in the order.

***Final rule as compared with last published rule:*** No changes.

***Text of rule may be obtained from:*** Elaine Agresta, Public Service Commission, Three Empire State Plaza, Albany, New York 12223, (518) 486-2660, email: elaine.agresta@dps.ny.gov An IRS employer ID no. or social

security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

***Assessment of Public Comment***

An assessment of public comment is not submitted with this notice because the rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(14-G-0138SA1)

## NOTICE OF ADOPTION

### To Retain $13.5 Million, the Intrastate Portion, of a $22.1 Million Property Tax Refund

**I.D. No.** PSC-31-14-00003-A

**Filing Date:** 2015-01-09

**Effective Date:** 2015-01-09

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

***Action taken:*** On 1/8/15, the PSC adopted an order approving the petition of Verizon New York Inc. (Verizon) to retain a portion of its property tax refund.

***Statutory authority:*** Public Service Law, section 113(2)

***Subject:*** To retain $13.5 million, the intrastate portion, of a $22.1 million property tax refund.

***Purpose:*** To allow Verizon to retain the intrastate portion of the property tax refund.

***Substance of final rule:*** The Commission, on January 8, 2015, adopted an order approving the petition of Verizon New York Inc. (Verizon) to retain the intrastate portion, $13.5 million, of a $22.1 million property tax refund received from the City of New York, associated with the 2012-2013 and the 2013-2014 tax years, subject to the terms and conditions set forth in the order.

***Final rule as compared with last published rule:*** No changes.

***Text of rule may be obtained from:*** Elaine Agresta, Public Service Commission, Three Empire State Plaza, Albany, New York 12223, (518) 486-2660, email: elaine.agresta@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

***Assessment of Public Comment***

An assessment of public comment is not submitted with this notice because the rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(14-C-0248SA1)

## NOTICE OF ADOPTION

### Amendments to PSC 10, Rider S, Commercial System Relief Program and Rider U, Distribution Load Relief Program

**I.D. No.** PSC-38-14-00006-A

**Filing Date:** 2015-01-09

**Effective Date:** 2015-01-09

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

***Action taken:*** On 1/8/15, the PSC adopted an order approving the tariff filing of Consolidated Edison Company of New York, Inc., with exceptions, to amend PSC No. 10, effective January 15, 2015.

***Statutory authority:*** Public Service Law, section 66(12)

***Subject:*** Amendments to PSC 10, Rider S, Commercial System Relief Program and Rider U, Distribution Load Relief Program.

***Purpose:*** To amend PSC No. 10, Rider S, Commercial System Relief Program and Rider U, Distribution Load Relief Program.

***Substance of final rule:*** The Commission, on January 8, 2015, adopted an order approving the tariff filing of Consolidated Edison Company of New York, Inc. (the Company), with exceptions, to amend PSC 10 — Electricity, to make revisions to Rider S – Commercial System Relief Program and Rider U – Distribution Load Relief Program, and directed the Company to make further revisions, subject to the terms and conditions set forth in the order.

***Final rule as compared with last published rule:*** No changes.

***Text of rule may be obtained from:*** Elaine Agresta, Public Service Commission, Three Empire State Plaza, Albany, New York 12223, (518) 486-2660, email: elaine.agresta@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

***Assessment of Public Comment***

An assessment of public comment is not submitted with this notice because the rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(13-E-0573SA3)

## NOTICE OF ADOPTION

### Allowing the Installation of Communication Devices for Daily Meter Reading for Gas Balancing Services

**I.D. No.** PSC-38-14-00013-A

**Filing Date:** 2015-01-08

**Effective Date:** 2015-01-08

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

***Action taken:*** On 1/8/15, the PSC adopted an order approving the tariff filing of New York State Electric & Gas Corporation to make changes to the rates, charges, rules and regulations contained in PSC Nos. 87 and 88.

***Statutory authority:*** Public Service Law, sections 65 and 66

***Subject:*** Allowing the installation of communication devices for daily meter reading for gas balancing services.

***Purpose:*** To allow for the installation communication devices used for daily meter reading for gas balancing services.

***Substance of final rule:*** The Commission, on January 8, 2015, adopted an order approving the tariff filing by New York State Electric & Gas Corporation to amend PSC 87 and 88—Gas, to allow for the installation of alternative communication devices used for daily meter reading for gas balancing services to update the notification requirements of customer enrollment in conformance with the Uniform Business Practices, to become effective on February 1, 2015.

***Final rule as compared with last published rule:*** No changes.

***Text of rule may be obtained from:*** Elaine Agresta, Public Service Commission, Three Empire State Plaza, Albany, New York 12223, (518) 486-2660, email: elaine.agresta@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

***Assessment of Public Comment***

An assessment of public comment is not submitted with this notice because the rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(14-G-0377SA1)

## NOTICE OF ADOPTION

### Allowing the Installation of Communication Devices for Daily Meter Reading for Gas Balancing Services

**I.D. No.** PSC-38-14-00016-A

**Filing Date:** 2015-01-08

**Effective Date:** 2015-01-08

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

***Action taken:*** On 1/8/15, the PSC adopted an order approving the tariff filing of Rochester Gas and Electric Corporation to make various changes to the rates, charges, rules and regulations contained in PSC No. 16, to become effective.

***Statutory authority:*** Public Service Law, sections 65 and 66

***Subject:*** Allowing the installation of communication devices for daily meter reading for gas balancing services.

***Purpose:*** To allow for the installation of communication devices for daily meter reading for gas balancing services.

***Substance of final rule:*** The Commission, on January 8, 2015, adopted an order approving the tariff filing by Rochester Gas and Electric Corporation to amend PSC 16—Gas, to allow for the installation of alternative communication devices used for daily meter reading for gas balancing services to update the notification requirements of customer enrollment in conformance with the Uniform Business Practices, to become effective on February 1, 2015.

***Final rule as compared with last published rule:*** No changes.

***Text of rule may be obtained from:*** Elaine Agresta, Public Service Commission, Three Empire State Plaza, Albany, New York 12223, (518) 486-2660, email: elaine.agresta@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

***Assessment of Public Comment***

An assessment of public comment is not submitted with this notice because the rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(14-G-0376SA1)

## NOTICE OF ADOPTION

### Modifications to the Commission's Electric Safety Standards

**I.D. No.** PSC-43-14-00004-A

**Filing Date:** 2015-01-13

**Effective Date:** 2015-01-13

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

***Action taken:*** On 1/8/15, the PSC adopted an order modifying the Electric Safety Standards, including revisions to the reporting requirements contained in the standards.

***Statutory authority:*** Public Service Law, sections 2, 5, 65 and 66

***Subject:*** Modifications to the Commission's Electric Safety Standards.

***Purpose:*** To modify the Commission's Electric Safety Standards.

***Substance of Final Rule:*** The Commission, on January 8, 2015, adopted an order approving a petition filed by the New York State utilities to modify the Electric Safety Standards, including revisions to the reporting requirements contained in the standards, subject to the terms and conditions set forth in the order.

***Final rule as compared with last published rule:*** No changes.

***Text of rule may be obtained from:*** Elaine Agresta, Public Service Commission, Three Empire State Plaza, Albany, New York 12223, (518) 486-2660, email: elaine.agresta@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

***Assessment of Public Comment***

An assessment of public comment is not submitted with this notice because the rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(04-M-0159SA10)

## NOTICE OF ADOPTION

### To Enter into a Long-Term Debt and Extend and Modify the EFC Surcharge for Repayment of the EFC Loan

**I.D. No.** PSC-44-14-00022-A

**Filing Date:** 2015-01-09

**Effective Date:** 2015-01-09

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

***Action taken:*** On 1/8/15, the PSC adopted an order approving the petition of Beaver Dam Lake Corporation (Beaver Dam Lake) to enter into a long-term debt and extend and modify the current New York State Environmental Facilities Corporation (EFC) surcharge.

***Statutory authority:*** Public Service Law, sections 89-f and 89-b

***Subject:*** To enter into a long-term debt and extend and modify the EFC surcharge for repayment of the EFC loan.

***Purpose:*** To allow Beaver Dam Water to enter into a long-term debt and to extend and modify the current EFC surcharge for repayment.

***Substance of final rule:*** The Commission, on January 8, 2015, adopted an order approving the petition of Beaver Dam Lake Corporation, to enter into a long-term debt of up to $2,020,503 through the Drinking Water State Revolving Fund and to extend and modify the current New York State Environmental Facilities Corporation (EFC) surcharge for the repayment of the EFC loan, subject to the terms and conditions set forth in the order.

***Final rule as compared with last published rule:*** No changes.

***Text of rule may be obtained from:*** Elaine Agresta, Public Service Commission, Three Empire State Plaza, Albany, New York 12223, (518) 486-2660, email: elaine.agresta@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

***Assessment of Public Comment***

An assessment of public comment is not submitted with this notice because the rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(14-W-0459SA1)

## NOTICE OF ADOPTION

### Approval of NYAW to Use the $4,294,834 Million in Proceeds from the Sale of Its Former Headquarters

**I.D. No.** PSC-46-14-00011-A

**Filing Date:** 2015-01-12

**Effective Date:** 2015-01-12

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

***Action taken:*** On 1/8/15, the PSC adopted an order approving the petition of New York American Water Company, Inc. (NYAW) to use proceeds from the sale of its former headquarters.

***Statutory authority:*** Public Service Law, section 89-f

***Subject:*** Approval of NYAW to use the $4,294,834 million in proceeds from the sale of its former headquarters.

***Purpose:*** To approve NYAW use the $4,294,834 million in proceeds from the sale of its former headquarters.

***Substance of final rule:*** The Commission, on January 8, 2015, adopted an order approving the petition of New York American Water Company, Inc. (NYAW), to use the $4,294,834 million in proceeds from the sale of its former headquarters to offset its current Revenue, Production Costs and Property Tax Reconciliation filing, subject to the terms and conditions set forth in the order.

***Final rule as compared with last published rule:*** No changes.

***Text of rule may be obtained from:*** Elaine Agresta, Public Service Commission, Three Empire State Plaza, Albany, New York 12223, (518) 486-2660, email: elaine.agresta@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

***Assessment of Public Comment***

An assessment of public comment is not submitted with this notice because the rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(14-W-0072SA2)

## PROPOSED RULE MAKING HEARING(S) SCHEDULED

### Disposition of Tax Refunds and Other Related Matters

**I.D. No.** PSC-04-15-00012-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

***Proposed Action:*** The Commission is considering whether to approve or reject, in whole or part, a request by KeySpan Gas East Corporation d/b/a National Grid proposing the disposition of a property tax refund.

***Statutory authority:*** Public Service Law, section 113(2)

***Subject:*** Disposition of tax refunds and other related matters.

***Purpose:*** To determine the disposition of tax refunds and other related matters.

***Public hearing(s) will be held at:*** 10:30 a.m., April 8, 2015 at Department of Public Service, Three Empire State Plaza, 3rd Fl., Hearing Rm., Albany, NY (Evidentiary Hearings)*

*On occasion there are requests to reschedule or postpone evidentiary hearing dates. If such a request is granted, notification of any subsequent scheduling changes will be available at the DPS Web Site (www.dps.ny.gov) under Case 14-G-0503.

***Interpreter Service:*** Interpreter services will be made available to hearing impaired persons, at no charge, upon written request submitted within reasonable time prior to the scheduled public hearing. The written request must be addressed to the agency representative designated in the paragraph below.

***Accessibility:*** All public hearings have been scheduled at places reasonably accessible to persons with a mobility impairment.

***Substance of proposed rule:*** The Public Service Commission is considering whether to approve, deny or modify, in whole or in part, a petition by KeySpan East Gas d/b/a National Grid to implement its proposed disposition of a property tax refund pursuant under PSL Section 113(2). The Commission shall consider all other related matters.

***Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website http://www.dps.ny.gov/f96dir.htm. For questions, contact:*** Elaine Agresta, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2660, email: Elaine.Agresta@dps.ny.gov

***Data, views or arguments may be submitted to:*** Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

***Public comment will be received until:*** 45 days after publication of this notice.

***Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement***

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(14-G-0503SP1)

## PROPOSED RULE MAKING
## NO HEARING(S) SCHEDULED

### Re-Billing SC No. 2 Customers from March 2008 Through March 2014

**I.D. No.** PSC-04-15-00008-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

***Proposed Action:*** The Commission is considering whether to approve, modify or reject in whole or in part the filing made on December 26, 2014 by The Brooklyn Union Gas Company and KeySpan Gas East Corporation regarding billing SC No. 2 customers.

***Statutory authority:*** Public Service Law, sections 65, 66 and 113

***Subject:*** Re-billing SC No. 2 customers from March 2008 through March 2014.

***Purpose:*** To determine whether re-billing SC No. 2 customers by the Companies' proposed methodology customers is appropriate.

***Substance of proposed rule:*** The Public Service Commission is considering whether to approve, modify or reject, in whole or in part, a filing made by The Brooklyn Union Gas Company d/b/a National Grid NY ("KEDNY") and KeySpan Gas East Corporation d/b/a National Grid ("KEDLI") (collectively, the "Companies") on December 26, 2014 in compliance with an Order dated October 27, 2014 (October Order) that required the Companies to submit a plan to (i) identify non-residential gas customers on Service Classification (SC) No. 2 that were misclassified as heating customers on an annual basis (March to March) and (ii) as appropriate, refund those customers who were incorrectly charged a more expensive heating rate for each twelve month period between March 2008 through March 2014.

The October Order required the Companies to provide the Commission with information concerning their ability to identify current SC No. 2 customers who were misclassified as heating customers during the past billing periods at issue, along with a plan for targeting refunds to those customers. On December 26, 2014, the Companies submitted an analysis describing the significant costs it would incur to identify some misclassified customers and proposed a plan for targeting refunds to those SC No. 2 customers likely to have been vulnerable to improper placement on the heating rate of SC No. 2, and provided a methodology for refunds reasonably equivalent to the overbilling that either did or might have occurred.

***Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website http://www.dps.ny.gov/f96dir.htm. For questions, contact:*** Elaine Agresta, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2660, email: Elaine.Agresta@dps.ny.gov

***Data, views or arguments may be submitted to:*** Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

***Public comment will be received until:*** 45 days after publication of this notice.

***Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement***

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(14-G-0091SP2)

## PROPOSED RULE MAKING
## NO HEARING(S) SCHEDULED

### To Start and Finish Construction of Distribution and Service Lines in Certain Municipalities in Clinton County by Dates Certain

**I.D. No.** PSC-04-15-00009-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

***Proposed Action:*** The Public Service Commission is considering whether to require New York State Electric & Gas Corporation (NYSEG) to start and complete construction of gas distribution and service lines in certain municipalities in Clinton County by dates certain.

***Statutory authority:*** Public Service Law, sections 4(1), 5(1)(b), 66(1) and (2)

***Subject:*** To start and finish construction of distribution and service lines in certain municipalities in Clinton County by dates certain.

***Purpose:*** To require NYSEG to start and complete construction of distribution and service lines in municipalities in Clinton County.

***Substance of proposed rule:*** New York State Electric & Gas Corporation (NYSEG) filed a petition to Amend its Certificate of Public Convenience and Necessity and to Exercise Gas Franchises in the Towns of Dannemora, Peru, Saranac and Champlain, the Villages of Dannemora and Champlain, and the City of Plattsburgh, Clinton County, New York (in Case 13-G-0092, a licensing proceeding under Section 68 of the Public Service Law). In the licensing proceeding, the Commission is considering whether to grant the petition. The Commission is also considering whether to approve, modify or reject, in whole or in part, a rule proposed by the Staff of the Department of Public Service requiring that NYSEG start construction of service lines in the areas in the specified municipalities where distribution lines exist by a date certain and complete such construction by a date certain, and to start construction of distribution and service lines in such municipalities where appropriate from an economic and environmental standpoint by a date certain and to complete such construction by a date certain. The Commission may also consider related matters.

***Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website http://www.dps.ny.gov/f96dir.htm. For questions, contact:*** Elaine Agresta, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2660, email: elaine.agresta@dps.ny.gov

***Data, views or arguments may be submitted to:*** Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

***Public comment will be received until:*** 45 days after publication of this notice.

***Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement***

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(13-G-0092SP1)

## PROPOSED RULE MAKING
## NO HEARING(S) SCHEDULED

### To Modify the Retail Access Program Under SC No. 19 — Seller Transportation Aggregation Service

**I.D. No.** PSC-04-15-00010-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

***Proposed Action:*** The Commission is considering a proposal filed by The Brooklyn Union Gas Company d/b/a National Grid NY (KEDNY) to make various changes to the rates, charges, rules and regulations contained in its Schedule for Gas Service P.S.C. No. 12.

***Statutory authority:*** Public Service Law, sections 65 and 66

***Subject:*** To modify the retail access program under SC No. 19 — Seller Transportation Aggregation Service.

***Purpose:*** To modify the retail access program to implement Tier 2A — Storage Capacity Release and make other tariff changes.

***Substance of proposed rule:*** The Public Service Commission is considering whether to approve, modify or reject, in whole or in part, a tariff filing by The Brooklyn Union Gas Company d/b/a National Grid NY (the Company) made in compliance with Commission Order issued October 23, 2014 in Case 14-G-0330, et al. The Company proposes to amend the tariff provisions of its retail access program under Service Classification No. 19 – Seller Transportation Aggregation Service to implement changes to core monthly balanced transportation. The tariff revisions will implement Tier 2A – Storage Capacity Release, in which storage capacity assets and related storage transportation assets are to be released to Sellers starting May 1, 2015. In conjunction with the storage capacity release, the tariff revisions provide that the Company will transfer gas inventory that remains in storage as of May 1, 2015 to Sellers at the Company's weighted average storage inventory price. The existing retail access storage service which bundles storage capacity with inventory will be renamed Tier 2B – Retail Access Storage and will continue to be provided to Sellers in lieu of a physical capacity release of storage assets that are not releasable. The tariff revisions will also effectuate a weather true-up adjustment each day to account for any difference between actual and forecasted weather on each Seller's daily delivery quantity. The weather true-up adjustment will be applied to each Seller's available Tier 2B – Retail Access Storage inventory balance. The proposed amendments have an effective date of April 1, 2015.

***Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website http://www.dps.ny.gov/f96dir.htm. For questions, contact:*** Elaine Agresta, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2660, email: Elaine.Agresta@dps.ny.gov

***Data, views or arguments may be submitted to:*** Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

***Public comment will be received until:*** 45 days after publication of this notice.

***Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement***

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(14-G-0331SP2)

## PROPOSED RULE MAKING
## NO HEARING(S) SCHEDULED

### To Modify the Retail Access Program Under SC No. 8 — Seller Services

**I.D. No.** PSC-04-15-00011-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

***Proposed Action:*** The Commission is considering a proposal filed by KeySpan Gas East Corp. dba Brooklyn Union of L.I. to make various changes to the rates, charges, rules and regulations contained in its Schedule for Gas Services P.S.C. No. 1 — Gas.

***Statutory authority:*** Public Service Law, sections 65 and 66

***Subject:*** To modify the retail access program under SC No. 8 — Seller Services.

***Purpose:*** To modify the retail access program to implement Tier 2A — Storage Capacity Release and make other tariff changes.

***Substance of proposed rule:*** The Public Service Commission is considering whether to approve, modify or reject, in whole or in part, a tariff filing by KeySpan Gas East Corp. dba Brooklyn Union of L.I. (the Company) made in compliance with Commission Order issued October 23, 2014 in Case 14-G-0330, et al. The Company proposes to amend the tariff provisions of its retail access program under Service Classification No. 8 – Seller Service to implement changes to core monthly balanced transportation. The tariff revisions will implement Tier 2A – Storage Capacity Release, in which storage capacity assets and related storage transportation assets are to be released to Sellers starting May 1, 2015. In conjunction with the storage capacity release, the tariff revisions provide that the Company will transfer gas inventory that remains in storage as of May 1, 2015 to Sellers at the Company's weighted average storage inventory price. The existing retail access storage service which bundles storage capacity with inventory will be renamed Tier 2B – Retail Access Storage and will continue to be provided to Sellers in lieu of a physical capacity release of storage assets that are not releasable. The tariff revisions will also effectuate a weather true-up adjustment each day to account for any difference between actual and forecasted weather on each Seller's daily delivery quantity. The weather true-up adjustment will be applied to each Seller's available Tier 2B – Retail Access Storage inventory balance. The proposed amendments have an effective date of April 1, 2015.

***Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website http://www.dps.ny.gov/f96dir.htm. For questions, contact:*** Elaine Agresta, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2660, email: Elaine.Agresta@dps.ny.gov

***Data, views or arguments may be submitted to:*** Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

***Public comment will be received until:*** 45 days after publication of this notice.

***Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement***

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(14-G-0330SP2)

## PROPOSED RULE MAKING
## NO HEARING(S) SCHEDULED

### Rider L – Direct Load Control Program (DLC) and Residential Smart Appliance Program (RSAP)

**I.D. No.** PSC-04-15-00013-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

***Proposed Action:*** The Commission is considering a petition by Consolidated Edison Company of New York, Inc. to modify Rider L – Direct Load Control Program contained in P.S.C. No. 10 – Electricity, and the Residential Smart Appliance Program.

***Statutory authority:*** Public Service Law, sections 65(1), 66(1) and (12)

***Subject:*** Rider L – Direct Load Control Program (DLC) and Residential Smart Appliance Program (RSAP).

***Purpose:*** To expand the DLC program, replace failed control devices, and to expand the RSAP pilot.

***Substance of proposed rule:*** The Commission is considering whether to approve, modify or reject, in whole or in part, a petition by Consolidated Edison Company of New York, Inc. to modify Rider L – Direct Load Control Program contained in P.S.C. No. 10 – Electricity and its Residential Smart Appliance Program. The Company proposes to increase the number of customers participating in the DLC program by increasing the annual installation goal of new internet-communicating thermostats, to increase the annual replacement rate of non-responding thermostats, and to expand the pilot Residential Smart Appliance Program. The proposed filing does not have an effective date.

***Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website http://www.dps.ny.gov/f96dir.htm. For questions, contact:*** Elaine Agresta, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2660, email: Elaine.Agresta@dps.ny.gov

***Data, views or arguments may be submitted to:*** Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

***Public comment will be received until:*** 45 days after publication of this notice.

***Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement***

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(15-E-0012SP1)

## PROPOSED RULE MAKING
## NO HEARING(S) SCHEDULED

### Request for Waiver of 6 NYCRR Part 501 and United Water's Tariff Provisions Governing Main Extensions

**I.D. No.** PSC-04-15-00014-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

***Proposed Action:*** The Commission is considering whether to grant, deny or modify a petition of United Water New Rochelle and Saber Dobbs Ferry, LLC for a waiver of 16 NYCRR section 501.4 and United Water's tariff regarding a proposed main extension.

***Statutory authority:*** Public Service Law, sections 89-b and 89-c

***Subject:*** Request for waiver of 6 NYCRR Part 501 and United Water's tariff provisions governing main extensions.

***Purpose:*** To grant, deny or modify a petition for a waiver of 6 NYCRR Part 501 and related United Water's tariff provisions.

***Substance of proposed rule:*** Saber Dobbs Ferry, LLC (Saber) is developing a residential complex in United Water New Rochelle, Inc.'s (UWNR) service territory and is requesting water and fire protection service from UWNR. UWNR has determined that providing service to Saber would require significant off-site improvements, in addition to the extension of mains, to resolve predicted pressure issues with Saber's development. Under Commission 16 NYCRR § 501.4 and UWNR's tariff, UWNR would absorb the cost of 75 feet of main per meter to be installed, while Saber would pay the remaining costs and receive prorated refunds if additional customers are added within ten years.

UWNR and Saber propose, instead, for UWNR to be solely responsible for all off-site work, while Saber will, using contractors approved by UWNR, install all on-site infrastructure and forego any potential future refunds. The petitioners state that this arrangement results in a lower cost to UWNR than would result under the Commission's regulations.

The Public Service Commission is considering whether to grant, deny or modify, in whole or part, the petition filed by UWNR and Saber for a waiver of 16 NYCRR § 501.4 (main extensions) and related provisions of UWNR's tariff and may consider any related matters.

***Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website http://www.dps.ny.gov/f96dir.htm. For questions, contact:*** Elaine Agresta, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2660, email: Elaine.Agresta@dps.ny.gov

***Data, views or arguments may be submitted to:*** Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

***Public comment will be received until:*** 45 days after publication of this notice.

***Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement***

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(14-W-0556SP1)

# Department of State

## EMERGENCY/PROPOSED
## RULE MAKING
## HEARING(S) SCHEDULED

### Issuance of an Order to Remedy a Violation of the Uniform Code

**I.D. No.** DOS-04-15-00004-EP

**Filing No.** 26

**Filing Date:** 2015-01-12

**Effective Date:** 2015-01-12

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

***Proposed Action:*** Amendment of section 1203.1; and addition of section 1203.5 to Title 19 NYCRR.

***Statutory authority:*** Executive Law, sections 381(1) and 382(2)

***Finding of necessity for emergency rule:*** Preservation of public safety and general welfare.

***Specific reasons underlying the finding of necessity:*** This rule is adopted as an emergency measure for the preservation of the public safety and general welfare.

Executive Law § 381(1) directs the Secretary of State to promulgate rules and regulations for the administration of the State Uniform Fire Prevention and Building Code (Uniform Code).

Executive Law § 382(2) provides, in pertinent part, that "any person, having been served, either personally or by registered or certified mail, with an order to remedy any condition found to exist in, on, or about any building in violation of the [Uniform Code], who shall fail to comply with such order within the time fixed by the regulations promulgated by the Secretary of State pursuant to [Executive Law § 381(1)], such time period stated in the order, shall be punishable by a fine of not more than one thousand dollars per day of violation, or imprisonment not exceeding one year, or both."

The regulations adopted by the Department of State pursuant to Executive Law § 381(1) have never ''fixed'' a time within which a person served with an order to remedy must comply with that order. In most cases, the local government that issues an order to remedy determines a "reasonable time" within which compliance with the order would be required.

This rule will add a new section 1203.5 to 19 NYCRR Part 1203. New section 1203.5 will fix the time within which compliance with an order to remedy any condition found to exist in, on, or about any building in violation of the Uniform Code at thirty (30) days following the date of the order.

Adoption of this rule on an emergency basis is necessary in light of the recent decision issued by the New York State Supreme Court, Appellate Term, Second Department, 9th and 10th Judicial Districts, in People v. Plateau Associates, LLC. The Court held that in the absence of a Department of State regulation fixing the time within which compliance with an order to remedy is required, a party served with such an order could not be charged under Executive Law § 382(2) for failure to comply with such order within the time fixed by regulation for such compliance. The Court rejected the argument that the local government that issued the order to remedy should be permitted to determine the "reasonable time" within which compliance with the order to remedy would be required.

The Plateau Associates Decision may result in local courts deciding not to subject a person who is served with an order to remedy, and who fails to comply within the time specified in such order, to the penalties contemplated by Executive Law § 382(2). This could seriously jeopardize the effectiveness of orders to remedy, and limit the ability of local governments to enforce the Uniform Code.

The Department of State finds that the immediate adoption of a rule is necessary for the preservation of the general welfare and public safety because the absence of a regulation fixing the time within which full compliance with an order to remedy is required may, under the precedent established by the Plateau Associates decision, cause courts to refuse to impose the penalties contemplated by Executive Law § 382(2). This, in turn, would seriously diminish the effectiveness of orders to remedy, resulting in inadequate enforcement of the Uniform Code, thereby potentially subjecting the people of this State to the real and present dangers to public health and safety posed by fire, as identified by the State Legislature in Executive Law § 371(1)(d). Adopting this rule on an emergency basis is necessary to halt such undesirable result at the earliest possible date.

***Subject:*** Issuance of an order to remedy a violation of the Uniform Code.

***Purpose:*** Fix the time for compliance with an order to remedy any condition found to exist in buildings in violation of the Uniform Code.

***Public hearing(s) will be held at:*** 9:00 a.m., March 20, 2015 at Department of State, 99 Washington Ave., Rm. 505, Albany, NY.

***Interpreter Service:*** Interpreter services will be made available to hearing impaired persons, at no charge, upon written request submitted within reasonable time prior to the scheduled public hearing. The written request must be addressed to the agency representative designated in the paragraph below.

***Accessibility:*** All public hearings have been scheduled at places reasonably accessible to persons with a mobility impairment.

***Text of emergency/proposed rule:*** 1. Section 1203.1 of Part 1203 of Title 19 of the Official Compilation of Codes, Rules and Regulations of the State of New York is amended to read as follows:

1203.1 Introduction.

Section 381 of the Executive Law directs the Secretary of State to promulgate rules and regulations for administration of the Uniform Fire

Prevention and Building Code (Uniform Code) *and the State Energy Conservation Construction Code (Energy Code)*. These rules and regulations are to address the nature and quality of enforcement and are the subject of this Part.

2. Part 1203 of Title 19 of the Official Compilation of Codes, Rules and Regulations of the State of New York is amended by adding a new section 1203.5 to read as follows:

*1203.5 Compliance with an order to remedy.*

*(a) Section 381 of the Executive Law provides for the administration and enforcement of the Uniform Code and authorizes the promulgation of this Part to establish minimum standards for such administration and enforcement. In addition, subdivision 2 of section 382 of the Executive Law provides, in part, that any person, having been served, either personally or by registered or certified mail, with an order to remedy any condition found to exist in, on, or about any building in violation of the Uniform Code, who shall fail to comply with such order within the time fixed by the regulations promulgated by the Secretary of State pursuant to subdivision 1 of section 381 of the Executive Law, such time period to be stated in the order, shall be punishable by a fine of not more than one thousand dollars per day of violation, or imprisonment not exceeding one year, or both. For the purposes of subdivision 2 of section 382 of the Executive Law, the time within which compliance with an order to remedy is required is hereby fixed at thirty (30) days following the date of the order to remedy.*

*(b) When a city, village, town, or county, charged under subdivision 2 of section 381 of the Executive Law with administration and enforcement of the Uniform Code, or a state agency accountable under subdivision (d) of section 1201.2 of this Title for administration and enforcement of the Uniform Code, or the Secretary of State acting under Part 1202 of this Title, issues an order to remedy any condition found to exist in, on, or about any building in violation of the Uniform Code, such order to remedy shall set forth the date of the order, the date by which compliance must be completed, and shall include a statement substantially similar to the following:*

*"NOTICE: Full compliance with this order to remedy is required by _____ [specify date], which is thirty (30) days after the date of this order. If the person or entity served with this order to remedy fails to comply in full with this order to remedy within the thirty (30) day period, that person or entity will be subject to a fine of not more than $1,000 per day of violation, or imprisonment not exceeding one year, or both."*

*(c) An order to remedy a condition found to exist in, on, or about any building in violation of the Uniform Code shall be served personally or by certified or registered mail within five (5) days of the date of the order.*

*(d) Nothing in this section shall be construed as prohibiting any city, village, town, county, state agency or the Secretary of State from providing in an order to remedy that the person or entity served with such order must begin to remedy the violation(s) described in the order immediately, or within some other period of time which is specified in the order and which may be less than thirty (30) days; must thereafter continue diligently to remedy such violation(s) until each such violation is fully remedied; and must in any event fully remedy all such violation(s) within thirty (30) days of the date of such order.*

*(e) Nothing in this section shall be construed as limiting the authority of any city, village, town, county, state agency or the Secretary of State to employ any other means of enforcing the Uniform Code and/or Energy Code, including, but not limited to:*

*(1) issuing notices of violation;*

*(2) issuing appearance tickets;*

*(3) commencing and prosecuting an appropriate action or proceeding pursuant to that part of subdivision 2 of section 382 of the Executive Law that provides that any owner, builder, architect, tenant, contractor, subcontractor, construction superintendent or their agents or any other person taking part or assisting in the "construction" (as defined in subdivision 4 of section 372 of the Executive Law) of any building who shall knowingly violate any of the applicable provisions of the Uniform Code or any lawful order of a city, village, town, county, state agency or the Secretary of State made thereunder regarding standards for construction, maintenance, or fire protection equipment and systems, shall be subject to a fine of not more than one thousand dollars per day of violation, or imprisonment not exceeding one year, or both;*

*(4) commencing and prosecuting an appropriate action or proceeding pursuant to subdivision 3 of section 382 of the Executive Law which seeks, in a case where the construction or use of a building is in violation of any provision of the Uniform Code or any lawful order obtained thereunder, an order from a Justice of the Supreme Court directing the removal of the building or an abatement of the condition in violation of such provisions;*

*(5) issuing stop work orders;*

*(6) revoking or suspending building permits; revoking or suspending certificates of occupancy; or*

*(7) commencing and prosecuting an appropriate action or proceeding to impose such criminal and/or civil sanctions as may be provided in applicable local laws, ordinances, rules or regulations.*

***This notice is intended:*** to serve as both a notice of emergency adoption and a notice of proposed rule making. The emergency rule will expire April 11, 2015.

***Text of rule and any required statements and analyses may be obtained from:*** Mark Blanke, Department of State, Division of Building Standards and Code, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231-0001, (518) 474-4073, email: Mark.Blanke@dos.ny.gov

***Data, views or arguments may be submitted to:*** Same as above.

***Public comment will be received until:*** Five days after the last scheduled public hearing.

***This rule was not under consideration at the time this agency submitted its Regulatory Agenda for publication in the Register.***

***Regulatory Impact Statement***

1. STATUTORY AUTHORITY AND LEGISLATIVE OBJECTIVES

Executive Law § 381(1) provides that the Secretary of State shall promulgate rules and regulations prescribing minimum standards for administration and enforcement of the Uniform Fire Prevention and Building Code (Uniform Code).

Executive Law section 383(2) provides, in part, that "(a)ny person, having been served, either personally or by registered or certified mail, with an order to remedy any condition found to exist in, on, or about any building in violation of the [Uniform Code], who shall fail to comply with such order within the time fixed by the regulations promulgated by the secretary pursuant to [Executive Law § 381(1)], such time period to be stated in the order, . . . shall be punishable by a fine of not more than one thousand dollars per day of violation, or imprisonment not exceeding one year, or both."

This rule will add a new section 1203.5 to 19 NYCRR Part 1203. The new section 1203.5 to be added by this rule will effectuate the objectives of Executive Law §§ 381(1) and 382(2) by promulgating a regulation that (1) fixes the time within which compliance with an order to remedy will be required at thirty (30) days following the date of the order and (2) requiring each order to remedy to include a notice that clearly states the time within which compliance with the order is required and the consequences of failure to comply with the order within that stated time.[1]

2. NEEDS AND BENEFITS

When current Article 18 of the Executive Law was adopted in 1981, there was no single building code applicable in all parts of the state; local governments were free to adopt their own code, to "accept" the applicability of the State Building Construction Code, or to have no building code at all. When it adopted the current Article 18, the Legislature found and declared that "(w)hether because of the absence of applicable codes, inadequate code provisions or inadequate enforcement of codes, the threat to the public health and safety posed by fire remains a real and present danger for the people of the state" (Executive Law § 371 (1)(d), emphasis added). The Legislature addressed the first two concerns (absence of applicable codes or inadequate code provisions) by providing, in Article 18, that the State Uniform Fire Prevention and Building Code (Uniform Code) would be applicable in all parts of the State except New York City. The Legislature addressed the third concern (inadequate enforcement of codes) by requiring local governments to administer and enforce the Uniform Code (Executive Law § 381(2)) and by providing a non-exclusive list of enforcement tools, including "the power to order in writing the remedying of any condition found to exist in, on or about any building in violation of the [Uniform Code]" (Executive Law § 382(1)).

As stated above, Executive Law § 382(2) provides, in part, that a person served with an order to remedy who fails to comply with such order "within the time fixed by the regulations promulgated by the [Secretary of State] pursuant to [Executive Law § 381(1)], such time period to be stated in the order" shall be punishable by a fine of not more than one thousand dollars per day of violation, or imprisonment not exceeding one year, or both.

The regulations adopted by the Department of State (DOS) pursuant to Executive Law § 381(1) currently contain no provision fixing the time for compliance with an order to remedy. DOS understands that a local government issuing an order to remedy will, in most cases, determine a reasonable time within which compliance with the order would be required. However, the recent case of People v. Plateau Associates, LLC, the Appellate Term for the Second Department, 9th and 10th Judicial Districts, held that in the absence of a DOS regulation fixing the time within which compliance with an order to remedy is required, the party served with such an order could not be charged under Executive Law § 382(2). The Court rejected the argument that the local government that issued the order to remedy should be permitted to determine the "reasonable time" within which compliance with the order to remedy would be required.

This rule adopts a regulation that fixes the time within which compliance with an order to remedy is required. This rule is necessary because in

the absence of a regulation fixing the time within which full compliance with an order to remedy is required, courts may, under the precedent established by Plateau Associates, refuse to impose the penalties contemplated by Executive Law § 382(2) upon persons who are served with an order to remedy who fail to comply with the order to remedy. This, in turn, would seriously diminish the effectiveness of orders to remedy, resulting in inadequate enforcement of the Uniform Code and potentially subject the people of this State to the real and present dangers of to public safety posed by fire, as identified by the State Legislature in Executive Law § 371(1)(d).

3. COSTS

Costs to Regulated Parties

Pursuant to Executive Law § 382(2), a person served with an order to remedy who fails to comply with the order within the time fixed by this rule will be subject to the penalties prescribed by Executive Law § 382(2), viz., a fine not to exceed $1,000 per day of violation, imprisonment for not more than one year, or both.

A person served with an order to remedy is already required by existing law to comply with that order. This rule merely fixes the time within which compliance with the order is required. This rule will impose no additional initial capital costs on any person served with an order to remedy. This rule will impose no additional annual compliance costs on any person served with an order to remedy.

Upon learning of the decision in People v. Plateau Associates, LLC, the Department of State's Division of Building Standards and Codes solicited information from local governments' code enforcement officials from around the State. These officials were surveyed regarding times within which compliance with an order to remedy is typically required. Among those surveyed, the majority of participants affirmed that they included in orders to remedy, a specific date by which any violations must be corrected. On average, the time allowed before re-inspection or correction of the violations was reported to be twenty (20) days. The time fixed by this rule for compliance with an order to remedy (30 days from the date of the order) is actually slightly longer that this reported average.

This rule will expressly provide (1) that an order to remedy may provide that the person served with the order must begin to remedy the violation(s) immediately and (2) that new section 1203.5 does not limit any other enforcement tool. These provisions will allow a local government to address situations in which immediate action is required to protect health and safety.

Costs to the Department of State, New York State, and Local Governments

In general, local governments are responsible for enforcing the Uniform Code. In certain instances, the Department of State (DOS) is responsible for enforcing the Uniform Code.

This rule will require a local government (or DOS in those instances where it enforces the Uniform Code) to include in each order to remedy a notice substantially similar to the following: "NOTICE: Full compliance with this order to remedy is required by _____ [specify date], which is thirty (30) days after the date of this order. If the person or entity served with this order to remedy fails to comply in full with this order to remedy within the thirty (30) day period, that person or entity will be subject to a fine of not more than $1,000 per day of violation, or imprisonment not exceeding one year, or both."

This rule will also require the local government or other enforcing agency that issues an order to remedy to serve the order (personally or by registered or certified mail) within 5 days of the date of the order.

The initial costs to be incurred by local governments that enforce the Uniform Code (and by DOS in those instances where it enforces the Uniform Code) will include (1) the cost of modifying their order to remedy forms to include the notice required by this rule and (2) the cost of training their code enforcement personnel on the requirements of this rule. However, DOS anticipates that the cost of modifying a local government's order to remedy form to include the notice required by this rule will be negligible. In addition, code enforcement personnel are required by existing law to receive 24 hours of in-service training each year, and DOS anticipates that training on the requirements of the new this rule can be provided within the already required annual in-service training.

The annual or on-going compliance costs for local governments that enforce the Uniform Code (and by DOS in those instances where it enforces the Uniform Code) will include the costs associated with tracking service of orders to remedy to assure that service is made within the five day time limit established by this rule. However, DOS anticipates that a local government will be able to fulfill these obligations using its existing code enforcement personnel, at little or no additional cost to the local government. Further, local governments are authorized by existing law to charge fees to defray the cost of their code enforcement activities.

DOS does not anticipate that the State of New York will incur any costs for the implementation of, and continued administration of, this rule.

4. PAPERWORK

As stated above, this rule will require a local government (or DOS, in instances where it enforces the Uniform Code) to include a notice in each order to remedy specifying the date by which compliance with such order will be required and specifying the consequences of failure to comply with the order within that stated time.

5. LOCAL GOVERNMENT MANDATES

A local government that issues an order to remedy will be required to include in that order a notice specifying the date by which compliance with such order will be required and specifying the consequences of failure to comply with the order within that stated time. A local government that issues an order to remedy will also be required to see that the order is served (personally or by registered or certified mail) with 5 days of the date of the order.

Local governments that enforce the Uniform Code will be required to ensure that their code enforcement personnel receive training on the provisions of this rule.

DOS anticipates that any such additional training and enforcement obligations will have little or no impact on the code enforcement expenses incurred by local governments. In addition, local governments are authorized by existing law to charge fees to offset their code enforcement expenses.

6. DUPLICATION

This rule implements the requirements of Executive Law § 382(2). This rule does not duplicate any rule or other legal requirement of the State or Federal government known to DOS.

7. ALTERNATIVES

DOS considered a rule that would allow local governments to determine the time within which compliance with an order to remedy would be required on a case by case basis. However, the court in the Plateau Associates, LLC case cited above rejected this approach, and indicated that Executive Law § 382(2) requires DOS to adopt a regulation fixing a time within which compliance with an order to remedy would be required.

8. FEDERAL STANDARDS

This rule does not exceed any known minimum standards of the Federal government for the same or similar subject areas.

9. COMPLIANCE SCHEDULE

DOS anticipates that local governments and other code enforcing agencies will be able to comply with this rule immediately.

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[1] This rule will also amend section 1203.1 of Title 19 of the NYCRR to include a reference to and definition of the term "Energy Code."

***Regulatory Flexibility Analysis***

1. EFFECT OF RULE.

Executive Law § 382(2) provides, in part, that any person, having been served, either personally or by registered or certified mail, with an order to remedy any condition found to exist in, on, or about any building in violation of the State Uniform Fire Prevention and Building Code (the Uniform Code), who shall fail to comply with such order within the time fixed by the regulations promulgated by the secretary pursuant to Executive Law § 381(1), such time period to be stated in the order, shall be punishable by a fine of not more than one thousand dollars per day of violation, or imprisonment not exceeding one year, or both. This rule amends 19 NYCRR Part 1203 by adding Section 1203.5 (entitled "Compliance with an order to remedy") which fixes the time within which compliance with an order to remedy is required. Under new Section 1203.5, the time within which compliance with an order to remedy is required is fixed at thirty (30) days following the date of the order.

New section 1203.5 will also require (1) that each order to remedy include a notice indicating the date by which compliance with the order is required and the consequences of failure to comply with the order by that date and (2) that each order to remedy be served (personally or by registered or certified mail) within 5 days of the date of the order.[1]

The Uniform Code is applicable in all areas of the State except New York City. Therefore, this rule will affect any small business which owns or occupies a building or structure anywhere in the State except New York City and which is served with an order to remedy Uniform Code violation(s) found to exist in, on, or about such building or structure. The Department of State is not able to estimate the number of small businesses that will be served with such an order to remedy.

In general, local governments (cities, towns, and villages) are required to enforce the Uniform Code. In some cases, a county may enforce the Uniform Code. Therefore, this rule will affect any local government or county which enforces the Uniform Code and which chooses to issue an order to remedy. The Department of State estimates that approximately 1,600 local governments and counties enforce the Uniform Code, and that most of these local governments and counties issue orders to remedy from time to time.

2. REPORTING, RECORDKEEPING, AND OTHER COMPLIANCE REQUIREMENTS; AND PROFESSIONAL SERVICES.

This rule will fix the time for compliance with an order to remedy at thirty (30) days from the date of the order. A person or entity (including a small business) served with an order to remedy is already required by existing law to comply with that order. This rule merely fixes the time within which compliance with the order is required. Failure to comply with an order to remedy within the time fixed by this rule will make the person or entity served with the order subject to the penalties prescribed by Executive Law § 382(2). This rule will impose no new reporting, recordkeeping or other compliance requirements on any person served with an order to remedy.

A person or entity (including a small business) served with an order to remedy may find it necessary or desirable to hire an engineer, architect or other professional who constructs or assists in the construction or maintenance of buildings to assist with compliance with the order; however, this rule will not increase the need for any such professional services.

Local government that enforce the Uniform Code and issue orders to remedy will be required to include in each such order a notice indicating the date by which compliance with the order is required and the consequences of failure to comply with the order by that date. Local governments will be required to modify their order to remedy forms to include this notice.

Local government that enforce the Uniform Code and issue orders to remedy will be required to serve each such order to remedy (personally or by registered or certified mail) within 5 days of the date of the order. Local governments will be required to track service of their orders to remedy to assure that they are served within the applicable five day period.

The Department of State anticipates that local governments will be able to comply with the new requirements added by section 1203.5 with their current code enforcement personnel, and will not require any significant additional professional services.

3. COMPLIANCE COSTS.

Pursuant to Executive Law § 382(2), a person served with an order to remedy who fails to comply with the order within the time fixed by this rule will be subject to the penalties prescribed by Executive Law § 382(2), viz., a fine not to exceed $1,000 per day of violation, imprisonment for not more than one year, or both. However, a person or entity (including a small business) served with an order to remedy is already required by existing law to comply with that order. This rule merely fixes the time within which compliance with the order is required. This rule will impose no additional initial capital costs on any person or entity (including any small business) served with an order to remedy.

This rule will impose no additional annual compliance costs on any person or entity (including any small business) served with an order to remedy.

The initial costs to be incurred by local governments that enforce the Uniform Code will include (1) the cost of modifying their order to remedy forms to include the notice required by this rule and (2) the cost of training their code enforcement personnel on the requirements of this rule. However, the Department of State anticipates that the cost of modifying a local government's order to remedy form to include the notice required by this rule will be negligible. In addition, code enforcement personnel are required by existing law to receive 24 hours of in-service training each year, and the Department of State anticipates that training on the requirements of the new this rule can be provided within the already required annual in-service training.

The annual or on-going compliance costs for local governments that enforce the Uniform Code will include the costs associated with tracking service of orders to remedy to assure that service is made within the five day time limit established by this rule. However, the Department of State anticipates that a local government will be able to fulfill these obligations using its existing code enforcement personnel, at little or no additional cost to the local government. Further, local governments are authorized by existing law to charge fees to defray the cost of their code enforcement activities.

4. ECONOMIC AND TECHNOLOGICAL FEASIBILITY.

It is economically and technologically feasible for regulated parties to comply with the rule. No substantial capital expenditures are imposed and no new technology need be developed for compliance.

The Department of State anticipates that local governments will be able to comply with this rule using their existing code enforcement personnel.

5. MINIMIZING ADVERSE IMPACT.

This rule was designed to minimize any adverse impact on all affected parties, including small businesses and local governments, by: (1) fixing the time within which compliance with an order to remedy is required at 30 days from the date of the order, thereby enabling local governments easily to compute the date by which compliance is required and to state that date in the order to remedy, as required by Executive Law § 382(2); (2) specifying the form of the notice to be included in the order to remedy that will enable local governments to state the time within which compliance is required, which will facilitate local governments' ability to comply with the requirements of Executive Law § 382(2); (3) providing that local governments can include in an order to remedy provisions requiring that the person or entity served with the order must begin to remedy the violation(s) immediately, and must diligently continue to remedy the violation(s), thereby allowing local governments to include appropriate provisions in an order to remedy to address a situation where immediate action is required to address life /safety concerns; and (4) providing a time within which compliance is required (30 days) which is longer than the average time currently specified by local governments that responded to the Department of State's survey (20 days), thereby assuring that a person or entity served with an order to remedy will have a reasonable time to comply before being subject to the penalties prescribed by Executive Law § 382(2).

Approaches such as establishing different compliance or reporting requirements or timetables that take into account the resources available to small businesses and local governments and/or providing exemptions from coverage by the rule, or any part thereof, for small businesses and local governments were not considered because doing so is not authorized by the statute and would endanger the public safety and general welfare.

6. SMALL BUSINESS AND LOCAL GOVERNMENT PARTICIPATION.

The Department of State gave small businesses and local governments an opportunity to participate in this rule making by posting a notice regarding this rule on the Department of State's website and by publishing a notice regarding this rule in Building New York, a monthly electronic news bulletin covering topics related to the Uniform Code and the construction industry that is prepared by the Department of State and is currently distributed to approximately 10,000 subscribers, including local governments, design professionals and others involved in all aspects of the construction industry.

7. VIOLATIONS AND PENALTIES ASSOCIATED WITH VIOLATIONS.

The applicable statute (Executive Law § 382(2)) establishes a violation (viz., failure to comply with an order to remedy) and establishes penalties associated with such violation (viz., a fine of not more than one thousand dollars per day of violation, or imprisonment not exceeding one year, or both). While this rule will relate to the violation and penalty established by Executive Law § 382(2) in the sense that this rule will fix the time within which compliance with an order to remedy is required, this rule will not directly establish or modify a violation and this rule will not directly establish or modify penalties associated with a violation. Therefore, for the purposes of Chapter 524 of the Laws of 2011 and subdivision 1-a of section 202-b of the State Administrative Procedure Act, this rule is not required to include a cure period or other opportunity for ameliorative action, the successful completion of which will prevent the imposition of penalties on the party or parties subject to enforcement. It should be noted, however, that this rule will, in effect, include a cure period or other opportunity for ameliorative action in the sense that this rule will provide that a person served with an order to remedy will have at least 30 days to comply with the order before the statutory penalties can be imposed.

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[1] This rule will also amend section 1203.1 of Title 19 of the NYCRR to include a reference to and definition of the term "Energy Code."

***Rural Area Flexibility Analysis***

1. TYPES AND ESTIMATED NUMBERS OF RURAL AREAS.

This rule adds a new section 1203.5 to Title 19 of the NYCRR. New section 1203.5 fixes the time within which compliance with an order to remedy violations of the State Uniform Fire Prevention and Building Code (the Uniform Code) is required.[1]

The Uniform Code applies in all parts of the State except New York City. Therefore, this rule will apply in all rural areas of the State.

2. REPORTING, RECORDKEEPING, AND OTHER COMPLIANCE REQUIREMENTS; AND PROFESSIONAL SERVICES.

Executive Law § 382(2) provides, in part, that any person, having been served, either personally or by registered or certified mail, with an order to remedy any condition found to exist in, on, or about any building in violation of the State Uniform Fire Prevention and Building Code (the Uniform Code), who shall fail to comply with such order within the time fixed by the regulations promulgated by the secretary pursuant to subdivision one of section three hundred eighty-one of this article, such time period to be stated in the order, shall be punishable by a fine of not more than one thousand dollars per day of violation, or imprisonment not exceeding one year, or both. This rule will add a new section 1203.5 to Title 19 of the NYCRR. New section 1203.5 fixes the time for compliance with an order to remedy at thirty (30) days from the date of the order.

A person served with an order to remedy in any part of the State, including any rural area, is already required by existing law to comply with that order. This rule merely fixes the time within which compliance with the

order is required. Failure to comply with an order to remedy within the time fixed by this rule will make the person served with the order subject to the penalties prescribed by Executive Law § 382(2).

This rule will impose no new reporting, recordkeeping or other compliance requirements on any person served with an order to remedy.

A person served with an order to remedy may find it necessary or desirable to hire an engineer, architect or other professional who constructs or assists in the construction or maintenance of buildings to assist with compliance with the order; however, this rule will not increase the need for any such professional services.

New section 1203.5 will require a local government that issues an order to remedy to include in the order a notice stating (1) that full compliance with the order within thirty (30) days of the date of the order is required and (2) that in the event the person served with the order to remedy fails to comply in full with the order within the thirty (30) day period, such person will be subject to the penalties prescribed by Executive Law § 382(2), viz., a fine of not more than $1,000 per day of violation, or imprisonment not exceeding one year, or both. Local governments (including local governments in rural areas) will be required to modify their order to remedy forms to include this notice.

New section 1203.5 will provide that an order to remedy must be served within five days of the date of the order. Local governments (including local governments in rural areas) will be required to track service of their orders to remedy to assure that they are served within the applicable five day period.

The Department of State anticipates that local governments will be able to enforce the new requirement added by section 1203.5 with their current code enforcement personnel, and will not require any significant additional professional services.

3. COMPLIANCE COSTS.

Pursuant to Executive Law § 382(2), a person served with an order to remedy who fails to comply with the order within the time fixed by this rule will be subject to the penalties prescribed by Executive Law § 382(2), viz., a fine not to exceed $1,000 per day of violation, imprisonment for not more than one year, or both. However, a person served with an order to remedy in any part of the State, including any rural area, is already required by existing law to comply with that order. This rule merely fixes the time within which compliance with the order is required. This rule will impose no additional initial capital costs on any person served with an order to remedy. This rule will impose no additional annual compliance costs on any person served with an order to remedy.

The initial costs to be incurred by local governments (including local governments in rural areas) will include (1) the cost of modifying their order to remedy forms to include the notice required by this rule and (2) the cost of training their code enforcement personnel on the requirements of this rule. However, the Department of State anticipates that the cost of modifying a local government's order to remedy form to include the notice required by this rule will be negligible. In addition, code enforcement personnel are required by existing law to receive 24 hours of in-service training each year, and the Department of State anticipates that training on the requirements of the new this rule can be provided within the already required annual in-service training.

The annual or on-going compliance costs for local governments (including local governments in rural areas) will include the costs associated with tracking service of orders to remedy to assure that service is made within the five day time limit established by this rule. However, the Department of State anticipates that a local government will be able to fulfill these obligations using its existing code enforcement personnel, at little or no additional cost to the local government. Further, local governments are authorized by existing law to charge fees to defray the cost of their code enforcement activities.

4. MINIMIZING ADVERSE IMPACT.

This rule was designed to minimize any adverse impact on all areas of the State, including rural areas, by: (1) fixing the time within which compliance with an order to remedy is required at 30 days from the date of the order, thereby enabling local governments easily to compute the date by which compliance is required and to state that date in the order to remedy, as required by Executive Law § 382(2); (2) specifying the form of the notice to be included in the order to remedy that will enable local governments to state the time within which compliance is required, which will facilitate local governments' ability to comply with the requirements of Executive Law § 382(2); (3) providing that local governments can include in an order to remedy provisions requiring that the person or entity served with the order must begin to remedy the violation(s) immediately, and must diligently continue to remedy the violation(s), thereby allowing local governments to include appropriate provisions in an order to remedy to address a situation where immediate action is required to address life /safety concerns; and (4) providing a time within which compliance is required (30 days) which is longer than the average time currently specified by local governments that responded to the Department of State's survey (20 days), thereby assuring that a person or entity served with an order to remedy will have a reasonable time to comply before being subject to the penalties prescribed by Executive Law § 382(2).

Establishing different compliance requirements for public and private sector interests in rural areas and/or providing exemptions from coverage by the rule for public and private sector interests in rural areas was not considered because doing so is not authorized by the statute and would endanger the public safety and general welfare.

5. RURAL AREA PARTICIPATION.

The Department of State notified interested parties throughout the State, including interested parties in rural areas, of the proposed adoption of this rule by means of notices posted on the Department's website and published in Building New York, a monthly electronic news bulletin covering topics related to the Uniform Code/Energy Code and the construction industry which is prepared by the Department of State and which is currently distributed to approximately 10,000 subscribers, including local governments, design professionals and others involved in all aspects of the construction industry.

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[1] This rule will also amend section 1203.1 of Title 19 of the NYCRR to include a reference to and definition of the term "Energy Code."

***Job Impact Statement***

The Department of State has concluded after reviewing the nature and purpose of the rule that it will not have a substantial adverse impact on jobs and employment opportunities in New York.

Executive Law § 382(2) provides, in part, that any person, having been served, either personally or by registered or certified mail, with an order to remedy any condition found to exist in, on, or about any building in violation of the State Uniform Fire Prevention and Building Code (the Uniform Code), who shall fail to comply with such order within the time fixed by the regulations promulgated by the secretary pursuant to Executive Law § 381(1), such time period to be stated in the order, shall be punishable by a fine of not more than one thousand dollars per day of violation, or imprisonment not exceeding one year, or both. This rule will add a new section 1203.5 to Title 19 of the Official Compilation of Codes, Rules and Regulations of the State of New York. New section 1203.5 fixes the time for compliance with an order to remedy at thirty (30) days from the date of the order.

A person served with an order to remedy is required by existing law to comply with that order. This rule merely fixes the time within which compliance with the order is required. Failure to comply with an order to remedy within the time fixed by this rule will make the person served with the order subject to the penalties prescribed by Executive Law § 382(2).

Therefore, the Department of State concludes that it is apparent from the nature and purpose of this rule that it will have no substantial adverse impact on jobs and employment opportunities.

# Department of Transportation

## NOTICE OF ADOPTION

### Regulation of Commercial Motor Carriers in New York State

**I.D. No.** TRN-35-14-00001-A
**Filing No.** 42
**Filing Date:** 2015-01-13
**Effective Date:** 2015-01-28

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

***Action taken:*** Amendment of Parts 154, 720, 721, 820, 845 and 855 of Title 17 NYCRR.

***Statutory authority:*** Transportation Law, sections 14(12), (18), 14-f(1)(a), 138(2) and 140(2); and Vehicle and Traffic Law, arts. 19-A and 19-B

***Subject:*** Regulation of commercial motor carriers in New York State.

***Purpose:*** The rules incorporate Title 49 CFR provisions pursuant to regulation of commercial motor carriers operating in New York State.

***Text of final rule:*** 17 NYCRR section 154-1.1(f) is amended to read as follows:

(f) Incorporation by reference. The provisions of the Code of Federal Regulations which have been incorporated in this Part have been filed in the Office of the Secretary of State of the State of New York, the publications so filed being the books entitled: Code of Federal Regulations, Title

49, Parts 100 to 177, *Parts 178 to 199, Parts 200 to 299 and Parts 300 to 399,* revised as of October 1, *2013* [1990], published by the Office of the Federal Register, National Archives and Records Administration, as a special edition of the Federal Register. The regulations incorporated by reference may be examined at the office of the Department of State, *One Commerce Plaza, 99 Washington Avenue, Albany, NY 12231-0001,* [162 Washington Avenue, Albany, NY 12231,] at the Libraries of the New York Supreme Court, the Legislative Library, the New York State Department of Transportation, Office of Counsel or *Central Permit Office, 50 Wolf Road,* [Traffic and Safety Division, State Office Campus, Building 5,] Albany, NY 12232. They may also be purchased from the Superintendent of Documents, Government Printing Office, Washington, DC 20402-0001. Copies of the Code of Federal Regulations are also available at *many* [may] public libraries and bar association libraries.

17 NYCRR section 154-2.1(e) is amended to read as follows:

(e) Incorporation by reference. The provisions of the Code of Federal Regulations which have been incorporated in this Subpart have been filed in the Office of the Secretary of State of the State of New York, the publications so filed being the books entitled: Code of Federal Regulations, Title 49, Parts 100 to 177, *Parts 178 to 199, Parts 200 to 299 and Parts 300 to 399,* revised as of October 1, *2013* [1990], published by the Office of the Federal Register, National Archives and Records Administration as a special edition of the Federal Register. The regulations incorporated by reference may be examined at the office of the Department of State, *One Commerce Plaza, 99 Washington Avenue, Albany, NY 12231-0001,* [162 Washington Avenue, Albany, NY 12231,] at the Libraries of the New York Supreme Court, the Legislative Library, the New York State Department of Transportation, Office of Counsel or *Central Permit Office, 50 Wolf Road,* [Traffic and Safety Division, State Office Campus, Building 5,] Albany, NY 12232. They may also be purchased from the Superintendent of Documents, Government Printing Office, Washington, DC 20402-0001. Copies of the Code of Federal Regulations are also available at *many* [may] public libraries and bar association libraries.

17 NYCRR section 720.12(a) is amended to read as follows:

17 NYCRR 720.12 Incorporation by reference.

(a) [Incorporation by certain Federal regulation by reference.] The provisions of the Code of Federal Regulations which have been incorporated by reference in this Part have been filed in the Office of the Secretary of State of the State of New York, the publication so filed being the book[let]s entitled*:* Code of Federal Regulations, Title 49, Parts 100 to *177* [185], [parts 200 to 399 (NYSDOS File No. 943, File Date June 23, 1997, Tracking No. CFR-95-10) and parts 400 to 999 (NYSDOS File No. 1701, File Date September 1, 1998, Tracking No. CFR-97-5) revised as of October 1, 1997,] *Parts 178 to 199, Parts 200 to 299, Parts 300 to 399, Parts 400 to 571 and Parts 572 to 999,* revised as of October 1, *2013* [1997], published by the Office of the Federal Register, National Archives and Records Administration, as a special edition of the Federal Register. The regulations incorporated by reference may be examined at the Office of the Department of State, *One Commerce Plaza, 99 Washington Avenue,* [41 State Street,] Albany, NY 12231-*0001*, at the law libraries of the New York State Supreme Court, the Legislative Library, the New York State Department of Transportation, Office of Counsel or Motor Carrier Compliance Bureau, 50 *Wolf Road,* [State Office Campus,] Albany, NY 12232. They may also be purchased from the Superintendent of Documents, Government Printing Office, Washington, DC 20402-*0001.* Copies of the Code of Federal Regulations are also available at many public libraries and bar association libraries.

17 NYCRR section 721.6 is repealed.

A new section 17 NYCRR 721.6 is added to read as follows:

*17 NYCRR 721.6. Incorporation by reference.*

*The provisions of the Code of Federal Regulations which have been incorporated by reference in this part have been filed in the Office of the Secretary of State of the State of New York, the publication so filed being the books entitled: Code of Federal Regulations, Title 49, Parts 100 to 177, Parts 178 to 199, Parts 200 to 299, Parts 300 to 399, Parts 400 to 571 and Parts 572 to 999, revised as of October 1, 2013, published by the Office of the Federal Register, National Archives and Records Administration, as a special edition of the Federal Register. The regulations incorporated by reference may be examined at the Office of the Department of State, One Commerce Plaza, 99 Washington Avenue, Albany, NY 12231-0001, at the law libraries of the New York State Supreme Court, the Legislative Library, the New York State Department of Transportation, Office of Counsel or Motor Carrier Compliance Bureau, 50 Wolf Road, Albany, NY 12232. They may also be purchased from the Superintendent of Documents, Government Printing Office, Washington, DC 20402-0001. Copies of the Code of Federal Regulations are also available at many public libraries and bar association libraries.*

17 NYCRR section 820.14 is amended to read as follows:

17 NYCRR section 820.14. Incorporation by reference.

The provisions of the Code of Federal Regulations which have been incorporated by reference in this Part have been filed in the Office of the Secretary of State of the State of New York, the publication so filed being the books entitled: Code of Federal Regulations, Title 49, Parts 100 to 177, Parts 178 to 199, Parts 200 to 299, Parts 300 to 399, revised as of October 1, *2013* [2003], published by the Office of the Federal Register, National Archives and Records Administration, as a special edition of the Federal Register. The regulations incorporated by reference may be examined at the Office of the Department of State, *One Commerce Plaza, 99 Washington Avenue, Albany, NY 12231-0001,* [41 State Street, Albany, NY 12231] at the law libraries of the New York State Supreme Court, the Legislative Library, the New York State Department of Transportation, Office of Counsel or Motor Carrier Compliance Bureau, 50 Wolf Road, Albany, NY 12232. They may also be purchased from the Superintendent of Documents, Government Printing Office, Washington, DC 20402-0001. Copies of the Code of Federal Regulations are also available at many public libraries and bar association libraries.

17 NYCRR Part 845 is repealed.

A new 17 NYCRR Part 845 is added to read as follows:

*Section 845.0. Applicability.*

*(a) The rules and regulations in this part are applicable to equipment operated by or for, but not owned by authorized carriers of property and of household goods in intrastate, interstate and foreign commerce subject to the provisions of Articles 6, 8 and 9 of the Transportation Law.*

*(b) Incorporation by reference. The provisions of the Code of Federal Regulations which have been incorporated by reference in this Part have been filed in the Office of the Secretary of State of the State of New York, the publication so filed being the book entitled: Code of Federal Regulations, Title 49, Parts 300 to 399, revised as of October 1, 2013, published by the Office of the Federal Register, National Archives and Records Administration, as a special edition of the Federal Register. The regulations incorporated by reference may be examined at the Office of the Department of State, One Commerce Plaza, 99 Washington Avenue, Albany, NY 12231-0001, at the law libraries of the New York State Supreme Court, the Legislative Library, the New York State Department of Transportation, Office of Counsel or Motor Carrier Compliance Bureau, 50 Wolf Road, Albany, NY 12232. They may also be purchased from the Superintendent of Documents, Government Printing Office, Washington, DC 20402-0001. Copies of the Code of Federal Regulations are also available at many public libraries and bar association libraries.*

The title of 17 NYCRR Part 855 is amended to read as follows: INSURANCE REQUIREMENTS FOR MOTOR CARRIERS *OF PROPERTY* [AND BROKERS]

17 NYCRR section 855.2 is amended to read as follows:

Section 855.2. *Minimum levels of financial responsibility for interstate motor carriers of property.* [Brokers.]

*Incorporation by reference. The Commissioner of Transportation adopts Part 387 of Title 49 of the Code of Federal Regulations with the same force and effect as though herein fully set forth at length for for-hire motor carriers of property operating motor vehicle in interstate and foreign commerce and motor carriers transporting hazardous materials, hazardous substances, or hazardous wastes in interstate, intrastate, or foreign commerce. The provisions of the Code of Federal Regulations which have been incorporated in this Part have been filed in the Office of the Secretary of State of the State of New York, the publications so filed being the books entitled: Code of Federal Regulations, Title 49, Parts 100 to 185, Parts 186 to 199, Parts 200 to 299 and Parts 300-399, revised as of October 1, 2013, published by the Office of the Federal Register, National Archives and Records Administration, as a special edition of the Federal Register. The regulations incorporated by reference may be examined at the office of the Department of State, One Commerce Plaza, 99 Washington Avenue, Albany, NY 12231-0001, at the Libraries of the New York Supreme Court, the Legislative Library, the New York State Department of Transportation, Office of Counsel or Central Permit Office, 50 Wolf Road, Albany, NY 12232. They may also be purchased from the Superintendent of Documents, Government Printing Office, Washington, DC 20402-0001. Copies of the Code of Federal Regulations are also available at many public libraries and bar association libraries.* [Every broker shall secure and maintain and file with this commissioner a corporate bond or policy of insurance in a company authorized to do business in this State by the Superintendent of Insurance, conditioned to insure financial responsibility and the supplying of authorized transportation in accordance with contracts, agreements or arrangements therefore. The bond or policy shall have a minimum liability of $10,000.]

***Final rule as compared with last published rule:*** Nonsubstantive changes were made in section 855.2.

***Text of rule and any required statements and analyses may be obtained from:*** David E. Winans, Associate Counsel, New York State Department of Transportation, 50 Wolf Road, 6th Floor, Albany, NY 12232, (518) 457-2411, email: david.winans@dot.ny.gov

***Revised Job Impact Statement***
Changes made to the last published rule do not necessitate revision to the previously published JIS. In the Notice of Proposed Rulemaking published in the State Register on 9/3/2014, new material listing the parts and volumes of the CFR to be incorporated by reference in 17 NYCRR 855.2 was complete and correct, but not underlined. That typographical error has been corrected in this Notice of Adoption.

***Assessment of Public Comment***
The agency received no public comment.

## NOTICE OF ADOPTION

### Consolidated Local Street and Highway Improvement Program (CHIPS)

**I.D. No.** TRN-40-14-00005-A
**Filing No.** 43
**Filing Date:** 2015-01-13
**Effective Date:** 2015-01-28

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

***Action taken:*** Amendment of sections 34.1 and 34.2 of Title 17 NYCRR.

***Statutory authority:*** Highway Law, section 10-c; L. 2011, ch. 60, part A

***Subject:*** Consolidated Local Street and Highway Improvement Program (CHIPS).

***Purpose:*** To correct minor inaccuracies and to reduce certification requirements for municipalities in regard to CHIPS grant allocations.

***Text or summary was published*** in the October 8, 2014 issue of the Register, I.D. No. TRN-40-14-00005-P.

***Final rule as compared with last published rule:*** No changes.

***Text of rule and any required statements and analyses may be obtained from:*** Diane Kenneally, New York State Department of Transportation (NYSDOT), 50 Wolf Road, Albany, NY 12232, (518) 457-4059, email: diane.kenneally@dot.ny.gov

***Assessment of Public Comment***
The agency received no public comment.

## HEARINGS SCHEDULED FOR PROPOSED RULE MAKINGS

| Agency I.D. No. | Subject Matter | Location—Date—Time |
|---|---|---|
| **Environmental Conservation, Department of** | | |
| ENV-52-14-00027-P | Control of criteria air contaminants and toxic air contaminants from general process air pollution sources | Department of Environmental Conservation Headquarters, 625 Broadway, Public Assembly, Rms. 129 A and B, Albany, NY—Feb. 4, 2015, 1:00 p.m.<br>Department of Environmental Conservation Region 2 Office, One Hunters Point Plaza, 47-40 21st St., Rm. 834, Long Island City, NY—Feb. 5, 2015, 9:00 a.m.<br>Department of Environmental Conservation Region 7 Office, 615 Erie Blvd., West Syracuse, NY—Feb. 6, 2015, 1:00 p.m.<br>Sheridan Parkside Community Center, 169 Sheridan Parkside Dr., Tonawanda, NY—Feb. 9, 2015, 4:00 p.m. |
| **Liquor Authority, State** | | |
| LQR-02-15-00002-P | Signage, services and gifts to retailers | State Liquor Authority, 317 Lenox Ave., New York, NY—March 10, 2015, 10:00 a.m. |
| **Long Island Power Authority** | | |
| LPA-02-15-00006-P | Provisions of LIPA's tariff for adjustment to rates and changes of service classifications | Long Island Power Authority, H. Lee Dennison Bldg., 100 Veterans Memorial Hwy., Happauge, NY—March 4, 2015, 10:00 a.m.<br>Long Island Power Authority, 333 Earle Ovington Blvd., 4th Fl., Uniondale, NY—March 4, 2015, 2:00 p.m. |
| **People with Developmental Disabilities, Office for** | | |
| PDD-02-15-00007-EP | Direct care and clinical compensation payments | Office for People with Developmental Disabilities, 44 Holland Ave., Counsel's Office Conference Rm., Albany, NY—March 2, 2015, 12:30 p.m.<br>Office for People with Developmental Disabilities, 44 Holland Ave., Counsel's Office Conference Rm., Albany, NY—March 3, 2015, 12:30 p.m. |
| PDD-02-15-00008-EP | Updates to SSI offset and SNAP benefit offset | Office for People with Developmental Disabilities, 44 Holland Ave., Counsel's Office Conference Rm., Albany, NY—March 2, 2015, 11:00 a.m.<br>Office for People with Developmental Disabilities, 44 Holland Ave., Counsel's Office Conference Rm., Albany, NY—March 3, 2015, 11:00 a.m. |
| **Public Service Commission** | | |
| PSC-04-15-00012-P | Disposition of tax refunds and other related matters | Department of Public Service, Three Empire State Plaza, 3rd Fl. Hearing Rm., Albany, NY—April 8, 2015, 10:30 a.m. (Evidentiary Hearing)*<br>*On occasion there are requests to reschedule or postpone evidentiary hearing dates. If such a request is granted, notification of any subsequent scheduling changes will be available at the DPS website (www.dps.ny.gov) under Case 14-G-0503. |
| **State, Department of** | | |
| DOS-02-15-00004-EP | Use of truss type, pre-engineered wood or timber construction in residential structures | Department of State, 99 Washington Ave., Rm. 505, Albany, NY—March 2, 2015, 10:00 a.m. |
| DOS-04-15-00004-EP | Issuance of an order to remedy a violation of | |

| | |
|---|---|
| the Uniform Code | Department of State, 99 Washington Ave., Rm. 505, Albany, NY—March 20, 2015, 9:00 a.m. |

# ACTION PENDING INDEX

The action pending index is a list of all proposed rules which are currently being considered for adoption. A proposed rule is added to the index when the notice of proposed rule making is first published in the *Register*. A proposed rule is removed from the index when any of the following occur: (1) the proposal is adopted as a permanent rule; (2) the proposal is rejected and withdrawn from consideration; or (3) the proposal's notice expires.

Most notices expire in approximately 12 months if the agency does not adopt or reject the proposal within that time. The expiration date is printed in the second column of the action pending index. Some notices, however, never expire. Those notices are identified by the word "exempt" in the second column. Actions pending for one year or more are preceded by an asterisk(*).

For additional information concerning any of the proposals listed in the action pending index, use the identification number to locate the text of the original notice of proposed rule making. The identification number contains a code which identifies the agency, the issue of the *Register* in which the notice was printed, the year in which the notice was printed and the notice's serial number. The following diagram shows how to read identification number codes.

| Agency code | Issue number | Year published | Serial number | Action Code |
|---|---|---|---|---|
| **AAM** | **01** | **12** | **00001** | **P** |

Action codes: P — proposed rule making; EP — emergency and proposed rule making (expiration date refers to proposed rule); RP — revised rule making

| Agency I.D. No. | Expires | Subject Matter | Purpose of Action |
|---|---|---|---|
| **AUDIT AND CONTROL, DEPARTMENT OF** | | | |
| AAC-48-14-00001-P | 12/03/15 | Property Location Agreements | To conform terminology and to reflect an amendment made to EPTL section 13-2.3 |
| **CABLE TELEVISION, COMMISSION ON** | | | |
| *CTV-23-94-00009-P | exempt | Rates for basic service and equipment of Adelphia Communications - Aurora system | To determine whether the company's rates for basic service and equipment are justified |
| *CTV-23-94-00010-P | exempt | Rates for basic service and equipment of Adelphia Communications - Chautauqua system | To determine whether the company's rates for basic service and equipment are justified |
| *CTV-23-94-00011-P | exempt | Rates for basic service and equipment of Adelphia Communications - Grand Island system | To determine whether the company's rates for basic service and equipment are justified |
| *CTV-23-94-00012-P | exempt | Rates for basic service and equipment of Adelphia Communications - Riverview system | To determine whether the company's rates for basic service and equipment are justified |
| *CTV-23-94-00030-P | exempt | Rates for basic service and equipment of Cablevision Systems Corp. - Long Island/V-Cable/Shelter Island system | To determine whether the company's rates for basic service and equipment are justified |
| *CTV-23-94-00035-P | exempt | Rates for basic service and equipment of C-TEC Corp. - C-TEC Cable system | To determine whether the company's rates for basic service and equipment are justified |
| *CTV-24-94-00013-P | exempt | Rates for basic service and equipment of Cablevision Systems Corp. - Long Island - Riverhead system | To determine whether the company's rates for basic service and equipment are justified |
| *CTV-24-94-00026-P | exempt | Rates for basic service and equipment of Cablevision Systems Corp. - Long Island system | To determine whether the company's rates for basic service and equipment are justified |
| *CTV-24-94-00034-P | exempt | Rates for basic service and equipment of Cablevision System Corp. - Long Island/V-Cable system | To determine whether the company's rates for basic service and equipment are justified |

| Agency I.D. No. | Expires | Subject Matter | Purpose of Action |
|---|---|---|---|
| **CABLE TELEVISION, COMMISSION ON** | | | |
| *CTV-24-94-00037-P | exempt | Rates for basic service and equipment of Adelphia Communications - International system | To determine whether the company's rates for basic service and equipment are justified |
| *CTV-24-94-00042-P | exempt | Rates for basic service and equipment of Adelphia Communications/Resort system | To determine whether the company's rates for basic service and equipment are justified |
| *CTV-24-94-00043-P | exempt | Rates for basic service and equipment of Adelphia Communications - Hoosick system | To determine whether the company's rates for basic service and equipment are justified |
| *CTV-24-94-00051-P | exempt | Rates for basic service and equipment of Cablevision Systems Corp. - Long Island/Great Neck system | To determine whether the company's rates for basic service and equipment are justified |
| *CTV-25-94-00015-P | exempt | Rates for basic service and equipment of Selectavision of Cazenovia - Cazenovia system | To determine whether the company's rates for basic service and equipment are justified |
| *CTV-25-94-00021-P | exempt | Rates for basic service and equipment of Cablevision Systems Corp. - A-R Cable Services-NY, Inc. Lynbrook system | To determine whether the company's rates for basic and equipment are justified |
| *CTV-25-94-00023-P | exempt | Rates for basic service and equipment of Cablevision Systems Corp. - Dutchess system | To determine whether the company's rates for basic service and equipment are justified |
| *CTV-25-94-00026-P | exempt | Rates for basic service and equipment of Adelphia Communications - Harbor Vue system | To determine whether the company's rates for basic service and equipment are justified |
| *CTV-25-94-00033-P | exempt | Rates for basic service and equipment of Cablevision Systems Corp. - East Hampton system | To determine whether the company's rates for basic service and equipment are justified |
| *CTV-27-94-00029-P | exempt | Rates for basic service and equipment of Cablevision Systems Corp.-Huntington system | To determine whether the company's rates for basic service and equipment are justified |
| *CTV-27-94-00031-P | exempt | Rates for basic service and equipment of Adelphia Communications-Niagara system | To determine whether the company's rates for basic service and equipment are justified |
| *CTV-39-94-00017-P | exempt | Rates for basic service and equipment of Time Warner - ATC - ACC Dryden system | To determine whether the company's rates for basic service and equipment are justified |
| *CTV-39-94-00018-P | exempt | Rates for basic service and equipment of Adelphia Communications-Aurora, Chautauqua, Grand Island, Harbor Vue, Hoosick, International, Niagara, Resort and River Valley systems | To determine whether the company's rates for basic service and equipment are justified |
| *CTV-39-94-00019-P | exempt | Rates for basic service and equipment of C-Tec Cable Corp.-C-Tec Cable system | To determine whether the company's rates for basic service and equipment are justified |
| *CTV-39-94-00023-P | exempt | Rates for basic service and equipment of United Video Cablevision of New York-Community Cable system | To determine whether the company's rates for basic service and equipment are justified |
| *CTV-39-94-00033-P | exempt | Rates for basic service and equipment of Simmons Communications-Simmons Cable-Salamanca system | To determine whether the company's rates for basic service and equipment are justified |
| *CTV-39-94-00035-P | exempt | Rates for basic service and equipment of TKR Cable Company-Ramapo, Rockland and Warwick systems | To determine whether the company's rates for basic service and equipment are justified |

| Agency I.D. No. | Expires | Subject Matter | Purpose of Action |
|---|---|---|---|
| **CABLE TELEVISION, COMMISSION ON** | | | |
| *CTV-39-94-00037-P | exempt | Rates for basic service and equipment of U.S. Cable Corp.-Evangola, Westfield and Tri - County/Arcade systems | To determine whether the company's rates for basic service and equipment are justified |
| *CTV-39-94-00039-P | exempt | Rates for basic service and equipment of Time Warner-Warner Communications/Olean system | To determine whether the company's rates for basic service and equipment are justified |
| *CTV-45-94-00010-P | exempt | Rates for basic service and equipment of Cablevision Industries, Inc.-Genesee/Tri-County/Medina system | To determine whether the company's rates for basic service and equipment are justified |
| **CIVIL SERVICE, DEPARTMENT OF** | | | |
| CVS-20-14-00003-P | 05/21/15 | Jurisdictional Classification | To classify positions in the non-competitive class |
| CVS-25-14-00003-P | 06/25/15 | Jurisdictional Classification | To classify a position in the exempt class |
| CVS-30-14-00001-P | 07/30/15 | Jurisdictional Classification | To classify positions in the exempt class and to delete positions from the non-competitive class |
| CVS-30-14-00002-P | 07/30/15 | Jurisdictional Classification | To classify a position in the non-competitive class |
| CVS-30-14-00003-P | 07/30/15 | Jurisdictional Classification | To classify a position in the exempt class and to delete positions from and classify positions in the non-competitive class |
| CVS-30-14-00004-P | 07/30/15 | Jurisdictional Classification | To delete and classify positions in the exempt class and to delete and classify positions in the non-competitive class |
| CVS-30-14-00005-P | 07/30/15 | Jurisdictional Classification | To classify a position in the non-competitive class |
| CVS-30-14-00006-P | 07/30/15 | Jurisdictional Classification | To classify a position in the non-competitive class |
| CVS-30-14-00007-P | 07/30/15 | Jurisdictional Classification | To delete a position from the non-competitive class |
| CVS-30-14-00008-P | 07/30/15 | Jurisdictional Classification | To classify a position in the exempt class |
| CVS-30-14-00009-P | 07/30/15 | Jurisdictional Classification | To classify a position in the exempt class |
| CVS-30-14-00010-P | 07/30/15 | Jurisdictional Classification | To delete positions from and classify positions in the non-competitive class |
| CVS-30-14-00011-P | 07/30/15 | Jurisdictional Classification | To classify a position in the non-competitive class |
| CVS-30-14-00012-P | 07/30/15 | Jurisdictional Classification | To classify a position in the exempt class |
| CVS-30-14-00013-P | 07/30/15 | Jurisdictional Classification | To classify positions in the non-competitive class |
| CVS-44-14-00005-P | 11/05/15 | Jurisdictional Classification | To classify a position in the exempt class |
| CVS-44-14-00006-P | 11/05/15 | Jurisdictional Classification | To classify a position in the non-competitive class |

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|---|---|---|---|
| **CIVIL SERVICE, DEPARTMENT OF** | | | |
| CVS-44-14-00007-P | 11/05/15 | Jurisdictional Classification | To classify a position in the exempt class |
| CVS-44-14-00008-P | 11/05/15 | Jurisdictional Classification | To classify a position in the exempt class |
| CVS-44-14-00009-P | 11/05/15 | Jurisdictional Classification | To classify positions in the exempt class |
| CVS-44-14-00010-P | 11/05/15 | Jurisdictional Classification | To classify positions in the exempt class |
| CVS-44-14-00011-P | 11/05/15 | Jurisdictional Classification | To classify a position in the exempt class |
| CVS-44-14-00012-P | 11/05/15 | Jurisdictional Classification | To delete a heading and positions from the exempt class |
| CVS-44-14-00013-P | 11/05/15 | Jurisdictional Classification | To delete a position from and classify positions in the exempt class |
| CVS-44-14-00014-P | 11/05/15 | Jurisdictional Classification | To classify a position in the non-competitive class |
| CVS-44-14-00015-P | 11/05/15 | Jurisdictional Classification | To classify a position in the non-competitive class |
| CVS-44-14-00016-P | 11/05/15 | Jurisdictional Classification | To classify positions in the non-competitive class |
| CVS-44-14-00017-P | 11/05/15 | Jurisdictional Classification | To delete positions from and classify positions in the non-competitive class |
| CVS-44-14-00018-P | 11/05/15 | Jurisdictional Classification | To delete positions from and classify positions in the non-competitive class |
| CVS-47-14-00002-P | 11/26/15 | Jurisdictional Classification | To delete positions from and classify positions in the exempt class |
| CVS-47-14-00003-P | 11/26/15 | Jurisdictional Classification | To delete a position from and classify a position in the exempt class |
| CVS-47-14-00004-P | 11/26/15 | Jurisdictional Classification | To classify a position in the exempt class |
| CVS-47-14-00005-P | 11/26/15 | Jurisdictional Classification | To classify a position in the exempt class |
| CVS-47-14-00006-P | 11/26/15 | Jurisdictional Classification | To delete a subheading and positions from the exempt class |
| CVS-47-14-00007-P | 11/26/15 | Jurisdictional Classification | To classify a position in the non-competitive class |
| CVS-01-15-00004-P | 01/07/16 | Jurisdictional Classification | To classify a position in the non-competitive class |
| CVS-01-15-00005-P | 01/07/16 | Jurisdictional Classification | To classify a position in the exempt class |
| CVS-01-15-00006-P | 01/07/16 | Jurisdictional Classification | To delete a position from and classify a position in the exempt class |
| CVS-01-15-00007-P | 01/07/16 | Jurisdictional Classification | To classify positions in the non-competitive class |

| Agency I.D. No. | Expires | Subject Matter | Purpose of Action |
|---|---|---|---|
| **CIVIL SERVICE, DEPARTMENT OF** | | | |
| CVS-01-15-00008-P | 01/07/16 | Jurisdictional Classification | To delete positions from and classify positions in the exempt class |
| CVS-01-15-00009-P | 01/07/16 | Jurisdictional Classification | To delete a position from and classify a position in the exempt class |
| CVS-01-15-00021-P | 01/07/16 | Jurisdictional Classification | To classify a position in the exempt class |
| CVS-01-15-00022-P | 01/07/16 | Jurisdictional Classification | To delete positions from the non-competitive class |
| CVS-01-15-00023-P | 01/07/16 | Jurisdictional Classification | To classify a position in the non-competitive class |
| **CORRECTIONS AND COMMUNITY SUPERVISION, DEPARTMENT OF** | | | |
| *CCS-02-14-00003-P | 01/15/15 | Privileged Correspondence | Add the definition for ''Rape Crisis Program'' |
| *CCS-02-14-00004-P | 01/15/15 | Inmate Telephone Calls | Add the provision that an inmate may add attorney or DOH approved Rape Crisis Program to their telephone list |
| CCS-41-14-00007-P | 10/15/15 | Monterey Correctional Facility (CF), Chateaugay CF, Mt. McGregor CF, Butler CF | To remove references to Correctional Facilities that are no longer in operation |
| **ECONOMIC DEVELOPMENT, DEPARTMENT OF** | | | |
| EDV-46-14-00001-EP | 11/19/15 | Empire State Musical and Theatrical Production Tax Credit Program | Establish application procedures for the Empire State Musical and Theatrical Production Tax Credit Program |
| EDV-03-15-00001-P | 01/21/16 | Empire State Post Production Tax Credit Program | Establish application procedure for the Empire State Post Production Tax Credit Program |
| **EDUCATION DEPARTMENT** | | | |
| EDU-08-14-00020-P | 02/26/15 | Hearings on charges of tenured school employees | To allow, under certain circumstances, tenured teachers and principals to raise as a defense in a section 3020-a hearing that their school district failed to timely implement the Common Core in the 2012-2013 and/or 2013-2014 school years |
| EDU-19-14-00009-P | 05/14/15 | Mandatory reporting of information regarding possession, sale, use or manufacture of illegal drugs on school property/functions | To establish a mandatory reporting requirement for school personnel, sanctions for noncompliance, and protection for school personnel who report |
| EDU-27-14-00013-EP | 07/09/15 | Elementary and Secondary Education Act (ESEA) Flexibility and school and school district accountability | Conform regulations to State's ESEA Flexibility Waiver Renewal with respect to school and district removal criteria |
| EDU-48-14-00007-ERP | 12/03/15 | New York State Common Core Learning Standards (CCLS) in mathematics | To provide additional flexibility in the transition to the Common Core-aligned Regents Examination in Algebra 1 |
| EDU-48-14-00008-P | 12/03/15 | Field tests for State assessments, alternate assessments and Regents examinations | To clarify that school districts must administer field tests in the schools for which they are assigned |

| Agency I.D. No. | Expires | Subject Matter | Purpose of Action |
|---|---|---|---|
| **EDUCATION DEPARTMENT** | | | |
| EDU-48-14-00009-P | 12/03/15 | Professional development requirements for teachers, level III teaching assistants and administrators | To establish professional development requirements for teachers, holders of a level III teaching assistant certificate, and administrators, in language acquisition that specifically addresses the needs of students who are English Language Learners (ELLs) |
| EDU-52-14-00012-P | 12/31/15 | Local high school equivalency diplomas based upon experimental programs | To extend until 6/30/17 the provision for awarding local high school equivalency diplomas based upon experimental programs |
| EDU-52-14-00014-EP | 12/31/15 | Determination of student residency | Clarify requirements on student enrollment, particularly as to procedures for unaccompanied minors and other undocumented youth |
| EDU-52-14-00015-EP | 12/31/15 | Profession of Applied Behavior Analysis | To implement Chapter 554 of the Laws of 2013 and Chapter 8 of the Laws of 2014 |
| EDU-52-14-00028-P | 12/31/15 | Certification requirements for teaching assistants | To provide extensions in one year increments on the validity of a Level II teaching assistant certificate for candidates pursuing citizenship; define ''school year''; and eliminate the words ''without fee'' in the definition of internship certificate |
| EDU-01-15-00011-P | 01/07/16 | Epinephrine auto-injectors | Prescribe standards for provision, maintenance, and administration of epinephrine auto-injectors in the event of an emergency |
| EDU-04-15-00007-P | 01/28/16 | Use of Department Facilities in the Cultural Education Center | To prescribe standards for the use of Cultural Education Center facilities |
| **ENVIRONMENTAL CONSERVATION, DEPARTMENT OF** | | | |
| *ENV-37-13-00005-RP | 01/28/15 | Liquefied Natural Gas (LNG) | To establish criteria for the siting of and to require DEC permits for LNG facilities per ECL Article 23, Title 17 |
| ENV-31-14-00006-P | 10/14/15 | Petroleum Bulk Storage (PBS) and Used Oil Management | To harmonize existing State requirements with overlapping Federal requirements |
| ENV-31-14-00007-P | 10/14/15 | Chemical Bulk Storage | To amend existing CBS rule to be at least as stringent as EPA federal rule (40 CFR 280) and include NYS 2008 statutory changes |
| ENV-41-14-00003-P | 10/15/15 | Sportfish activities and associated activities | To revise sportfishing regulations & associated activities including the commercial collection, sale and use of baitfish |
| ENV-46-14-00002-EP | 11/19/15 | To amend part 189 related to the discovery of chronic wasting disease in deer in Ohio | To prevent importation of chronic wasting disease infectious material from the State of Ohio into New York |
| ENV-47-14-00001-P | 11/26/15 | The management of coastal sharks | Make state regulations consistent with federal rules and maintain compliance with the ASMFC Interstate FMP for Coastal Sharks |
| ENV-48-14-00005-P | 01/27/16 | Water quality standards for Class I and Class SD waters in New York City and Suffolk County | To amend New York's water quality standards for Class I and Class SD waters to meet the "swimmable" goal of the Clean Water Act |

| Agency I.D. No. | Expires | Subject Matter | Purpose of Action |
|---|---|---|---|
| **ENVIRONMENTAL CONSERVATION, DEPARTMENT OF** | | | |
| ENV-52-14-00027-P | 02/09/16 | The control of criteria air contaminants and toxic air contaminants from general process air pollution sources | To clearly define the federal and state requirements of the existing Part 212 rule, General Process Emission Sources |
| ENV-04-15-00006-P | 01/28/16 | Regulations governing the recreational harvest of winter flounder | Extend the recreational winter flounder fishing open season from April 1 - May 30 to March 1 - December 31 |
| **FINANCIAL SERVICES, DEPARTMENT OF** | | | |
| DFS-29-14-00003-P | 07/23/15 | Arbitration | To revise the fee structure awarded to attorneys who prevail in no-fault disputes on behalf of applicants |
| DFS-29-14-00014-P | 07/23/15 | Title insurance agents, affiliated relationships, and title insurance business | To implement requirements of Chapter 57 of Laws of NY 2014 re: title insurance agents and placement of title insurance business |
| DFS-29-14-00015-P | 07/23/15 | Regulation of the conduct of virtual currency businesses | Regulate retail-facing virtual currency business activity in order to protect New York consumers and users and ensure the safety and soundness of New York licensed providers of virtual currency products and services |
| DFS-46-14-00013-P | 11/19/15 | Reports to Central Organization | To remove an outdated references to “PILR” in the title of section 62-2.2 |
| DFS-52-14-00009-P | 12/31/15 | Independent Dispute Resolution for Emergency Services and Surprise Bills | To establish a dispute resolution process and standards for that process |
| DFS-04-15-00005-P | 01/28/16 | Life insurance reserves | To modernize the current regulatory scheme with respect to universal life insurance with secondary guarantee reserves |
| **GAMING COMMISSION, NEW YORK STATE** | | | |
| *SGC-49-13-00010-P | 01/21/15 | Per Se regulatory standardbred threshold limited to 24 drugs, special corticosteroid rules | To enhance the integrity and safety of standardbred horse racing by limiting standardbred equine drugs |
| *SGC-49-13-00012-P | 01/21/15 | Per Se regulatory standardbred threshold and restricted time period for betamethasone and triamcinolone acetonide | To enhance the integrity and safety of standardbred horse racing with new corticosteroid rules |
| *SGC-49-13-00013-P | 01/21/15 | Per Se regulatory standardbred threshold and restricted time period for dexamethasone and prednisolone | To enhance the integrity and safety of standardbred horse racing with new corticosteroid rules |
| *SGC-49-13-00016-P | 01/21/15 | Per Se regulatory standardbred threshold and restricted time period for various drugs | To enhance the integrity and efficiency of standardbred horse racing with new equine drug rules |
| *SGC-49-13-00023-P | 01/21/15 | Restricted time period for administrations of unspecified corticosteroids to thoroughbred horses | To enhance the integrity and safety of thoroughbred horse racing |
| SGC-28-14-00006-EP | 07/16/15 | Implementation of rules pertaining to gaming facility request for application and gaming facility license application | To facilitate a fair and transparent process for applying for a license to operate a gaming facility |

| Agency I.D. No. | Expires | Subject Matter | Purpose of Action |
|---|---|---|---|
| **GENERAL SERVICES, OFFICE OF** | | | |
| GNS-36-14-00001-P | 09/10/15 | Procurement of New York State food products | To provide guidance to State Agencies as to how they procure food |
| **HEALTH, DEPARTMENT OF** | | | |
| *HLT-14-94-00006-P | exempt | Payment methodology for HIV/AIDS outpatient services | To expand the current payment to incorporate pricing for services |
| HLT-08-14-00001-RP | 02/26/15 | Physician Assistants and Specialist Assistants | Allows LPAs to prescribe controlled substances (including Schedule II) to patients under the care of the supervising physician |
| HLT-28-14-00008-P | 07/16/15 | Immediate Needs for Personal Care Services | To provide for meeting the immediate needs of Medicaid applicants and recipients for personal care services |
| HLT-28-14-00015-ERP | 07/16/15 | Rate Rationalization – Intermediate Care Facilities for Persons with Developmental Disabilities | To amend the new rate methodology effective July 1, 2014 |
| HLT-28-14-00016-ERP | 07/16/15 | Rate Rationalization for Community Residences/Individualized Residential Alternatives Habilitation and Day Habilitation | To amend the new rate methodology effective July 1, 2014 |
| HLT-29-14-00013-P | 07/23/15 | Amendment of Certificate of Need (CON) Applications | To eliminate requirement for Public Health & Health Planning Council review of certain types of amendments to CON applications |
| HLT-31-14-00002-P | 08/06/15 | Outpatient Services Licensed Under the Mental Hygiene Law | Creates methodology for adjusting provider reimbursement in OPWDD, OHM & OASAS certified clinics based on annual patient visits |
| HLT-32-14-00001-P | 08/13/15 | Blood Banks | Update practice standards, reflect changes and provide clarification of reg. provisions for blood banks and transfusion services |
| HLT-35-14-00002-P | 09/03/15 | Statewide Health Information Network for New York (SHIN-NY) | To promulgate regulations, consistent with federal law and policies, that govern the Statewide Health Information Network for NY |
| HLT-36-14-00012-P | 09/10/15 | Personal Care Services Program (PCSP) and Consumer Directed Personal Assistance Program (CDPAP) | To establish definitions, criteria and requirements associated with the provision of continuous PC and continuous CDPA services |
| HLT-37-14-00003-P | 09/17/15 | Emergency Medical Services | To clarify terminology, eliminate vagueness, address legal statutes/crimes & incorp. modern professional, ethical & moral standards |
| HLT-39-14-00018-P | 10/01/15 | Medical Records Access Review Committees (MRARCs) | To designate rather than appoint MRARCs to hear appeals from the denial of access to patient information |
| HLT-40-14-00016-P | 10/08/15 | Inpatient Rate for Language Assistance Services | To establish hospital inpatient payment rate to reimburse hospitals for the costs of providing language interpretation services |
| HLT-40-14-00017-P | 10/08/15 | Nursing Home (NH) Transfer and Discharge Rights | To clarify requirements governing NH transfers and discharges so that facilities will uniformly comply with federal regulations |

| Agency I.D. No. | Expires | Subject Matter | Purpose of Action |
|---|---|---|---|
| **HEALTH, DEPARTMENT OF** | | | |
| HLT-40-14-00018-P | 10/08/15 | Managed Care Organizations | To lower the contingent reserve requirement applied to the Medicaid Managed Care, Family Health Plus & HIV SNP Programs |
| HLT-41-14-00002-P | 10/15/15 | Certificate of Need (CON) Requirements | Simplify CON review requirements for projects involving nonclinical infrastructure, equipment replacement & repair & maintenance |
| HLT-42-14-00001-P | 10/22/15 | Audited Financial Statements for Managed Care Organizations | To extend audit and reporting standards to all managed care organizations (MCOs), including PHSPs, HIV SNPs and MLTCPs |
| HLT-43-14-00001-P | 10/29/15 | Hospital Observation Services | To amend current observation services provisions to be in compliance with changes in Public Health Law, Section 2805-v |
| HLT-50-14-00001-P | 12/17/15 | Transgender Related Care and Services | To authorize Medicaid coverage for transgender related care and services |
| HLT-52-14-00013-P | 12/31/15 | Medical Use of Marihuana | To comprehensively regulate the manufacture, sale and use of medical marihuana |
| **HIGHER EDUCATION SERVICES CORPORATION** | | | |
| ESC-52-14-00016-P | 12/31/15 | Default fee | To repeal section 2101.5 of Title 8 of the NYCRR as obsolete |
| ESC-52-14-00017-P | 12/31/15 | New York State Math and Science Teaching Incentive Program | To delete an outdated and incorrect reference |
| ESC-52-14-00018-P | 12/31/15 | Volunteer Recruitment Service Scholarships Program | To repeal section 2201.11 of Title 8 of the NYCRR as obsolete |
| ESC-01-15-00003-P | 01/07/16 | Adjustments to income | To delete incorrect references |
| **LIQUOR AUTHORITY, STATE** | | | |
| LQR-02-15-00002-P | 03/09/16 | Signage, Services and Gifts to Retailers | To enact business friendly amendments; eliminate interior sign restrictions; and increase annual dollar limits for advertising |
| **LONG ISLAND POWER AUTHORITY** | | | |
| *LPA-08-01-00003-P | exempt | Pole attachments and related matters | To approve revisions to the authority's tariff |
| *LPA-41-02-00005-P | exempt | Tariff for electric service | To revise the tariff for electric service |
| *LPA-04-06-00007-P | exempt | Tariff for electric service | To adopt provisions of a ratepayer protection plan |
| *LPA-03-10-00004-P | exempt | Residential late payment charges | To extend the application of late payment charges to residential customers |
| LPA-02-15-00006-P | exempt | The provisions of LIPA's Tariff for adjustment to rates and changes of service classifications | To modify and add to the Tariff in order to implement revenue-neutral changes required to maintain the 3-year LIPA rate freeze |

| Agency I.D. No. | Expires | Subject Matter | Purpose of Action |
|---|---|---|---|
| **MENTAL HEALTH, OFFICE OF** | | | |
| OMH-38-14-00001-P | 09/24/15 | Telepsychiatry services in OMH-licensed clinics | Establish basic standards and parameters to approve telepsychiatry in OMH-licensed clinic programs choosing to offer this service |
| OMH-02-15-00003-P | 01/14/16 | Clinic Treatment Programs | Amend reimbursement structure for delivery of psychotherapy services; eliminate utilization threshold for court-mandated svcs |
| OMH-04-15-00002-P | 01/28/16 | Prevention of Influenza Transmission | Provide clarification and flexible system for documentation |
| **MOTOR VEHICLES, DEPARTMENT OF** | | | |
| *MTV-01-14-00006-P | 01/08/15 | Personalized plates for historical motor vehicles | To permit the issuance of personalized plates to persons who own historical motor vehicles |
| MTV-48-14-00006-P | 12/03/15 | Relicensing after revocation | To clarify and strengthen criteria relative to relicensing after revocation |
| MTV-51-14-00001-P | 12/24/15 | Colored lights on fire vehicles, ambulances, emergency ambulance service vehicles and county emergency medical service vehicles | To make a technical correction to align the regulation with the statute |
| **NIAGARA FALLS WATER BOARD** | | | |
| *NFW-04-13-00004-EP | exempt | Adoption of Rates, Fees and Charges | To pay for the increased costs necessary to operate, maintain and manage the system, and to achieve covenants with bondholders |
| NFW-13-14-00006-EP | exempt | Adoption of Rates, Fees and Charges | To pay for increased costs necessary to operate, maintain and manage the system and to achieve covenants with the bondholders |
| **NIAGARA FRONTIER TRANSPORTATION AUTHORITY** | | | |
| NFT-04-15-00015-P | 01/28/16 | Smoking | To clarify where smoking is prohibited at NFTA locations |
| **PEOPLE WITH DEVELOPMENTAL DISABILITIES, OFFICE FOR** | | | |
| PDD-02-15-00007-EP | 03/08/16 | Direct Care and Clinical Compensation Payments | To amend rate-setting for eligible services in order to implement increases in direct care and clinical compensation |
| PDD-02-15-00008-EP | 03/02/16 | Updates to SSI offset and SNAP benefit offset | To adjust reimbursement to affected providers for rent and food costs |
| **POWER AUTHORITY OF THE STATE OF NEW YORK** | | | |
| *PAS-01-10-00010-P | exempt | Rates for the sale of power and energy | Update ECSB Programs customers' service tariffs to streamline them/include additional required information |
| PAS-01-15-00012-P | exempt | Rates for the Sale of Power and Energy | To recover the Authority's Fixed Costs |
| PAS-01-15-00013-P | exempt | Rates for the Sale of Power and Energy | To align rates and costs |

| Agency I.D. No. | Expires | Subject Matter | Purpose of Action |
|---|---|---|---|
| **PUBLIC SERVICE COMMISSION** | | | |
| *PSC-28-97-00032-P | ..... exempt | General service by Central Hudson Gas & Electric Corporation | To limit certain special provisions |
| *PSC-34-97-00009-P | ..... exempt | Collection agency fees by Consolidated Edison Company of New York, Inc. | To pass collection agency fees on to the customer |
| *PSC-04-98-00015-P | ..... exempt | Interconnection service overcharges by Niagara Mohawk Power Corporation | To consider a complaint by Azure Mountain Power Co. |
| *PSC-19-98-00008-P | ..... exempt | Call forwarding by CPU Industries Inc./MKL Net, et al. | To rehear the petition |
| *PSC-02-99-00006-EP | ..... exempt | Intralata freeze plan by New York Telephone Company | To approve the plan |
| *PSC-09-99-00012-P | ..... exempt | Transfer of books and records by Citizens Utilities Company | To relocate Ogden Telephone Company's books and records out-of-state |
| *PSC-15-99-00011-P | ..... exempt | Electronic tariff by Woodcliff Park Corp. | To replace the company's current tariff with an electronic tariff |
| *PSC-50-99-00009-P | ..... exempt | Retail access uniform business practices by The Brooklyn Union Gas Company and KeySpan Gas East Corporation d/b/a Brooklyn Union of Long Island | To approve a joint petition requesting a waiver extension of a requirement set forth in the commission's order |
| *PSC-52-99-00006-P | ..... exempt | Wide area rate center calling | To implement number conservation measures |
| *PSC-12-00-00001-P | ..... exempt | Winter bundled sales service election date by Central Hudson Gas & Electric Corporation | To revise the date |
| *PSC-14-00-00004-EP | ..... exempt | NXX code in the 716 NPA by Broadview Networks | To assign an NXX code in Buffalo |
| *PSC-14-00-00026-P | ..... exempt | Interconnection agreement between New York Telephone Company d/b/a Bell Atlantic-New York and Media Log, Inc. | To review the terms and conditions of the negotiated agreement |
| *PSC-14-00-00027-P | ..... exempt | Interconnection agreement between New York Telephone Company d/b/a Bell Atlantic-New York and Pilgrim Telephone, Inc. | To review the terms and conditions of the negotiated agreement |
| *PSC-14-00-00029-P | ..... exempt | Interconnection agreement between New York Telephone Company d/b/a Bell Atlantic-New York and CoreComm New York, Inc. | To review the terms and conditions of the negotiated agreement |
| *PSC-16-00-00012-P | ..... exempt | Termination of local telecommunications traffic by Hyperion Communications of New York, Inc. | To determine appropriate compensation levels |
| *PSC-21-00-00007-P | ..... exempt | Initial tariff schedule by Drew Road Association | To set forth the rates, charges, rules and regulations |
| *PSC-31-00-00026-P | ..... exempt | Water service by Windover Water Works | To abandon the water system |
| *PSC-33-00-00010-P | ..... exempt | Electric rate and restructuring plan by Rochester Gas and Electric Corporation | To evaluate possible modifications |
| *PSC-36-00-00039-P | ..... exempt | Steam increase by Consolidated Edison Company of New York, Inc. | To provide for an annual increase in the first year of a proposed four-year rate plan |

| Agency I.D. No. | Expires | Subject Matter | Purpose of Action |
|---|---|---|---|
| **PUBLIC SERVICE COMMISSION** | | | |
| *PSC-37-00-00001-EP | exempt | Interruptible gas customers | To ensure customers have an adequate supply of alternative fuel available |
| *PSC-39-00-00004-P | exempt | Blockable central office codes by PaeTec Communications, Inc. | To review the commission's requirements for assignment of numbering resources |
| *PSC-44-00-00014-P | exempt | Recovery of costs through adjustment mechanisms by Consolidated Edison Company of New York, Inc. | To permit the recovery of certain costs |
| *PSC-49-00-00007-P | exempt | Gas sales and purchases by Corning Natural Gas Corporation | To determine whether certain gas sales and purchases were in the public interest and whether customers should bear the resulting costs |
| *PSC-01-01-00023-P | exempt | Installation, maintenance and ownership of service laterals by Rochester Gas and Electric Corporation | To update and clarify the provisions |
| *PSC-06-01-00009-P | exempt | Uniform system of accounts by Rochester Gas and Electric Corporation | To defer an item of expense beyond the end of the year in which it was incurred |
| *PSC-13-01-00001-P | exempt | Request for accounting authorization by Rochester Gas and Electric Corporation | To defer an item of expense beyond the end of the year in which it was incurred |
| *PSC-13-01-00002-P | exempt | Request for accounting authorization by Rochester Gas and Electric Corporation | To defer an item of expense beyond the end of the year in which it was incurred |
| *PSC-13-01-00003-P | exempt | Request for accounting authorization by Rochester Gas and Electric Corporation | To defer an item of expense beyond the end of the year in which it was incurred |
| *PSC-15-01-00012-P | exempt | Transfer of a controlling leasehold interest by Huntley Power LLC | To approve the transfer |
| *PSC-22-01-00006-P | exempt | Con Edison's phase 4 plan for retail access by AES Energy, Inc. | To review the request for rehearing |
| *PSC-26-01-00012-P | exempt | Interconnection of networks between Sprint PCS and Verizon New York Inc. | To review the terms and conditions of the negotiated agreement |
| *PSC-36-01-00010-P | exempt | Competitive metering by eBidenergy.com | To clarify meter ownership rules and requirements |
| *PSC-44-01-00005-P | exempt | Annual reconciliation of gas costs by Corning Natural Gas Corporation | To authorize the company to include certain gas costs |
| *PSC-01-02-00007-P | exempt | Accounting and rate treatment of proceeds by Consolidated Edison Company of New York, Inc. | To consider proceeds from sale of nuclear generating facilities |
| *PSC-05-02-00005-P | exempt | Uniform system of accounts by Consolidated Edison Company of New York, Inc. | To defer expenditures incurred in connection with emergency response services affected by the World Trade Center disaster |
| *PSC-06-02-00015-P | exempt | Network reliability performance mechanism by Consolidated Edison Company of New York, Inc. | To earn rewards for meeting the targets of the network reliability performance mechanism |
| *PSC-07-02-00032-P | exempt | Uniform business practices | To consider modification |
| *PSC-29-02-00014-P | exempt | Financing by Valley Energy, Inc. | To issue a note and allocate costs |

| Agency I.D. No. | Expires | Subject Matter | Purpose of Action |
|---|---|---|---|
| **PUBLIC SERVICE COMMISSION** | | | |
| *PSC-49-02-00021-P | exempt | Requests for lightened regulation by PSEG Power Bellport, LLC | To consider the company's request |
| *PSC-08-03-00009-P | exempt | Provision of gas service to World Kitchen Incorporated | To establish terms and conditions |
| *PSC-09-03-00012-P | exempt | Incremental service line installations by New York State Electric & Gas Corporation | To revise the current flat rate per foot charged |
| *PSC-09-03-00014-P | exempt | Deferral accounting by Consolidated Edison Company of New York, Inc. and Orange and Rockland Utilities, Inc. | To defer expense items beyond the end of the year(s) in which they were incurred |
| *PSC-11-03-00012-P | exempt | Economic development plan by New York State Electric & Gas Corporation | To consider the plan |
| *PSC-18-03-00004-P | exempt | Lightened regulation by East Hampton Power and Light Corporation (EHPLC) | To provide for lightened regulation and grant financing approval |
| *PSC-22-03-00020-P | exempt | Inter-departmental gas pricing by Consolidated Edison Company of New York, Inc. | To revise the method used in steam and steam-electric generating stations |
| *PSC-32-03-00020-P | exempt | Issuance of debt and approval of surcharge by Rainbow Water Company | To approve necessary financing |
| *PSC-34-03-00019-P | exempt | Issuance of securities by KeySpan East Corporation d/b/a KeySpan Energy Delivery Long Island | To obtain authorization to issue securities |
| *PSC-35-03-00009-P | exempt | Interconnection agreement between Verizon New York Inc. and MCIMetro Access Transmission Services LLC | To amend the agreement |
| *PSC-36-03-00010-P | exempt | Performance assurance plan by Verizon New York | To consider changes |
| *PSC-39-03-00013-P | exempt | Complaint by State University of New York (SUNY) regarding a NYSEG operating agreement | To consider the complaint |
| *PSC-40-03-00015-P | exempt | Receipt of payment of bills by St. Lawrence Gas Company | To revise the process |
| *PSC-41-03-00008-P | exempt | Lightened regulation by Sterling Power Partners, L.P. | To consider granting lightened regulation |
| *PSC-41-03-00010-P | exempt | Annual reconciliation of gas expenses and gas cost recoveries | To consider filings of various LDCs and municipalities |
| *PSC-41-03-00011-P | exempt | Annual reconciliation of gas expenses and gas cost recoveries | To consider filings of various LDCs and municipalities |
| *PSC-42-03-00005-P | exempt | Interest rate by the Bath Electric, Gas, and Water Systems | To use an alternate interest rate |
| *PSC-43-03-00036-P | exempt | Merchant function backout credit and transition balancing account by KeySpan Gas East Corporation | To continue the credit and account until May 31, 2005 |

| Agency I.D. No. | Expires | Subject Matter | Purpose of Action |
|---|---|---|---|
| **PUBLIC SERVICE COMMISSION** | | | |
| *PSC-43-03-00037-P | exempt | Merchant function backout credit and transition balancing account by The Brooklyn Union Gas Company | To continue the credit and account until May 31, 2005 |
| *PSC-44-03-00009-P | exempt | Retail access data between jurisdictional utilities | To accommodate changes in retail access market structure or commission mandates |
| *PSC-47-03-00024-P | exempt | Lightened regulation and financing approval by Medford Energy LLC | To consider the requests |
| *PSC-02-04-00008-P | exempt | Delivery rates for Con Edison's customers in New York City and Westchester County by the City of New York | To rehear the Nov. 25, 2003 order |
| *PSC-06-04-00009-P | exempt | Transfer of ownership interest by SCS Energy LLC and AE Investors LLC | To transfer interest in Steinway Creek Electric Generating Company LLC to AE Investors LLC |
| *PSC-10-04-00005-P | exempt | Temporary protective order | To consider adopting a protective order |
| *PSC-10-04-00008-P | exempt | Interconnection agreement between Verizon New York Inc. and VIC-RMTS-DC, L.L.C. d/b/a Verizon Avenue | To amend the agreement |
| *PSC-14-04-00008-P | exempt | Submetering of natural gas service to industrial and commercial customers by Hamburg Fairgrounds | To submeter gas service to commercial customers located at the Buffalo Speedway |
| *PSC-15-04-00022-P | exempt | Submetering of electricity by Glenn Gardens Associates, L.P. | To permit submetering at 175 W. 87th St., New York, NY |
| *PSC-21-04-00013-P | exempt | Verizon performance assurance plan by Metropolitan Telecommunications | To clarify the appropriate performance level |
| *PSC-22-04-00010-P | exempt | Approval of new types of electricity meters by Powell Power Electric Company | To permit the use of the PE-1250 electronic meter |
| *PSC-22-04-00013-P | exempt | Major gas rate increase by Consolidated Edison Company of New York, Inc. | To increase annual gas revenues |
| *PSC-22-04-00016-P | exempt | Master metering of water by South Liberty Corporation | To waive the requirement for installation of separate water meters |
| *PSC-25-04-00012-P | exempt | Interconnection agreement between Frontier Communications of Ausable Valley, Inc., et al. and Sprint Communications Company, L.P. | To amend the agreement |
| *PSC-27-04-00008-P | exempt | Interconnection agreement between Verizon New York Inc. and various Verizon wireless affiliates | To amend the agreement |
| *PSC-27-04-00009-P | exempt | Interconnection agreement between Verizon New York Inc. and various Verizon wireless affiliates | To amend the agreement |
| *PSC-28-04-00006-P | exempt | Approval of loans by Dunkirk & Fredonia Telephone Company and Cassadaga Telephone Corporation | To authorize participation in the parent corporation's line of credit |
| *PSC-31-04-00023-P | exempt | Distributed generation service by Consolidated Edison Company of New York, Inc. | To provide an application form |

| Agency I.D. No. | Expires | Subject Matter | Purpose of Action |
|---|---|---|---|
| **PUBLIC SERVICE COMMISSION** | | | |
| *PSC-34-04-00031-P | exempt | Flat rate residential service by Emerald Green Lake Louise Marie Water Company, Inc. | To set appropriate level of permanent rates |
| *PSC-35-04-00017-P | exempt | Application form for distributed generation by Orange and Rockland Utilities, Inc. | To establish a new supplementary application form for customers |
| *PSC-43-04-00016-P | exempt | Accounts recievable by Rochester Gas and Electric Corporation | To include in its tariff provisions for the purchase of ESCO accounts recievable |
| *PSC-46-04-00012-P | exempt | Service application form by Consolidated Edison Company of New York, Inc. | To revise the form and make housekeeping changes |
| *PSC-46-04-00013-P | exempt | Rules and guidelines governing installation of metering equipment | To establish uniform statewide business practices |
| *PSC-02-05-00006-P | exempt | Violation of the July 22, 2004 order by Dutchess Estates Water Company, Inc. | To consider imposing remedial actions against the company and its owners, officers and directors |
| *PSC-09-05-00009-P | exempt | Submetering of natural gas service by Hamlet on Olde Oyster Bay | To consider submetering of natural gas to a commercial customer |
| *PSC-14-05-00006-P | exempt | Request for deferred accounting authorization by Freeport Electric Inc. | To defer expenses beyond the end of the fiscal year |
| *PSC-18-05-00009-P | exempt | Marketer Assignment Program by Consolidated Edison Company of New York, Inc. | To implement the program |
| *PSC-20-05-00028-P | exempt | Delivery point aggregation fee by Allied Frozen Storage, Inc. | To review the calculation of the fee |
| *PSC-25-05-00011-P | exempt | Metering, balancing and cashout provisions by Central Hudson Gas & Electric Corporation | To establish provisions for gas customers taking service under Service Classification Nos. 8, 9 and 11 |
| *PSC-27-05-00018-P | exempt | Annual reconciliation of gas costs by New York State Electric & Gas Corporation | To consider the manner in which the gas cost incentive mechanism has been applied |
| *PSC-41-05-00013-P | exempt | Annual reconciliation of gas expenses and gas cost recoveries by local distribution companies and municipalities | To consider the filings |
| *PSC-45-05-00011-P | exempt | Treatment of lost and unaccounted gas costs by Corning Natural Gas Corporation | To defer certain costs |
| *PSC-46-05-00015-P | exempt | Sale of real and personal property by the Brooklyn Union Gas Company d/b/a KeySpan Energy Delivery New York and Steel Arrow, LLC | To consider the sale |
| *PSC-47-05-00009-P | exempt | Transferral of gas supplies by Corning Natural Gas Corporation | To approve the transfer |
| *PSC-50-05-00008-P | exempt | Long-term debt by Saratoga Glen Hollow Water Supply Corp. | To obtain long-term debt |
| *PSC-04-06-00024-P | exempt | Transfer of ownership interests by Mirant NY-Gen LLC and Orange and Rockland Utilities, Inc. | To approve of the transfer |

| Agency I.D. No. | Expires | Subject Matter | Purpose of Action |
|---|---|---|---|
| **PUBLIC SERVICE COMMISSION** | | | |
| *PSC-06-06-00015-P | exempt | Gas curtailment policies and procedures | To examine the manner and extent to which gas curtailment policies and procedures should be modified and/or established |
| *PSC-07-06-00009-P | exempt | Modification of the current Environmental Disclosure Program | To include an attributes accounting system |
| *PSC-22-06-00019-P | exempt | Hourly pricing by National Grid | To assess the impacts |
| *PSC-22-06-00020-P | exempt | Hourly pricing by New York State Electric & Gas Corporation | To assess the impacts |
| *PSC-22-06-00021-P | exempt | Hourly pricing by Rochester Gas & Electric Corporation | To assess the impacts |
| *PSC-22-06-00022-P | exempt | Hourly pricing by Consolidated Edison Company of New York, Inc. | To assess the impacts |
| *PSC-22-06-00023-P | exempt | Hourly pricing by Orange and Rockland Utilities, Inc. | To assess the impacts |
| *PSC-24-06-00005-EP | exempt | Supplemental home energy assistance benefits | To extend the deadline to Central Hudson's low-income customers |
| *PSC-25-06-00017-P | exempt | Purchased power adjustment by Massena Electric Department | To revise the method of calculating the purchased power adjustment and update the factor of adjustment |
| *PSC-34-06-00009-P | exempt | Inter-carrier telephone service quality standards and metrics by the Carrier Working Group | To incorporate appropriate modifications |
| *PSC-37-06-00015-P | exempt | Procedures for estimation of customer bills by Rochester Gas and Electric Corporation | To consider estimation procedures |
| *PSC-37-06-00017-P | exempt | Procedures for estimation of customer bills by Rochester Gas and Electric Corporation | To consider estimation procedures |
| *PSC-39-06-00018-P | exempt | Order establishing rate plan by Central Hudson Gas & Electric Corporation and the Consumer Protection Board | To consider the petitions for rehearing |
| *PSC-39-06-00019-P | exempt | Investigation of Richard M. Osborne by Corning Natural Gas Corporation | To determine the interests, plans and commitments that will be in place if he is successful in blocking the merger of Corning Gas and C&T Enterprises |
| *PSC-39-06-00022-P | exempt | Uniform business practices and related matters by U.S. Energy Savings Corporation | To establish a contest period |
| *PSC-40-06-00005-P | exempt | Orion Integral automatic meter reading transmitter by New York State Electric and Gas Corporation | To permit gas utilities in NYS to use the Badger Meter Incorporated Orion Integral transmitters |
| *PSC-42-06-00011-P | exempt | Submetering of electricity by 225 5th LLC | To submeter electricity at 255 Fifth Ave., New York, NY |
| *PSC-43-06-00014-P | exempt | Electric delivery services by Strategic Power Management, Inc. | To determine the proper mechanism for the rate-recovery of costs |

| Agency I.D. No. | Expires | Subject Matter | Purpose of Action |
|---|---|---|---|
| **PUBLIC SERVICE COMMISSION** | | | |
| *PSC-44-06-00014-P | exempt | Electric power outages in Northwest Queens by Consolidated Edison Company of New York, Inc. | To review the terms and conditions of the agreement |
| *PSC-45-06-00007-P | exempt | Alleged failure to provide electricity by Robert Andrews | To assess validity of allegations and appropriateness of fines |
| *PSC-01-07-00031-P | exempt | Enforcement mechanisms by National Fuel Gas Distribution Corporation | To modify enforcement mechanisms |
| *PSC-04-07-00012-P | exempt | Petition for rehearing by Orange and Rockland Utilities, Inc. | To clarify the order |
| *PSC-06-07-00015-P | exempt | Meter reading and billing practices by Central Hudson Gas & Electric Corporation | To continue current meter reading and billing practices for electric service |
| *PSC-06-07-00020-P | exempt | Meter reading and billing practices by Central Hudson Gas & Electric Corporation | To continue current meter reading and billing practices for gas service |
| *PSC-11-07-00010-P | exempt | Investigation of the electric power outages by the Consolidated Edison Company of New York, Inc. | To implement the recommendations in the staff's investigation |
| *PSC-11-07-00011-P | exempt | Storm-related power outages by Consolidated Edison Company of New York, Inc. | To modify the company's response to power outages, the timing for any such changes and other related matters |
| *PSC-17-07-00008-P | exempt | Interconnection agreement between Verizon New York Inc. and BridgeCom International, Inc. | To amend the agreement |
| *PSC-18-07-00010-P | exempt | Existing electric generating stations by Independent Power Producers of New York, Inc. | To repower and upgrade existing electric generating stations owned by Rochester Gas and Electric Corporation |
| *PSC-20-07-00016-P | exempt | Tariff revisions and making rates permanent by New York State Electric & Gas Corporation | To seek rehearing |
| *PSC-21-07-00007-P | exempt | Natural Gas Supply and Acquisition Plan by Corning Natural Gas Corporation | To revise the rates, charges, rules and regulations for gas service |
| *PSC-22-07-00015-P | exempt | Demand Side Management Program by Consolidated Edison Company of New York, Inc. | To recover incremental program costs and lost revenue |
| *PSC-23-07-00022-P | exempt | Supplier, transportation, balancing and aggregation service by National Fuel Gas Distribution Corporation | To explicitly state in the company's tariff that the threshold level of elective upstream transmission capacity is a maximum of 112,600 Dth/day of marketer-provided upstream capacity |
| *PSC-24-07-00012-P | exempt | Gas Efficiency Program by the City of New York | To consider rehearing a decision establishing a Gas Efficiency Program |
| *PSC-39-07-00017-P | exempt | Gas bill issuance charge by New York State Electric & Gas Corporation | To create a gas bill issuance charge unbundled from delivery rates |
| *PSC-41-07-00009-P | exempt | Submetering of electricity rehearing | To seek reversal |

| Agency I.D. No. | Expires | Subject Matter | Purpose of Action |
|---|---|---|---|
| **PUBLIC SERVICE COMMISSION** | | | |
| *PSC-42-07-00012-P | exempt | Energy efficiency program by Orange and Rockland Utilities, Inc. | To consider any energy efficiency program for Orange and Rockland Utilities, Inc.'s electric service |
| *PSC-42-07-00013-P | exempt | Revenue decoupling by Orange and Rockland Utilities, Inc. | To consider a revenue decoupling mechanism for Orange and Rockland Utilities, Inc. |
| *PSC-45-07-00005-P | exempt | Customer incentive programs by Orange and Rockland Utilities, Inc. | To establish a tariff provision |
| *PSC-02-08-00006-P | exempt | Additional central office codes in the 315 area code region | To consider options for making additional codes |
| *PSC-03-08-00006-P | exempt | Rehearing of the accounting determinations | To grant or deny a petition for rehearing of the accounting determinations |
| *PSC-04-08-00010-P | exempt | Granting of easement rights on utility property by Central Hudson Gas & Electric Corporation | To grant easement rights to Millennium Pipeline Company, L.L.C. |
| *PSC-04-08-00012-P | exempt | Marketing practices of energy service companies by the Consumer Protection Board and New York City Department of Consumer Affairs | To consider modifying the commission's regulation over marketing practices of energy service companies |
| *PSC-08-08-00016-P | exempt | Transfer of ownership by Entergy Nuclear Fitzpatrick LLC, et al. | To consider the transfer |
| *PSC-12-08-00019-P | exempt | Extend the provisions of the existing electric rate plan by Rochester Gas and Electric Corporation | To consider the request |
| *PSC-12-08-00021-P | exempt | Extend the provisions of the existing gas rate plan by Rochester Gas and Electric Corporation | To consider the request |
| *PSC-13-08-00011-P | exempt | Waiver of commission policy and NYSEG tariff by Turner Engineering, PC | To grant or deny Turner's petition |
| *PSC-13-08-00012-P | exempt | Voltage drops by New York State Electric & Gas Corporation | To grant or deny the petition |
| *PSC-23-08-00008-P | exempt | Petition requesting rehearing and clarification of the commission's April 25, 2008 order denying petition of public utility law project | To consider whether to grant or deny, in whole or in part, the May 7, 2008 Public Utility Law Project (PULP) petition for rehearing and clarification of the commission's April 25, 2008 order denying petition of Public Utility Law Project |
| *PSC-23-08-00009-P | exempt | The transfer of certain real property with an original cost under $100,000 in the Town of Throop | To consider the filing for the transfer of certain real property in the Town of Throop |
| *PSC-25-08-00007-P | exempt | Policies and procedures regarding the selection of regulatory proposals to meet reliability needs | To establish policies and procedures regarding the selection of regulatory proposals to meet reliability needs |
| *PSC-25-08-00008-P | exempt | Report on Callable Load Opportunities | Rider U report assessing callable load opportunities in New York City and Westchester County during the next 10 years |

| Agency I.D. No. | Expires | Subject Matter | Purpose of Action |
|---|---|---|---|
| **PUBLIC SERVICE COMMISSION** | | | |
| *PSC-28-08-00004-P | exempt | Con Edison's procedure for providing customers access to their account information | To consider Con Edison's implementation plan and timetable for providing customers access to their account information |
| *PSC-31-08-00025-P | exempt | Recovery of reasonable DRS costs from the cost mitigation reserve (CMR) | To authorize recovery of the DRS costs from the CMR |
| *PSC-32-08-00009-P | exempt | The ESCO referral program for KEDNY to be implemented by October 1, 2008 | To approve, reject or modify, in whole or in part, KEDNY's recommended ESCO referral program |
| *PSC-33-08-00008-P | exempt | Noble Allegany's request for lightened regulation | To consider Noble Allegany's request for lightened regulation as an electric corporation |
| *PSC-36-08-00019-P | exempt | Land Transfer in the Borough of Manhattan, New York | To consider petition for transfer of real property to NYPH |
| *PSC-39-08-00010-P | exempt | RG&E's economic development plan and tariffs | Consideration of the approval of RG&E's economic development plan and tariffs |
| *PSC-40-08-00010-P | exempt | Loans from regulated company to its parent | To determine if the cash management program resulting in loans to the parent should be approved |
| *PSC-41-08-00009-P | exempt | Transfer of control of cable TV franchise | To determine if the transfer of control of Margaretville's cable TV subsidiary should be approved |
| *PSC-43-08-00014-P | exempt | Annual Reconcilliation of Gas Expenses and Gas Cost Recoveries | The filings of various LDCs and municipalities regarding their Annual Reconciliation of Gas Expenses and Gas Cost Recoveries |
| *PSC-46-08-00008-P | exempt | Property transfer in the Village of Avon, New York | To consider a petition for the transfer of street lighting and attached equipment to the Village of Avon, New York |
| *PSC-46-08-00010-P | exempt | A transfer of indirect ownership interests in nuclear generation facilities | Consideration of approval of a transfer of indirect ownership interests in nuclear generation facilities |
| *PSC-46-08-00014-P | exempt | The attachment of cellular antennae to an electric transmission tower | To approve, reject or modify the request for permission to attach cellular antennae to an electric transmission tower |
| *PSC-48-08-00005-P | exempt | A National Grid high efficiency gas heating equipment rebate program | To expand eligibility to customers converting from oil to natural gas |
| *PSC-48-08-00008-P | exempt | Petition for the master metering and submetering of electricity | To consider the request of Bay City Metering, to master meter & submeter electricity at 345 E. 81st St., New York, New York |
| *PSC-48-08-00009-P | exempt | Petition for the submetering of electricity | To consider the request of PCV/ST to submeter electricity at Peter Cooper Village & Stuyvesant Town, New York, New York |
| *PSC-50-08-00018-P | exempt | Market Supply Charge | A study on the implementation of a revised Market Supply Charge |
| *PSC-51-08-00006-P | exempt | Commission's October 27, 2008 Order on Future of Retail Access Programs in Case 07-M-0458 | To consider a Petition for rehearing of the Commission's October 27, 2008 Order in Case 07-M-0458 |

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| **PUBLIC SERVICE COMMISSION** | | | |
| *PSC-51-08-00007-P | exempt | Commission's October 27, 2008 Order in Cases 98-M-1343, 07-M-1514 and 08-G-0078 | To consider Petitions for rehearing of the Commission's October 27, 2008 Order in Cases 98-M-1343, 07-M-1514 and 08-G-0078 |
| *PSC-53-08-00011-P | exempt | Use of deferred Rural Telephone Bank funds | To determine if the purchase of a softswitch by Hancock is an appropriate use of deferred Rural Telephone Bank funds |
| *PSC-53-08-00012-P | exempt | Transfer of permanent and temporary easements at 549-555 North Little Tor Road, New City, NY | Transfer of permanent and temporary easements at 549-555 North Little Tor Road, New City, NY |
| *PSC-53-08-00013-P | exempt | To transfer common stock and ownership | To consider transfer of common stock and ownership |
| *PSC-01-09-00015-P | exempt | FCC decision to redefine service area of Citizens/Frontier | Review and consider FCC proposed redefinition of Citizens/Frontier service area |
| *PSC-02-09-00010-P | exempt | Competitive classification of independent local exchange company, and regulatory relief appropriate thereto | To determine if Chazy & Westport Telephone Corporation more appropriately belongs in scenario 1 rather than scenario 2 |
| *PSC-05-09-00008-P | exempt | Revenue allocation, rate design, performance metrics, and other non-revenue requirement issues | To consider any remaining non-revenue requirement issues related to the Company's May 9, 2008 tariff filing |
| *PSC-05-09-00009-P | exempt | Numerous decisions involving the steam system including cost allocation, energy efficiency and capital projects | To consider the long term impacts on steam rates and on public policy of various options concerning the steam system |
| *PSC-06-09-00007-P | exempt | Interconnection of the networks between Frontier Comm. and WVT Communications for local exchange service and exchange access | To review the terms and conditions of the negotiated agreement between Frontier Comm. and WVT Comm. |
| *PSC-07-09-00015-P | exempt | Transfer certain utility assets located in the Town of Montgomery from plant held for future use to non-utility property | To consider the request to transfer certain utility assets located in the Town of Montgomery to non-utility assets |
| *PSC-07-09-00017-P | exempt | Request for authorization to defer the incremental costs incurred in the restoration work resulting from the ice storm | To allow the company to defer the incremental costs incurred in the restoration work resulting from the ice storm |
| *PSC-07-09-00018-P | exempt | Whether to permit the submetering of natural gas service to an industrial and commercial customer at Cooper Union, New York, NY | To consider the request of Cooper Union, to submeter natural gas at 41 Cooper Square, New York, New York |
| *PSC-12-09-00010-P | exempt | Charges for commodity | To charge customers for commodity costs |
| *PSC-12-09-00012-P | exempt | Charges for commodity | To charge customers for commodity costs |
| *PSC-13-09-00008-P | exempt | Options for making additional central office codes available in the 718/347 numbering plan area | To consider options for making additional central office codes available in the 718/347 numbering plan area |
| *PSC-14-09-00014-P | exempt | The regulation of revenue requirements for municipal utilities by the Public Service Commission | To determine whether the regulation of revenue requirements for municipal utilities should be modified |
| *PSC-16-09-00010-P | exempt | Petition for the submetering of electricity | To consider the request of AMPS on behalf of Park Imperial to submeter electricity at 230 W. 56th Street, in New York, New York |

| Agency I.D. No. | Expires | Subject Matter | Purpose of Action |
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| **PUBLIC SERVICE COMMISSION** | | | |
| *PSC-16-09-00020-P | exempt | Whether SUNY's core accounts should be exempt from the mandatory assignment of local distribution company (LDC) capacity | Whether SUNY's core accounts should be exempt from the mandatory assignment of local distribution company (LDC) capacity |
| *PSC-17-09-00010-P | exempt | Whether to permit the use of Elster REX2 solid state electric meter for use in residential and commerical accounts | To permit electric utilities in New York State to use the Elster REX2 |
| *PSC-17-09-00011-P | exempt | Whether Brooklyn Navy Yard Cogeneration Partners, L.P. should be reimbursed by Con Edison for past and future use taxes | Whether Brooklyn Navy Yard Cogeneration Partners, L.P. should be reimbursed by Con Edison for past and future use taxes |
| *PSC-17-09-00012-P | exempt | Petition for the submetering of gas at commercial property | To consider the request of Turner Construction, to submeter natural gas at 550 Short Ave., & 10 South St., Governors Island, NY |
| *PSC-17-09-00014-P | exempt | Benefit-cost framework for evaluating AMI programs prepared by the DPS Staff | To consider a benefit-cost framework for evaluating AMI programs prepared by the DPS Staff |
| *PSC-17-09-00015-P | exempt | The construction of a tower for wireless antennas on land owned by National Grid | To approve, reject or modify the petition to build a tower for wireless antennas in the Town of Onondaga |
| *PSC-18-09-00012-P | exempt | Petition for rehearing of Order approving the submetering of electricity | To consider the request of Frank Signore to rehear petition to submeter electricity at One City Place in White Plains, New York |
| *PSC-18-09-00013-P | exempt | Petition for the submetering of electricity | To consider the request of Living Opportunities of DePaul to submeter electricity at E. Main St. located in Batavia, New York |
| *PSC-18-09-00017-P | exempt | Approval of an arrangement for attachment of wireless antennas to the utility's transmission facilities in the City of Yonkers | To approve, reject or modify the petition for the existing wireless antenna attachment to the utility's transmission tower |
| *PSC-20-09-00016-P | exempt | The recovery of, and accounting for, costs associated with the Companies' advanced metering infrastructure (AMI) pilots etc | To consider a filing of the Companies as to the recovery of, and accounting for, costs associated with it's AMI pilots etc |
| *PSC-20-09-00017-P | exempt | The recovery of, and accounting for, costs associated with CHG&E's AMI pilot program | To consider a filing of CHG&E as to the recovery of, and accounting for, costs associated with it's AMI pilot program |
| *PSC-22-09-00011-P | exempt | Cost allocation for Consolidated Edison's East River Repowering Project | To determine whether any changes are warranted in the cost allocation of Consolidated Edison's East River Repowering Project |
| *PSC-25-09-00005-P | exempt | Whether to grant, deny, or modify, in whole or in part, the petition | Whether to grant, deny, or modify, in whole or in part, the petition |
| *PSC-25-09-00006-P | exempt | Electric utility implementation plans for proposed web based SIR application process and project status database | To determine if the proposed web based SIR systems are adequate and meet requirements needed for implementation |
| *PSC-25-09-00007-P | exempt | Electric rates for Consolidated Edison Company of New York, Inc | Consider a Petition for Rehearing filed by Consolidated Edison Company of New York, Inc |
| *PSC-27-09-00011-P | exempt | Interconnection of the networks between Vernon and tw telecom of new york l.p. for local exchange service and exchange access. | To review the terms and conditions of the negotiated agreement between Vernon and tw telecom of new york l.p. |

| Agency I.D. No. | Expires | Subject Matter | Purpose of Action |
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| **PUBLIC SERVICE COMMISSION** | | | |
| *PSC-27-09-00014-P | exempt | Billing and payment for energy efficiency measures through utility bill | To promote energy conservation |
| *PSC-27-09-00015-P | exempt | Interconnection of the networks between Oriskany and tw telecom of new york l.p. for local exchange service and exchange access | To review the terms and conditions of the negotiated agreement between Oriskany and tw telecom of new york l.p |
| *PSC-29-09-00006-P | exempt | Petition for the submetering of electricity at a residential senior citizen facility | To consider the request of Shinda Management Corp. to submeter electricity at 107-37 166th Street, Jamaica, New York |
| *PSC-29-09-00011-P | exempt | Consideration of utility compliance filings | Consideration of utility compliance filings |
| *PSC-30-09-00010-P | exempt | Additional funding for interim gas energy efficiency programs currently being implemented by Niagara Mohawk | To fund the continued operation of Niagara Mohawk's interim gas energy efficiency programs through October 31, 2009 |
| *PSC-32-09-00009-P | exempt | Cost allocation for Consolidated Edison's East River Repowering Project | To determine whether any changes are warranted in the cost allocation of Consolidated Edison's East River Repowering Project |
| *PSC-34-09-00016-P | exempt | Recommendations made in the Management Audit Final Report | To consider whether to take action or recommendations contained in the Management Audit Final Report |
| *PSC-34-09-00017-P | exempt | To consider the transfer of control of Plattsburgh Cablevision, Inc. d/b/a Charter Communications to CH Communications, LLC | To allow the Plattsburgh Cablevision, Inc. to distribute its equity interest in CH Communications, LLC |
| *PSC-36-09-00008-P | exempt | The increase in the non-bypassable charge implemented by RG&E on June 1, 2009 | Considering exemptions from the increase in the non-bypassable charge implemented by RG&E on June 1, 2009 |
| *PSC-37-09-00015-P | exempt | Sale of customer-generated steam to the Con Edison steam system | To establish a mechanism for sale of customer-generated steam to the Con Edison steam system |
| *PSC-37-09-00016-P | exempt | Applicability of electronic signatures to Deferred Payment Agreements | To determine whether electronic signatures can be accepted for Deferred Payment Agreements |
| *PSC-39-09-00015-P | exempt | Modifications to the $5 Bill Credit Program | Consideration of petition of National Grid to modify the Low Income $5 Bill Credit Program |
| *PSC-39-09-00018-P | exempt | The offset of deferral balances with Positive Benefit Adjustments | To consider a petition to offset deferral balances with Positive Benefit Adjustments |
| *PSC-40-09-00013-P | exempt | Uniform System of Accounts - request for deferral and amortization of costs | To consider a petition to defer and amortize costs |
| *PSC-51-09-00029-P | exempt | Rules and guidelines for the exchange of retail access data between jurisdictional utilities and eligible ESCOs | To revise the uniform Electronic Data Interchange Standards and business practices to incorporate a contest period |
| *PSC-51-09-00030-P | exempt | Waiver or modification of Capital Expenditure condition of merger | To allow the companies to expend less funds for capital improvement than required by the merger |
| *PSC-52-09-00006-P | exempt | ACE's petition for rehearing for an order regarding generator-specific energy deliverability study methodology | To consider whether to change the Order Prescribing Study Methodology |

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| **PUBLIC SERVICE COMMISSION** | | | |
| *PSC-52-09-00008-P | exempt | Approval for the New York Independent System Operator, Inc. to incur indebtedness and borrow up to $50,000,000 | To finance the renovation and construction of the New York Independent System Operator, Inc.'s power control center facilities |
| *PSC-05-10-00008-P | exempt | Petition for the submetering of electricity | To consider the request of University Residences - Rochester, LLC to submeter electricity at 220 John Street, Henrietta, NY |
| *PSC-05-10-00015-P | exempt | Petition for the submetering of electricity | To consider the request of 243 West End Avenue Owners Corp. to submeter electricity at 243 West End Avenue, New York, NY |
| *PSC-06-10-00022-P | exempt | The Commission's Order of December 17, 2009 related to redevelopment of Consolidated Edison's Hudson Avenue generating facility | To reconsider the Commission's Order of December 17, 2009 related to redevelopment of the Hudson Avenue generating facility |
| *PSC-07-10-00009-P | exempt | Petition to revise the Uniform Business Practices | To consider the RESA petition to allow rescission of a customer request to return to full utility service |
| *PSC-08-10-00007-P | exempt | Whether to grant, deny, or modify , in whole or in part, the rehearing petition filed in Case 06-E-0847 | Whether to grant, deny, or modify , in whole or in part, the rehearing petition filed in Case 06-E-0847 |
| *PSC-08-10-00009-P | exempt | Consolidated Edison of New York, Inc. energy efficiency programs | To modify approved energy efficiency programs |
| *PSC-11-10-00011-P | exempt | Niagara Mohawk's EEPS ''Fast Track'' Residential Electric HVAC Program | To encourage cost effective electric energy conservation in the State |
| *PSC-12-10-00015-P | exempt | Recommendations made by Staff intended to enhance the safety of Con Edison's gas operations | To require that Con Edison implement the Staff recommendations intended to enhance the safety of Con Edison's gas operations |
| *PSC-14-10-00010-P | exempt | Petition for the submetering of electricity | To consider the request of 61 Jane Street Owners Corporation to submeter Electricity at 61 Jane Street, Manhattan, NY |
| *PSC-16-10-00005-P | exempt | To consider adopting and expanding mobile stray voltage testing requirements | Adopt additional mobile stray voltage testing requirements |
| *PSC-16-10-00007-P | exempt | Interconnection of the networks between TDS Telecom and PAETEC Communications for local exchange service and exchange access | To review the terms and conditions of the negotiated agreement between TDS Telecom and PAETEC Communications |
| *PSC-16-10-00015-P | exempt | Interconnection of the networks between Frontier and Choice One Communications for local exchange service and exchange access | To review the terms and conditions of the negotiated agreement between Frontier and Choice One Communications |
| *PSC-18-10-00009-P | exempt | Electric utility transmission right-of-way management practices | To consider electric utility transmission right-of-way management practices |
| *PSC-19-10-00022-P | exempt | Whether National Grid should be permitted to transfer a parcel of property located at 1 Eddy Street, Fort Edward, New York | To decide whether to approve National Grid's request to transfer a parcel of vacant property in Fort Edward, New York |
| *PSC-22-10-00006-P | exempt | Requirement that Noble demonstrate that its affiliated electric corporations operating in New York are providing safe service | Consider requiring that Noble demonstrate that its affiliated electric corporations in New York are providing safe service |

| Agency I.D. No. | Expires | Subject Matter | Purpose of Action |
|---|---|---|---|
| **PUBLIC SERVICE COMMISSION** | | | |
| *PSC-22-10-00008-P | exempt | Petition for the submetering of electricity | To consider the request of 48-52 Franklin Street to submeter electricity at 50 Franklin Street, New York, New York |
| *PSC-24-10-00009-P | exempt | Verizon New York Inc. tariff regulations relating to voice messaging service | To remove tariff regulations relating to retail voice messaging service from Verizon New York Inc.'s tariff |
| *PSC-25-10-00012-P | exempt | Reassignment of the 2-1-1 abbreviated dialing code | Consideration of petition to reassign the 2-1-1 abbreviated dialing code |
| *PSC-25-10-00015-P | exempt | To allow NYWC to defer and amortize, for future rate recognition, pension settlement payout losses incurred in 2009 | Consideration of NYWC's petition to defer and amortize, for future rate recognition, pension payout losses incurred in 2009 |
| *PSC-27-10-00016-P | exempt | Petition for the submetering of electricity | To consider the request of 9271 Group, LLC to submeter electricity at 960 Busti Avenue, Buffalo, New York |
| *PSC-31-10-00007-P | exempt | Waiver of the Attachment 23 requirement in 2001 Rate Order that NMPC Board of Directors consist of ''outside directors'' | To consider the waiver of the requirement that a majority of NMPC Board of directors consist of ''outside directors'' |
| *PSC-31-10-00008-P | exempt | KEDNY's Interim Low Income Energy Efficiency Program | Consideration of KEDNY's request for approval of costs related to large multifamily energy efficiency services |
| *PSC-31-10-00009-P | exempt | KEDLI's Interim Low Income Energy Efficiency Program | Consideration of KEDLI's request for approval of costs related to low income large multifamily energy efficiency services |
| *PSC-34-10-00003-P | exempt | The modification of Central Hudson Gas & Electric Corporation's Enhanced Powerful Opportunities Program | The modification of Central Hudson Gas & Electric Corporation's Enhanced Powerful Opportunities Program |
| *PSC-34-10-00005-P | exempt | Approval of a contract for $250,000 in tank repairs that may be a financing | To decide whether to approve a contract between the parties that may be a financing of $250,000 for tank repairs |
| *PSC-34-10-00006-P | exempt | The modification of Central Hudson Gas & Electric Corporation's Enhanced Powerful Opportunities Program | The modification of Central Hudson Gas & Electric Corporation's Enhanced Powerful Opportunities Program |
| *PSC-36-10-00010-P | exempt | Central Hudson's procedures, terms and conditions for an economic development plan | Consideration of Central Hudson's procedures, terms and conditions for an economic development plan |
| *PSC-40-10-00014-P | exempt | Disposition of a state sales tax refund | To determine how much of a state sales tax refund should be retained by National Grid |
| *PSC-40-10-00021-P | exempt | Whether to permit the submetering of natural gas service to a commercial customer at Quaker Crossing Mall | To permit the submetering of natural gas service to a commercial customer at Quaker Crossing Mall |
| *PSC-41-10-00018-P | exempt | Amount of hourly interval data provided to Hourly Pricing customers who have not installed a phone line to read meter | Allow Central Hudson to provide less than a years worth of interval data and charge for manual meter reading for some customers |
| *PSC-41-10-00022-P | exempt | Request for waiver of the individual living unit metering requirements at 5742 Route 5, Vernon, NY | Request for waiver of the individual living unit metering requirements at 5742 Route 5, Vernon, NY |

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| **PUBLIC SERVICE COMMISSION** | | | |
| *PSC-42-10-00011-P | ..... exempt | Petition for the submetering of electricity | To consider the request of 4858 Group, LLC to submeter electricity at 456 Main Street, Buffalo, New York |
| *PSC-43-10-00016-P | ..... exempt | Utility Access to Ducts, Conduit Facilities and Utility Poles | To review the complaint from Optical Communications Group |
| *PSC-44-10-00003-P | ..... exempt | Third and fourth stage gas rate increase by Corning Natural Gas Corporation | To consider Corning Natural Gas Corporation's request for a third and fourth stage gas rate increase |
| *PSC-50-10-00005-P | ..... exempt | Metered gas deliveries and lost and unaccounted for gas | To allow BEGWS to recover a refund from Corning for overcharges of gas deliveries |
| *PSC-51-10-00018-P | ..... exempt | Commission proceeding concerning three-phase electric service by all major electric utilities | Investigate the consistency of the tariff provisions for three-phase electric service for all major electric utilities |
| *PSC-11-11-00003-P | ..... exempt | The proposed transfer of 55.42 acres of land and $1.4 million of revenues derived from the rendition of public service | The proposed transfer of 55.42 acres of land and $1.4 million of revenues derived from the rendition of public service |
| *PSC-12-11-00008-P | ..... exempt | To allow NYWC to defer and amortize, for future rate recognition, pension settlement payout losses incurred in 2010 | Consideration of NYWC's petition to defer and amortize, for future rate recognition, pension payout losses incurred in 2010 |
| *PSC-13-11-00005-P | ..... exempt | Exclude the minimum monthly bill component from the earnings test calculation | Exclude the minimum monthly bill component from the earnings test calculation |
| *PSC-13-11-00007-P | ..... exempt | Budget allocations and use of System Benefits Charge funds to pay State Cost Recovery Fee | To encourage cost effective gas and electric energy conservation in the State |
| *PSC-14-11-00009-P | ..... exempt | Petition for the submetering of electricity | To consider the request of 83-30 118th Street to submeter electricity at 83-30 118th Street, Kew Gardens, New York |
| *PSC-16-11-00010-P | ..... exempt | The Energy Efficiency Portfolio Standard | To promote gas and electricity energy conservation programs in New York |
| *PSC-16-11-00011-P | ..... exempt | The Energy Efficiency Portfolio Standard | To promote gas and electricity energy conservation programs in New York |
| *PSC-19-11-00007-P | ..... exempt | Utility price reporting requirements related to the Commission's ''Power to Choose'' website | Modify the Commission's utility electric commodity price reporting requirements related to the ''Power to Choose'' website |
| *PSC-20-11-00012-P | ..... exempt | Petition for the submetering of electricity | To consider the request of KMW Group LLC to submeter electricity at 122 West Street, Brooklyn, New York |
| *PSC-20-11-00013-P | ..... exempt | Determining the reasonableness of Niagara Mohawk Power Corporation d/b/a National Grid 's make ready charges | To determine if the make ready charges of Niagara Mohawk Power Corporation d/b/a National Grid are reasonable |
| *PSC-22-11-00004-P | ..... exempt | Whether to permit the use of the Sensus accWAVE for use in residential gas meter applications | To permit gas utilities in New York State to use the Sensus accWAVE diaphragm gas meter |
| *PSC-23-11-00018-P | ..... exempt | NYSERDA's energy efficiency program for low-income customers | To promote energy conservation in New York State |

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| **PUBLIC SERVICE COMMISSION** | | | |
| *PSC-26-11-00007-P | exempt | Water rates and charges | To approve an increase in annual revenues by about $25,266 or 50% |
| *PSC-26-11-00009-P | exempt | Petition for the submetering of electricity at commercial property | To consider the request of by Hoosick River Hardwoods, LLC to submeter electricity at 28 Taylor Avenue, in Berlin, New York |
| *PSC-26-11-00012-P | exempt | Waiver of generation retirement notice requirements | Consideration of waiver of generation retirement notice requirements |
| *PSC-29-11-00011-P | exempt | Petition requesting the Commssion reconsider its May 19, 2011 Order and conduct a hearing, and petition to stay said Order. | To consider whether to grant or deny, in whole or in part, Windstream New York's Petition For Reconsideration and Rehearing. |
| *PSC-33-11-00017-P | exempt | Petition for the submetering of electricity | To consider the request of 56-7th Avenue LLC to submeter electricity at 56-7th Avenue, New York, New York |
| *PSC-35-11-00011-P | exempt | Whether to permit Consolidated Edison a waiver to commission regulations Part 226.8 | Permit Consolidated Edison to conduct a inspection program in lieu of testing the accuracy of Category C meters |
| *PSC-36-11-00006-P | exempt | To consider expanding mobile stray voltage testing requirements | Adopt additional mobile stray voltage testing requirements |
| *PSC-38-11-00002-P | exempt | Operation and maintenance procedures pertaining to steam trap caps | Adopt modified steam operation and maintenance procedures |
| *PSC-38-11-00003-P | exempt | Waiver of certain provisions of the electric service tariffs of Con Edison | Consideration of waiver of certain provisions of the electric service tariffs of Con Edison |
| *PSC-40-11-00010-P | exempt | Participation of regulated local exchange carriers in the New York Data Exchange, Inc. (NYDE) | Whether to partially modify its order requiring regulated local exchange carriers' participation NYDE |
| *PSC-40-11-00012-P | exempt | Granting of transfer of plant in-service to a regulatory asset | To approve transfer and recovery of unamortized plant investment |
| *PSC-42-11-00018-P | exempt | Availability of telecommunications services in New York State at just and reasonable rates | Providing funding support to help ensure availability of affordable telecommunications service throughout New York |
| *PSC-43-11-00012-P | exempt | Transfer of outstanding shares of stock | Transfer the issued outstanding shares of stock of The Meadows at Hyde Park Water-Works Corporation to HPWS, LLC |
| *PSC-47-11-00007-P | exempt | Remedying miscalculations of delivered gas as between two customer classes | Consideration of Con Edison's proposal to address inter-class delivery imbalances resulting from past Company miscalculations |
| *PSC-48-11-00007-P | exempt | Transfer of controlling interests in generation facilities from Dynegy to PSEG | Consideration of the transfer of controlling interests in electric generation facilities from Dynegy to PSEG |
| *PSC-48-11-00008-P | exempt | Petition for the submetering of electricity | To consider the request of To Better Days, LLC to submeter electricity at 37 East 4th Street, New York, New York |
| *PSC-51-11-00010-P | exempt | The Total Resource Cost (TRC) test, used to analyze measures in the Energy Efficiency Portfolio Standard program | Petitioners request that the TRC test and/or its application to measures should be revised |

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| **PUBLIC SERVICE COMMISSION** | | | |
| *PSC-52-11-00017-P | exempt | Reparations and refunds | Reparations and refunds |
| *PSC-01-12-00007-P | exempt | The New York State Reliability Council's revisions to its rules and measurements | To adopt revisions to various rules and measurements of the New York State Reliability Council |
| *PSC-01-12-00008-P | exempt | Transfer of real property and easements from NMPNS to NMP3 | Consideration of the transfer of real property and easements from NMPNS to NMP3 |
| *PSC-01-12-00009-P | exempt | Recovery of expenses related to the expansion of Con Edison's ESCO referral program, PowerMove | To determine how and to what extent expenses related to the Expansion of Con Edison's ESCO referral program should be recovered |
| *PSC-11-12-00002-P | exempt | Whether to grant, deny or modify, in whole or part, Hegeman's petition for a waiver of Commission policy and Con Edison tariff | Whether to grant, deny or modify, in whole or part, Hegeman's petition for a waiver of Commission policy and Con Edison tariff |
| *PSC-11-12-00005-P | exempt | Transfer of land and water supply assets | Transfer the land and associated water supply assets of Groman Shores, LLC to Robert Groman |
| *PSC-13-12-00005-P | exempt | Authorization to transfer certain real property | To decide whether to approve the transfer of certain real property |
| *PSC-17-12-00007-P | exempt | Whether a proposed agreement for the provision of water service by Saratoga Water Services, Inc. is in the public interest | Whether the Commission should issue an order approving the proposed provision of water service |
| *PSC-17-12-00008-P | exempt | Whether a proposed agreement for the provision of water service by Saratoga Water Services, Inc. is in the public interest | Whether the Commission should issue an order approving the proposed provision of water service |
| *PSC-17-12-00009-P | exempt | Whether a proposed agreement for the provision of water service by Saratoga Water Services, Inc. is in the public interest | Whether the Commission should issue an order approving the proposed provision of water service |
| *PSC-19-12-00019-P | exempt | EEPS programs administered by New York State Electric & Gas Corporation and Rochester Gas and Electric Corporation | To modify the C&I sector by combining multiple approved C&I programs into a single C&I program for each PA |
| *PSC-19-12-00022-P | exempt | Approval of a combined heat and power performance program funding plan administered by NYSERDA | Modify NYSERDA's EEPS programs budget and targets to fund the CHP program |
| *PSC-19-12-00023-P | exempt | Petition for approval pursuant to Section 70 for the sale of goods with an original cost of less than $100,000 | To consider whether to grant, deny or modify, in whole or in part, the petition filed by Orange and Rockland Utilities, Inc. |
| *PSC-21-12-00006-P | exempt | Tariff filing requirements and refunds | To determine if certain agreements should be filed pursuant to the Public Service Law and if refunds are warranted |
| *PSC-21-12-00011-P | exempt | Whether to grant, deny or modify, in whole or part, the petition for waiver of tariff Rules 8.6 and 47 | Whether to grant, deny or modify, in whole or part, the petition for waiver of tariff Rules 8.6 and 47 |
| *PSC-23-12-00005-P | exempt | EEPS multifamily programs administered by Consolidated Edison Company of New York, Inc. | To redesign the multifamily electric and gas programs and modify the budgets and targets |

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| **PUBLIC SERVICE COMMISSION** | | | |
| *PSC-23-12-00007-P | exempt | The approval of a financing upon a transfer to Alliance of upstream ownership interests in a generation facility | To consider the approval of a financing upon a transfer to Alliance of upstream ownership interests in a generation facility |
| *PSC-23-12-00009-P | exempt | Over earnings sharing between rate payers and shareholders | To establish an Earnings Sharing Mechanism to be applied following the conclusion of Corning's rate plan |
| *PSC-27-12-00012-P | exempt | Implementation of recommendations made in a Management Audit Report | To consider implementation of recommendations made in a Management Audit Report |
| *PSC-28-12-00013-P | exempt | Exemption of reliability reporting statistics for the purpose of the 2012 Reliability Performance Mechanism | Consideration of Orange and Rockland Utilities request for exemption of the 2012 reliability reporting statistics |
| *PSC-29-12-00019-P | exempt | Waiver of 16 NYCRR 894.1 through 894.4 | To allow the Town of Hamden to waive certain preliminary franchising procedures to expedite the franchising process. |
| *PSC-30-12-00010-P | exempt | Waiver of 16 NYCRR 894.1 through 894.4 | To allow the Town of Andes to waive certain preliminary franchising procedures to expedite the franchising process |
| *PSC-33-12-00009-P | exempt | Telecommunications companies ability to attach to utility company poles | Consideration of Tech Valley's ability to attach to Central Hudson poles |
| *PSC-35-12-00014-P | exempt | To implement an abandonment of White Knight's water system | To approve the implementation of abandonment of White Knight's water system |
| *PSC-37-12-00009-P | exempt | Proposed modification by Con Edison of its procedures to calculate estimated bills to its customers | Proposed modification by Con Edison of its procedures to calculate estimated bills to its customers |
| *PSC-42-12-00007-P | exempt | Petition for the submetering of electricity | To consider the request of 215 West 91st Street Corp. to submeter electricity at 215 West 91st Street, New York, New York |
| *PSC-42-12-00009-P | exempt | Regulation of Gipsy Trail Club, Inc.'s long-term financing agreements | To exempt Gipsy Trail Club, Inc. from Commission regulation of its financing agreements |
| *PSC-45-12-00008-P | exempt | Whether to grant, deny or modify, in whole or part, ESHG's petition for a waiver of Commission policy and RG&E tariff | Whether to grant, deny or modify, in whole or part, ESHG's petition for a waiver of Commission policy and RG&E tariff |
| *PSC-45-12-00010-P | exempt | Whether to grant, deny or modify, in whole or in part the petition of Con Edison to grant easements to Millwood Fire District | Whether to grant, deny or modify, in whole or in part the petition of Con Edison to grant easements to Millwood Fire District |
| *PSC-50-12-00003-P | exempt | Affiliate standards for Corning Natural Gas Corporation | To resolve issues raised by Corning Natural Gas Corporation in its petition for rehearing |
| *PSC-04-13-00006-P | exempt | Expansion of mandatory day ahead hourly pricing for customers of Orange and Rockland Utilities with demands above 100 kW | To consider the expansion of mandatory day ahead hourly pricing for customers with demands above 100 kW |
| *PSC-04-13-00007-P | exempt | Authorization to transfer certain real property. | To decide whether to approve the transfer of certain real property. |
| *PSC-06-13-00008-P | exempt | Verizon New York Inc.'s retail service quality | To investigate Verizon New York Inc.'s retail service quality |

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| **PUBLIC SERVICE COMMISSION** | | | |
| *PSC-08-13-00012-P | exempt | Filing requirements for certain Article VII electric facilities | To ensure that applications for certain electric transmission facilities contain pertinent information |
| *PSC-08-13-00014-P | exempt | Uniform System of Accounts - Request for Accounting Authorization | To allow the company to defer an item of expense or capital beyond the end of the year in which it was incurred |
| *PSC-12-13-00007-P | exempt | Protecting company water mains | To allow the company to require certain customers to make changes to the electrical grounding system at their homes |
| *PSC-13-13-00008-P | exempt | The potential waiver of 16 NYCRR 255.9221(d) completion of integrity assessments for certain gas transmission lines. | To determine whether a waiver of the timely completion of certain gas transmission line integrity assessments should be granted. |
| *PSC-14-13-00005-P | exempt | Recovery of incremental expense. | To consider petition for recovery of incremental expense. |
| *PSC-17-13-00008-P | exempt | Provision of historical utility pricing information for comparison purposes for residential ESCO customers | Provision of historical utility pricing information for comparison purposes for residential ESCO customers |
| *PSC-17-13-00010-P | exempt | Provision of historical pricing information for comparison purposes for residential ESCO customers | Provision of historical pricing information for comparison purposes for residential ESCO customers |
| *PSC-18-13-00007-P | exempt | Whether Demand Energy Networks energy storage systems should be designated technologies for standby rate eligibility purposes | Whether Demand Energy Networks energy storage systems should be designated technologies for standby rate eligibility purposes |
| *PSC-20-13-00008-P | exempt | Relief of the exhausting 315 Area Code | To reinstate the relief process for the 315 area code region beyond 2015 |
| *PSC-21-13-00003-P | exempt | To consider policies that may impact consumer acceptance and use of electric vehicles | To consider and further develop policies that may impact consumer acceptance and use of electric vehicles |
| *PSC-21-13-00005-P | exempt | To implement an abandonment of Windover's water system | To approve the implementation of abandonment of Windover's water system |
| *PSC-21-13-00008-P | exempt | Rates of National Fuel Gas Distribution Corporation | To make the rates of National Fuel Gas Distribution Corporation temporary, subject to refund, if they are found to be excessive |
| *PSC-21-13-00009-P | exempt | Reporting requirements for natural gas local distribution companies | To help ensure efficient and economic expansion of the natural gas system as appropriate |
| *PSC-22-13-00009-P | exempt | On remand from New York State court litigation, determine the recovery of certain deferred amounts owed NFG by ratepayers | On remand, to determine the recovery of certain deferral amounts owed NFG from ratepayers |
| *PSC-23-13-00005-P | exempt | Waiver of partial payment, directory database distribution, service quality reporting, and service termination regulations | Equalize regulatory treatment based on level of competition and practical considerations |
| *PSC-24-13-00009-P | exempt | Repowering options for the Cayuga generating station located in Lansing, New York, and alternatives | To establish whether utility plans should include repowering options for the Cayuga generating station, or other alternatives |

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| **PUBLIC SERVICE COMMISSION** | | | |
| *PSC-24-13-00010-P | exempt | Repowering options for the Dunkirk generating station located in Dunkirk, New York, and alternatives | To establish whether utility plans should include repowering options for the Dunkirk generating station, or other alternatives |
| *PSC-25-13-00008-P | exempt | To deny, grant or modify, in whole or in part, Central Hudson's rehearing request. | To deny, grant or modify, in whole or in part, Central Hudson's rehearing request. |
| *PSC-25-13-00009-P | exempt | Provision by utilities of natural gas main and service lines. | To help ensure efficient and economic expansion of the natural gas system as appropriate. |
| *PSC-25-13-00011-P | exempt | Waiver of certain Commission requirements related to provision of customer information to credit reporting agencies. | To waive a utility's right to provide information to credit reporting agencies related to customers' payment histories. |
| *PSC-25-13-00012-P | exempt | To deny, grant or modify, in whole or in part, Central Hudson's rehearing request. | To deny, grant or modify, in whole or in part, Central Hudson's rehearing request. |
| *PSC-27-13-00014-P | exempt | Columbia Gas Transmission Corporation Cost Refund | For approval for temporary waiver of tariff provisions regarding its Columbia Gas Transmission Corporation cost refund. |
| *PSC-28-13-00014-P | exempt | Provision for the recovery and allocation of costs of transmission projects that reduce congestion on certain interfaces | To consider the recovery and allocation of costs of transmission projects that reduce congestion on certain interfaces |
| *PSC-28-13-00016-P | exempt | The request of NGT for lightened regulation as a gas corporation. | To consider whether to approve, reject, or modify the request of Niagara gas transport of Lockport, NY LLC. |
| *PSC-28-13-00017-P | exempt | The request by TE for waiver of regulations requiring that natural gas be odorized in certain gathering line segments | Consider the request by TE for waiver of regulations that gas be odorized in certain lines |
| *PSC-32-13-00009-P | exempt | To consider the definition of ''misleading or deceptive conduct'' in the Commission's Uniform Business Practices | To consider the definition of ''misleading or deceptive conduct'' in the Commission's Uniform Business Practices |
| *PSC-32-13-00010-P | exempt | Permission to write off and eliminate record keeping for regulatory reserves for Pensions and Other Post Retirement Benefits | To allow write off and eliminate record keeping of Pension and Other Post Retirement Benefits Reserves |
| *PSC-32-13-00012-P | exempt | To consider whether NYSEG should be required to undertake actions to protect its name and to minimize customer confusion | To consider whether NYSEG should be required to undertake actions to protect its name and to minimize customer confusion |
| *PSC-33-13-00027-P | exempt | Waive underground facility requirements for new construction in residential subdivisions to allow for overhead electric lines. | Determine whether Chapin Lumberland, LLC subdivision will be allowed overhead electric distribution and service lines. |
| *PSC-33-13-00029-P | exempt | Deferral of incremental costs associated with the restoration of steam service following Superstorm Sandy. | To consider a petition by Con Edison to defer certain incremental steam system restoration costs relating to Superstorm Sandy. |
| *PSC-34-13-00004-P | exempt | Escrow account and surcharge to fund extraordinary repairs | To approve the establishment of an escrow account and surcharge |
| *PSC-37-13-00007-P | exempt | Dissolution of Garrow Water Works Company, Inc.. | To allow for the dissolution of Garrow Water Works Company, Inc. |

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| **PUBLIC SERVICE COMMISSION** | | | |
| *PSC-39-13-00010-P | exempt | NY-Sun initiative within the Customer-Sited Tier of the RPS Program. | To increase the statewide adoption of customer sited photovoltaic solar generation through the NY-Sun Initiative. |
| *PSC-42-13-00013-P | exempt | Failure to Provide Escrow Information | The closure of the Escrow Account |
| *PSC-42-13-00015-P | exempt | Failure to Provide Escrow Information | The closure of the Escrow Account |
| *PSC-43-13-00015-P | exempt | Petition for submetering of electricity | To consider the request of 2701 Kingsbridge Terrace L.P. to submeter electricity at 2701 Kingsbridge Terrace, Bronx, N.Y. |
| *PSC-45-13-00021-P | exempt | Investigation into effect of bifurcation of gas and electric utility service on Long Island. | To consider a Petition for an investigation into effect of bifurcation of gas and electric utility service on Long Island. |
| *PSC-45-13-00022-P | exempt | Waiver of PSC regulations, 16 NYCRR section 88.4(a)(4) | To consider a waiver of certain regulations relating to the content of an application for transmission line siting |
| *PSC-45-13-00023-P | exempt | Waiver of PSC regulations, 16 NYCRR section 88.4(a)(4). | To consider a waiver of certain regulations relating to the content of an application for transmission line siting |
| *PSC-45-13-00024-P | exempt | Waiver of PSC regulations, 16 NYCRR section 88.4(a)(4); waiver of filing deadlines. | To consider a waiver of certain regulations relating to the content of an application for transmission line siting |
| *PSC-45-13-00025-P | exempt | Waiver of PSC regulations, 16 NYCRR section 88.4(a)(4). | To consider a waiver of certain regulations relating to the content of an application for transmission line siting |
| *PSC-46-13-00007-P | exempt | Whether to permit the use of the GE/Dresser ES3 Index Assembly for use in commercial and industrial gas meter applications. | To permit gas utilities in New York State to use the GE/Dresser ES3 Index Assembly. |
| *PSC-47-13-00009-P | exempt | Petition for submetering of electricity. | To consider the request of Hegeman Avenue Housing L.P. to submeter electricity at 39 Hegeman Avenue, Brooklyn, N.Y. |
| *PSC-47-13-00012-P | exempt | Conditioning,restricting or prohibiting the purchase of services by NYSEG and RG&E from certain affiliates. | Consideration of conditioning,restricting or prohibiting the purchase of services by NYSEG and RG&E from certain affiliates. |
| *PSC-49-13-00008-P | exempt | Authorization to transfer all of Crystal Water Supply Company, Inc. stocks to Essel Infra West Inc. | To allow Crystal Water Supply Company, Inc to transfer all of its issued and outstanding stocks to Essel Infra West Inc. |
| *PSC-51-13-00009-P | exempt | Consolidated Edison proposing to use data from a test period ending September 30, 2013 to support its next rate filing. | To ensure there is a reasonable basis for data submitted in support of a request for a change in rates. |
| *PSC-51-13-00010-P | exempt | Consolidated Edison proposing to use data from a test period ending September 30, 2013 to support its next rate filing. | To ensure there is a reasonable basis for data submitted in support of a request for a change in rates. |
| *PSC-51-13-00011-P | exempt | Consolidated Edison proposing to use data from a test period ending September 30, 2013 to support its next rate filing. | To ensure there is a reasonable basis for data submitted in support of a request for a change in rates. |

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| **PUBLIC SERVICE COMMISSION** | | | |
| *PSC-52-13-00012-P | exempt | The development of reliability contingency plan(s) to address the potential retirement of Indian Point Energy Center (IPEC). | To address the petition for rehearing and reconsideration/motion for clarification of the IPEC reliability contingency plan(s). |
| *PSC-52-13-00015-P | exempt | To enter into a loan agreement with the banks for up to an amount of $94,000. | To consider allowing Knolls Water Company to enter into a long-term loan agreement. |
| *PSC-01-14-00017-P | exempt | Residential Time-of-Use Rates | To establish residential optional time of use delivery and commodity rates |
| *PSC-03-14-00009-P | exempt | disposition of tax refunds and other related matters | to determine the disposition of tax refunds and other related matters |
| PSC-04-14-00005-P | exempt | National Fuel Gas Corporation's Conservation Incentive Programs. | To modify National Fuel Gas Corporation's Non-Residential Conservation Incentive Program. |
| PSC-05-14-00010-P | exempt | The New York State Reliability Council's revisions to its rules and measurements | To adopt revisions to various rules and measurements of the New York State Reliability Council |
| PSC-07-14-00008-P | exempt | Petition for submetering of electricity | To consider the request of Greater Centennial Homes HDFC, Inc. to submeter electricity at 102, 103 and 106 W 5th Street, et al. |
| PSC-07-14-00012-P | exempt | Water rates and charges | Implementation of Long-Term Water Supply Surcharge to recover costs associated with the Haverstraw Water Supply Project |
| PSC-08-14-00015-P | exempt | Verizon New York Inc.'s service quality and Customer Trouble Report Rate (CTRR) levels at certain central office entities | To improve Verizon New York Inc.'s service quality andthe Customer Trouble Report Rate levels at certain central office entities |
| PSC-10-14-00006-P | exempt | Actions to facilitate the availability of ESCO value-added offerings, ESCO eligibility and ESCO compliance | To facilitate ESCO value-added offerings and to make changes to ESCO eligibility and to ensure ESCO compliance |
| PSC-11-14-00003-P | exempt | Provision for the recovery and allocation of costs of transmission projects that reduce congestion on certain interfaces | To consider the recovery and allocation of costs of transmission projects that reduce congestion on certain interfaces |
| PSC-11-14-00004-P | exempt | Petition for submetering of electricity | To consider the request of Plaza Athenee Hotel Company Limited to submeter electricity at 35 East 64th Street, New York, NY |
| PSC-12-14-00007-P | exempt | Transfer of water supply assets. | Transfer the water supply assets of Yellow Barn Water Company, Inc. to the Town of Dryden. |
| PSC-14-14-00016-P | exempt | Whether to permit the use of the Leviton Series 8000 electric submeter. | Pursuant to 16 NYCRR Parts 93 and 96, is necessary to permit the use of the Leviton Series 8000 electric submeter. |
| PSC-16-14-00014-P | exempt | Whether to order NYSEG to provide gas service to customers when an expanded CPCN is approved and impose PSL 25-a penalties. | To order gas service to customers in the Town of Plattsburgh after approval of a town wide CPCN and to impose penalties. |
| PSC-16-14-00015-P | exempt | Whether Central Hudson should be permitted to defer obligations of the Order issued on October 18, 2013 in Case 13-G-0336. | Consideration of the petition by Central Hudson to defer reporting obligations of the October 18, 2013 Order in Case 13-G-0336 |
| PSC-16-14-00016-P | exempt | Waiver of Commission regulations governing termination of service. | Consider United Water New York Inc.'s proposal to expand termination of service provisions. |

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| **PUBLIC SERVICE COMMISSION** | | | |
| PSC-17-14-00003-P | exempt | Con Edison's Report on its 2013 performance under the Electric Service Reliability Performance Mechanism | Con Edison's Report on its 2013 performance under the Electric Service Reliability Performance Mechanism |
| PSC-17-14-00004-P | exempt | To consider certain portions of petitions for rehearing, reconsideration and/or clarification | To consider certain portions of petitions for rehearing, reconsideration and/or clarification |
| PSC-17-14-00005-P | exempt | To consider certain portions of petitions for rehearing, reconsideration and/or clarification | To consider certain portions of petitions for rehearing, reconsideration and/or clarification |
| PSC-17-14-00006-P | exempt | To consider certain portions of petitions for rehearing, reconsideration and/or clarification | To consider certain portions of petitions for rehearing, reconsideration and/or clarification |
| PSC-17-14-00007-P | exempt | To consider petitions for rehearing, reconsideration and/or clarification | To consider petitions for rehearing, reconsideration and/or clarification |
| PSC-17-14-00008-P | exempt | To consider certain portions of petitions for rehearing, reconsideration and/or clarification | To consider certain portions of petitions for rehearing, reconsideration and/or clarification |
| PSC-18-14-00007-P | exempt | Petition for submetering of electricity. | To consider the request of EBNB 70 Pine Owner LLC to submeter electricity at 70 Pine Street, New York, New York. |
| PSC-19-14-00014-P | exempt | Market Supply Charge | To make tariff revisions to the Market Supply Charge for capacity related costs |
| PSC-19-14-00015-P | exempt | Whether to permit the use of the Sensus accuWAVE for use in residential and commercial gas meter applications | To permit gas utilities in New York State to use the Sensus accuWAVE 415TC gas meter |
| PSC-19-14-00018-P | exempt | Uniform System of Accounts, deferral of an expense item | Authorization of a deferral for an expense item beyond the end of the year in which it was incurred |
| PSC-20-14-00011-P | exempt | Petitioners request an order approving enhanced benefits under the Renewable Portfolio Standard Program. | To enable continued operation of a 51 MW biomass fueled electric generating facility in Niagara Falls, New York. |
| PSC-22-14-00013-P | exempt | Petition to transfer and merge systems, franchises and assets. | To consider the Comcast and Time Warner Cable merger and transfer of systems, franchises and assets. |
| PSC-23-14-00010-P | exempt | Whether to permit the use of the GE Dresser Series B3-HPC 11M-1480 rotary gas met for use in industrial gas meter applications | To permit gas utilities in New York State to use the GE Dresser Series B3-HPC 11M-1480 rotary gas meter |
| PSC-23-14-00012-P | exempt | Whether to permit the use of the Elster Instromet Q.Sonic Plus Ultrasonic meter for use in industrial gas meter applications | To permit gas utilities in New York State to use the Elster Instromet Q.Sonic Plus Ultrasonic gas meter |
| PSC-23-14-00014-P | exempt | Waiver of the negative revenue adjustment associated with KEDLI's 2013 Customer Satisfaction Performance Metric | Consideration of KEDLI's waiver request pertaining to its 2013 performance under its Customer Satisfaction Metric |
| PSC-24-14-00004-P | exempt | Approval of asset transfer. | To allow or disallow transfer of assets from Heritage Hills Water Works Corp. to Community Utilities of New York, Inc. |
| PSC-24-14-00005-P | exempt | To examine LDC's performance and performance measures. | To improve gas safety performance. |

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| **PUBLIC SERVICE COMMISSION** | | | |
| PSC-25-14-00014-P | exempt | Whether to permit the use of the SATEC Branch Feeder Monitor BFM-136 electric submeter | Pursuant to 16 NYCRR Parts 93 and 96, is necessary to permit the use of the SATEC Branch Feeder Monitor BFM electric submeter |
| PSC-25-14-00015-P | exempt | Surcharges related to the System Benefits Charge, Energy Efficiency Portfolio Standard, Retail Renewable Portfolio Standard | To reduce the public benefit surcharge applicable to large industrial, commercial and institutional energy consumers |
| PSC-26-14-00010-P | exempt | Petitioner requests an order authorizing its participation in the next Main Tier solicitation offered under the RPS Program. | To enable continued operation of a 21 MW biomass fueled electric generating facility in Chateaugay, New York. |
| PSC-26-14-00012-P | exempt | The Commission's framework for regulating utilities and methods of ratemaking will be revised. | To allow energy efficiency and other distributed resources to take a primary role in the planning and operation of the grid. |
| PSC-26-14-00013-P | exempt | Waiver of RG&E's tariffed definition of emergency generator. | To consider waiver of RG&E's tariffed definition of emergency generator. |
| PSC-26-14-00014-P | exempt | The New York State Reliability Council's revisions to its rules and measurements. | To adopt revisions to various rules and measurements of the New York State Reliability Council. |
| PSC-26-14-00015-P | exempt | Whether to order natural gas distribution companies to expand their public education programs. | To improve gas safety by ordering natural gas distribution companies to expand their public education programs. |
| PSC-26-14-00016-P | exempt | The Commission's regulatory framework will be revised to create a flexible platform for new energy products and services. | To allow energy efficiency and other distributed resources to take a primary role in the planning and operation of the grid. |
| PSC-26-14-00017-P | exempt | Existing ratemaking and rate design practices will be revised with a focus on outcomes and incentives. | To use the Commission's ratemaking authority to foster a DER-intensive system. |
| PSC-26-14-00018-P | exempt | Rules regarding ownership and/or operation of the DSPPs will be created. | To best enable system-wide efficiency and market-based deployment of distributed energy resources and load management. |
| PSC-26-14-00019-P | exempt | Prohibitions or restrictions regarding the DSPPs ownership of DER will be created. | To protect against abuses associated with imbalances in market power. |
| PSC-26-14-00020-P | exempt | New electric utility backup service tariffs and standards for interconnection may be adopted. | To encourage development of microgrids that enhance the efficiency, safety, reliability and resiliency of the electric grid. |
| PSC-26-14-00021-P | exempt | Consumer protections, standards and protocols pertaining to access to customer data may be established. | To balance the need for the information necessary to support a robust market with customer privacy concerns. |
| PSC-28-14-00014-P | exempt | Petition to transfer systems, franchises and assets. | To consider the Comcast and Charter transfer of systems, franchise and assets. |
| PSC-30-14-00019-P | exempt | Uniform System of Accounts - Request for Accounting Authorization | To allow the company deferred accounting treatment for expenses related to the change in corporate leadership. |
| PSC-30-14-00020-P | exempt | Uniform System of Accounts - Request for Accounting Authorization | To allow the company deferred accounting treatment for expenses related to the change in corporate leadership. |

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| **PUBLIC SERVICE COMMISSION** | | | |
| PSC-30-14-00021-P | ..... exempt | Uniform System of Accounts - Request for Accounting Authorization | To allow the company deferred accounting treatment for expenses related to the change in corporate leadership. |
| PSC-30-14-00023-P | ..... exempt | Whether to permit the use of the Sensus iPERL Fire Flow Meter. | Pursuant to 16 NYCRR Part 500.3 , it is necessary to permit the use of the Sensus iPERL Fire Flow Meter. |
| PSC-30-14-00025-P | ..... exempt | Allocation of uncommitted Technology and Market Development Funds to the Combined Heat & Power Performance Program. | To consider allocation of uncommitted Technology & Market Development Funds to the Combined Heat & Power Performance Program. |
| PSC-30-14-00026-P | ..... exempt | Petition for a waiver to master meter electricity. | Considering the request of Renaissance Corporation of to master meter electricity at 100 Union Drive,Albany, NY. |
| PSC-31-14-00004-P | ..... exempt | To transfer 100% of the issued and outstanding stock from Vincent Cross to Bonnie and Michael Cross | To transfer 100% of the issued and outstanding stock from Vincent Cross to Bonnie and Michael Cross |
| PSC-32-14-00009-P | ..... exempt | Refueling options for the Dunkirk generating station located in Dunkirk, New York, and alternatives | To address the joint petition for rehearing of the Commission's Order related to refueling the Dunkirk generating station |
| PSC-32-14-00010-P | ..... exempt | Petition for rehearing and/or clarification of the Order Establishing Rates, issued in Case 13-W-0295 | to consider the petition for rehearing and/or clarification filed by the Municipal Consortium |
| PSC-32-14-00012-P | ..... exempt | Whether to grant or deny, in whole or in part, the Connect New York Coalition's petition | To consider the Connect New York Coalition's petition seeking a formal investigation and hearings |
| PSC-32-14-00013-P | ..... exempt | Petition for submetering of electricity | To consider the request of 1 John Street LLC to submeter electricity at 1 John Street, Brooklyn, New York |
| PSC-32-14-00015-P | ..... exempt | Revisions to modify and clarify provisions related to electric generators taking transportation service under SC Nos. 7 and 14 | To modify and clarify provisions related to electric generators taking transportation service under SC Nos. 7 and 14 |
| PSC-32-14-00017-P | ..... exempt | Transfer of Franchise or stocks and Issuance of Securities | To allow or disallow the merger of United Water Resources and United Water Mid-Atlantic Inc into United Water Works |
| PSC-32-14-00018-P | ..... exempt | Modifications to provisions related to electric generators and cogeneration facilities | Revisions related to electric generators and cogeneration facilities and align KEDNY's tariff provisions with those of KEDLI |
| PSC-34-14-00006-P | ..... exempt | Authorization of long-term loan | To allow or disallow Forever Wild Water Company to enter into long-term loan agreement. |
| PSC-34-14-00008-P | ..... exempt | Petition for submetering of electricity. | To consider the request of 18 Gramercy Park Condominium to submeter electricity at 18 Gramercy Park, New York, New York. |
| PSC-34-14-00009-P | ..... exempt | Whether to approve the Quadlogic S10N residential submeter. | Approval of the Quadlogic S10N Smart Meter for use in residential electric submetering is required by 16 NYCRR Parts 93 and 96. |

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| **PUBLIC SERVICE COMMISSION** | | | |
| PSC-35-14-00004-P | exempt | Regulation of a proposed electricity generation facility located in the Town of Brookhaven, NY | To consider regulation of a proposed electricity generation facility located in the Town of Brookhaven, NY |
| PSC-35-14-00005-P | exempt | Whether to permit the use of the Sensus iConA electric meter | Pursuant to 16 NYCRR Parts 92 and 93, Commission approval is necessary to permit the use of the Sensus iConA electric meter |
| PSC-35-14-00006-P | exempt | Minor electric rate filing | For approval to increase annual revenues by about $135,554 or 27.8% |
| PSC-35-14-00008-P | exempt | Whether to approve, modify or reject in whole or in part an increase in annual revenues of approximately $264,166 or 25% | Whether to approve, modify or reject in whole or in part an increase in annual revenues of approximately $264,166 or 25% |
| PSC-36-14-00008-P | exempt | The Commission's regulatory framework will be revised to create a flexible platform for new energy products and services. | To allow energy efficiency and other distributed resources to take a primary role in the planning and operation of the grid. |
| PSC-36-14-00009-P | exempt | Modification to the Commission's Electric Safety Standards. | To consider revisions to the Commission's Electric Safety Standards. |
| PSC-36-14-00010-P | exempt | The procurement of Main Tier renewable resources will become the responsibility of the State's electric utilities. | To ensure the development of large-scale remnewables in New York State to promote fuel diversity and reduce carbon emissions. |
| PSC-36-14-00011-P | exempt | To defer pension settlement losses associated with retirements in the year ended March 31, 2014. | To resolve the ratemaking of the pension settlement loss. |
| PSC-38-14-00003-P | exempt | Whether to approve, reject or modify, in whole or in part a time-sensitive rate pilot program. | Whether to approve, reject or modify, in whole or in part a time-sensitive rate pilot program. |
| PSC-38-14-00004-P | exempt | The study and petition of Con Edison regarding use, accounting and ratemaking treatment for 11-23 and 2-28 Hudson Ave. Brooklyn. | The study and petition of Con Edison regarding use, accounting and ratemaking treatment for 11-23 and 2-28 Hudson Ave. Brooklyn. |
| PSC-38-14-00005-P | exempt | Action on the report and petition of Con Edison regarding the Storm Hardening and Resiliency Collaborative, Phase 2. | Action on the report and petition of Con Edison regarding the Storm Hardening and Resiliency Collaborative, Phase 2. |
| PSC-38-14-00007-P | exempt | Whether to expand Con Edison's low income program to include Medicaid recipients. | Whether to expand Con Edison's low income program to include Medicaid recipients. |
| PSC-38-14-00008-P | exempt | The study and petition of Con Edison regarding use, accounting and ratemaking treatment for 11-23 and 2-28 Hudson Ave. Brooklyn. | The study and petition of Con Edison regarding use, accounting and ratemaking treatment for 11-23 and 2-28 Hudson Ave. Brooklyn. |
| PSC-38-14-00009-P | exempt | Action on the report and petition of Con Edison regarding the Storm Hardening and Resiliency Collaborative, Phase 2. | Action on the report and petition of Con Edison regarding the Storm Hardening and Resiliency Collaborative, Phase 2. |
| PSC-38-14-00010-P | exempt | Inter-carrier telephone service quality standard and metrics and administrative changes. | To review recommendations from the Carrier Working Group and incorporate appropriate modifications to the existing Guidelines. |
| PSC-38-14-00012-P | exempt | Action on the report and petition of Con Edison regarding the Storm Hardening and Resiliency Collaborative, Phase 2. | Action on the report and petition of Con Edison regarding the Storm Hardening and Resiliency Collaborative, Phase 2. |

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| **PUBLIC SERVICE COMMISSION** | | | |
| PSC-38-14-00018-P | exempt | New electric utility demand response tariffs may be adopted. | To develop mature DER markets by enabling the development and use of DR as an economic system resource. |
| PSC-38-14-00019-P | exempt | Whether to approve, modify or reject in whole or in part an increase in annual revenues of approximately $18,356 or 17.8%. | Whether to approve, modify or reject in whole or in part an increase in annual revenues of approximately $18,356 or 17.8%. |
| PSC-38-14-00020-P | exempt | Various tariff revisions to the rates, charges, rules and regulations. | For approval to make various tariff revisions to P.S.C. No. 4 - Steam. |
| PSC-38-14-00021-P | 09/24/15 | Service lines, leakage surveys, testing req'ts., MAOP, odorization, 16 NYCRR § § 255.3(29); 255.723; 255.507; 255.619, 255.625. | To align State gas safety rules with federal gas safety requirements. |
| PSC-39-14-00012-P | exempt | Minor electric rate filing. | For approval to increase total annual revenues by about $300,000 or 8.1%. |
| PSC-39-14-00014-P | exempt | Whether to permit the use of the SATEC EM133 electric submeter. | Pursuant to 16 NYCRR Parts 93 and 96, is necessary to permit the use of the SATEC EM133 electric submeter. |
| PSC-39-14-00020-P | exempt | Whether to permit the use of the Mueller Systems 400 Series and 500 Series of water meters | Pursuant to 16 NYCRR section 500.3, whether to permit the use of the Mueller Systems 400, and 500 Series of water meters |
| PSC-40-14-00008-P | exempt | To consider granting authorization for Buy Energy Direct to resume marketing to residential customers. | To consider granting authorization for Buy Energy Direct to resume marketing to residential customers. |
| PSC-40-14-00009-P | exempt | Whether to permit the use of the Itron Open Way Centron Meter with Hardware 3.1 for AMR and AMI functionality. | Pursuant to 16 NYCRR Parts 93, is necessary to permit the use of the Itron Open Way Centron Meter with Hardware 3.1. |
| PSC-40-14-00010-P | exempt | Notice of Intent to Submeter electricity. | To consider the request of Kimball Brooklands Corporation to submeter electricity at 1000 Palmer Road, Bronxville , New York. |
| PSC-40-14-00011-P | exempt | Late Payment Charge. | To modify Section 7.6 - Late Payment Charge to designate a specific time for when a late payment charge is due. |
| PSC-40-14-00013-P | exempt | Regulation of a proposed natural gas pipeline and related facilities located in the Town of Ticonderoga, NY. | To consider regulation of a proposed natural gas pipeline and related facilities located in the Town of Ticonderoga, NY. |
| PSC-40-14-00014-P | exempt | Waiver of 16 NYCRR Sections 894.1 through 894.4(b)(2) | To allow the Town of Goshen, NY, to waive certain preliminary franchising procedures to expedite the franchising process. |
| PSC-40-14-00015-P | exempt | Late Payment Charge. | To modify Section 6.6 - Late Payment Charge to designate a specific time for when a late payment charge is due. |
| PSC-41-14-00009-P | exempt | Establishment of a Clean Energy Fund and related actions | Consideration of proposal by NYSERDA for the establishment of a Clean Energy Fund and related actions |
| PSC-41-14-00010-P | exempt | Reallocation of EEPS and SBC funds | Consideration of proposal by NYSERDA for reallocation of EEPS and SBC funds |

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| **PUBLIC SERVICE COMMISSION** | | | |
| PSC-41-14-00011-P | exempt | Establishment of annual collections caps and collection and spending mechanisms as described in the Clean Energy Fund Proposal | Consideration of proposal by NYSERDA for the establishment of annual collections caps and collection and spending mechanisms |
| PSC-41-14-00012-P | exempt | Funding and management of the NY-Sun program as described in the Clean Energy Fund Proposal | Consideration of proposal by NYSERDA for the funding and management of the NY-Sun program |
| PSC-41-14-00013-P | exempt | Funding and management of the New York Green Bank as described in the Clean Energy Fund Proposal and NY Green Bank Petition | Consideration of proposal by NYSERDA for the funding and management of the New York Green Bank |
| PSC-41-14-00014-P | exempt | Funding and management of a Market Development program as described in the Clean Energy Fund Proposal | Consideration of proposal by NYSERDA for the funding and management of a Market Development program |
| PSC-41-14-00015-P | exempt | Funding and management of a Technology and Business Innovation program as described in the Clean Energy Fund Proposal | Consideration of proposal by NYSERDA for the funding and management of a Technology and Business Innovation program |
| PSC-41-14-00016-P | exempt | Inter-carrier telephone service quality standards and metrics | To review recommendations from the Carrier Working Group and incorporate modifications to the existing Guidelines |
| PSC-42-14-00003-P | exempt | Annual Reconciliation of Gas Expenses and Gas Cost Recoveries | The filings of various LDCs and municipalities regarding their Annual Reconciliation of Gas Expenses and Gas Cost Recoveries |
| PSC-42-14-00004-P | exempt | Winter Bundled Sales Service Option | To modify SC-11 to remove language relating to fixed storage charges in the determination of the Winter Bundled Sales charge |
| PSC-44-14-00020-P | exempt | LDC inspection and remediation plans for plastic fusions | Whether to order LDCs to comply with their filed plans that address any safety risks associated with plastic fusions |
| PSC-44-14-00021-P | exempt | Define incremental cost of gas | To define the incremental cost of gas and to streamline the Definitions and Abbreviations section |
| PSC-44-14-00023-P | exempt | Petition for rehearing filed by West Valley Crystal Water Company, Inc. on October 9, 2014 | Petition for rehearing filed by West Valley Crystal Water Company, Inc. on October 9, 2014 |
| PSC-45-14-00002-P | exempt | Proposed Public Policy Transmission Needs/ Public Policy Requirements, as defined under the NYISO tariff | To identify any proposed Public Policy Transmission Needs/Public Policy Requirements for referral to the NYISO |
| PSC-45-14-00003-P | exempt | Notice of Intent to Submeter electricity | To consider the request of Bedford-Stuyvesant South One LLC to submeter electricity at 27 Albany Avenue, Brooklyn, NY |
| PSC-45-14-00004-P | exempt | Petition for submetering of electricity | To consider the request of C B Frontier LLC, to submeter electricity at 200 East 39th Street, New York, New York |
| PSC-46-14-00006-P | exempt | To consider the request for waiver of the individual residential unit meter requirements and 16 NYCRR 96.1(a). | To consider the request for waiver of the individual residential unit meter requirements and 16 NYCRR 96.1(a). |
| PSC-46-14-00007-P | exempt | Modifications to General Rule 17.5 - Requests for Aggregated Company Records. | Modifications to General Rule 17.5 - Requests for Aggregated Company Records. |

| Agency I.D. No. | Expires | Subject Matter | Purpose of Action |
|---|---|---|---|
| **PUBLIC SERVICE COMMISSION** | | | |
| PSC-46-14-00008-P | exempt | Funding and eligibility rules for the Green Bank program as described in the Green Bank Petition. | Consideration of proposal by NYSERDA for the funding and eligibility rule changes for the Green Bank program. |
| PSC-46-14-00009-P | exempt | Continuation of exemptions from standby rates for beneficial forms of distributed generation and small combined heat and power. | To continue the exemptions from standby rates for beneficial forms of distributed generation and small combined heat and power. |
| PSC-46-14-00010-P | exempt | Modifications to General Information Section IV.3(c) - Requests for Aggregated Company Records. | Modifications to General Information Section IV.3(c) - Requests for Aggregated Company Records. |
| PSC-46-14-00012-P | exempt | To consider proposals for changes to the Electronic Data Interchange standards. | To consider proposals for changes to the Electronic Data Interchange standards. |
| PSC-47-14-00012-P | exempt | Consideration of the National Grid Implementation Plan and audit recommendations | To approve, modify or reject, in whole or in part, National Grid's Implementation Plan |
| PSC-48-14-00010-P | exempt | Major gas rate increase filing. | To establish rates and practices for gas service. |
| PSC-48-14-00011-P | exempt | Major electric rate increase filing. | To establish rates and practices for electric service. |
| PSC-48-14-00012-P | exempt | Authority to update its System Improvement Charge (SIC Mechanism). | To allow or disallow New York American Water Company to update its System Improvement Charge (SIC Mechanism). |
| PSC-48-14-00013-P | exempt | Petition for submetering of electricity. | To consider the request of Albee Tower 1 Owners LLC to submeter electricity at 70 Fleet Street, Brooklyn, New York. |
| PSC-48-14-00014-P | exempt | Considering the recommendations contained in Staff' s electric outage investigation report for MNRR, New Haven Line. | To consider the recommendations contained in Staff's electric outage investigation report for MNRR, New Haven Line. |
| PSC-49-14-00002-P | exempt | Whether to make revisions to Rider S - Commercial System Relief Program and Rider U - Distribution Load Relief Program | Whether to make revisions to Rider S - Commercial System Relief Program and Rider U - Distribution Load Relief Program |
| PSC-51-14-00005-P | exempt | Petitioner requests an order modifying its existing maintenance tier contract offered under the RPS Program | To resume operation of a 21 MW biomass fueled electric generating facility in Chateaugay, New York |
| PSC-51-14-00006-P | exempt | The Northeast Power Coordinating Council, Inc's A-Criteria documents and Criteria | To adopt revisions to various rules and measurements of the Northeast Power Coordinating Council, Inc. |
| PSC-52-14-00019-P | exempt | Petition for a waiver to master meter electricity. | Considering the request of 614 South Crouse Avenue, LLC to master meter electricity at 614 South Crouse Avenue, Syracuse, NY.. |
| PSC-52-14-00020-P | exempt | The New York State Reliability Council's establishment of an Installed Reserve Margin of 17.0%. | To adopt an Installed Reserve Margin for the Capability Year beginning May 1, 2015, and ending April 30, 2016. |
| PSC-52-14-00021-P | exempt | Requirements and conditions for the net metering of customer-sited generation facilities. | To consider requirements and conditions for the net metering of customer-sited generation facilities. |

| Agency I.D. No. | Expires | Subject Matter | Purpose of Action |
|---|---|---|---|
| **PUBLIC SERVICE COMMISSION** | | | |
| PSC-52-14-00022-P | exempt | Petition for submetering of electricity. | To consider the request of Kingsview Homes, Inc. to submeter electricity at 125 Ashland Place, Brooklyn, New York. |
| PSC-52-14-00023-P | exempt | LDC inspection and remediation plans for plastic fusions. | Whether to order Con Ed and ORU to comply with their filed plans that address any safety risks associated with plastic fusions. |
| PSC-52-14-00024-P | exempt | Distributed Generation (DG), Natural Gas Vehicle (NGV) and Prime-WNY programs. | To extend the DG and NGV programs to March 31, 2018 and for authorization of the Prime-WNY program. |
| PSC-52-14-00025-P | exempt | Whether to approve, modify or reject in whole or in part an increase in annual revenues of approximately $24,000 or 48%. | Whether to approve, modify or reject in whole or in part an increase in annual revenues of approximately $24,000 or 48%. |
| PSC-52-14-00026-P | exempt | Community Choice Aggregation. | To consider action related to Community Choice Aggregation. |
| PSC-01-15-00014-P | exempt | State Universal Service Fund Disbursements | To consider Edwards Telephone Company's request for State Universal Service Fund disbursements |
| PSC-01-15-00015-P | exempt | NYSEG is seeking waivers from certain regulatory requirements contained in an Order issued in Case 14-G-0197 on October 6, 2014 | NYSEG is seeking waivers because it cannot certify the existing propane distribution system complies with certain regulations |
| PSC-01-15-00016-P | exempt | State Universal Service Fund Disbursements | To consider Port Byron Telephone Company's request for State Universal Service Fund disbursements |
| PSC-01-15-00017-P | exempt | Reimbursement of costs for construction under 16 NYCRR 230 | To determine proper reimbursement for costs related to trenching and construction |
| PSC-01-15-00018-P | exempt | State Universal Service Fund Disbursements | To consider Township Telephone Company's request for State Universal Service Fund disbursements |
| PSC-01-15-00019-P | exempt | Rule 50 - Reliability Support Services (RSS) Surcharge. | To make a clarifying revision to Rule 50 - Reliability Support Services (RSS) Surcharge. |
| PSC-01-15-00020-P | exempt | A Pilot Community Choice Aggregation Program | To consider approval of a Pilot Community Choice Program and customer information transfer |
| PSC-02-15-00005-P | exempt | Approving the 2014 electric emergency response plans for New York's six major electric utilities. | Approving the 2014 electric emergency response plans for New York's six major electric utilities. |
| PSC-03-15-00002-P | exempt | Waiver of tariff provisions related to SC 14 Non-Core Transportation Services for Electric Generation | To determine whether a waiver is warranted |
| PSC-03-15-00003-P | exempt | To allow residential customers to opt out of AMR metering for gas and make other tariff changes related to gas metering | To allow residential customers to opt out of AMR metering for gas and make other tariff changes related to gas metering |
| PSC-03-15-00004-P | exempt | To allow residential customers a one time election to opt out of AMR metering and make other tariff changes related to metering | To allow residential customers a one time election to opt out of AMR metering and make other changes related to metering |

| Agency I.D. No. | Expires | Subject Matter | Purpose of Action |
|---|---|---|---|
| **PUBLIC SERVICE COMMISSION** | | | |
| PSC-03-15-00005-P | exempt | Minor electric rate filing | For approval to increase annual revenues by about $300,000 or 17.96% |
| PSC-04-15-00008-P | exempt | Re-billing SC No. 2 customers from March 2008 through March 2014. | To determine whether re-billing SC No. 2 customers by the Companies' proposed methodology customers is appropriate. |
| PSC-04-15-00009-P | exempt | To start and finish construction of distribution and service lines in certain municipalities in Clinton County by dates certain. | To require NYSEG to start and complete construction of distribution and service lines in municipalities in Clinton County. |
| PSC-04-15-00010-P | exempt | To modify the retail access program under SC No. 19 - Seller Transportation Aggregation Service. | To modify the retail access program to implement Tier 2A – Storage Capacity Release and make other tariff changes. |
| PSC-04-15-00011-P | exempt | To modify the retail access program under SC No. 8 - Seller Services. | To modify the retail access program to implement Tier 2A - Storage Capacity Release and make other tariff changes. |
| PSC-04-15-00012-P | exempt | Disposition of tax refunds and other related matters. | To determine the disposition of tax refunds and other related matters. |
| PSC-04-15-00013-P | exempt | Rider L - Direct Load Control Program (DLC) and Residential Smart Appliance Program (RSAP) | To expand the DLC program, replace failed control devices, and to expand the RSAP pilot. |
| PSC-04-15-00014-P | exempt | Request for waiver of 6 NYCRR Part 501 and United Water's tariff provisions governing main extensions. | To grant, deny or modify a petition for a waiver of 6 NYCRR Part 501 and related United Water's tariff provisions. |
| **STATE, DEPARTMENT OF** | | | |
| DOS-41-14-00001-P | 10/20/15 | Minimum standards for code enforcement training | To establish minimum training standards so as to increase the level of competency and reliability of code enforcement personnel |
| DOS-02-15-00004-EP | 03/01/16 | Use of truss type, pre-engineered wood or timber construction in residential structures | To implement the provisions of new section 382-b of the Executive Law, as added by chapter 353 of the Laws of 2014 |
| DOS-04-15-00004-EP | 03/19/16 | Issuance of an order to remedy a violation of the Uniform Code | Fix the time for compliance with an order to remedy any condition found to exist in buildings in violation of the Uniform Code |
| **STATE UNIVERSITY OF NEW YORK** | | | |
| SUN-47-14-00009-P | 11/26/15 | Tuition and fees at State-operated units of State University | To amend the in-state tuition rates where so required under state or federal law |
| **TAXATION AND FINANCE, DEPARTMENT OF** | | | |
| TAF-48-14-00002-P | exempt | Fuel use tax on motor fuel and diesel motor fuel and the art. 13-A carrier tax jointly administered therewith | To set the sales tax component and the composite rate per gallon for the period January 1, 2015 through March 31, 2015 |
| TAF-48-14-00003-P | 12/03/15 | Filing requirements for farm distilleries under Article 18 of the Tax Law | To allow farm distilleries to file annual rather than monthly alcoholic beverage tax returns |

| Agency I.D. No. | Expires | Subject Matter | Purpose of Action |
|---|---|---|---|
| **TEMPORARY AND DISABILITY ASSISTANCE, OFFICE OF** | | | |
| TDA-49-14-00001-P | 12/10/15 | Local Advisory Councils | Repeal the regulatory requirement that social services districts establish and maintain local advisory councils |
| TDA-49-14-00003-P | 12/10/15 | Public Assistance Schedules | To update certain public assistance schedules to comply with the schedules in Social Services Law § 131-a |
| TDA-52-14-00001-P | 12/31/15 | ''Food Stamp Program'' renamed ''Supplemental Nutrition Assistance Program'' (SNAP); Food Assistance Program (FAP) repealed; certain public assistance employment program reporting requirements modified | To render subject State regulations consistent with cited statutory authority and chapter 360 of the Laws of 2003, part C of chapter 57 of the Laws of 2005 and chapter 41 of the Laws of 2012 |
| **TRIBOROUGH BRIDGE AND TUNNEL AUTHORITY** | | | |
| TBA-48-14-00004-P | exempt | A proposal to establish a new crossing charge schedule for use of bridges and tunnels operated by TBTA | A proposal to raise additional revenue |

# RULE REVIEW

## Department of Taxation and Finance

### 2015 Rule Review

Pursuant to section 207 of the State Administrative Procedure Act (SAPA) the Department of Taxation and Finance intends to review the following rules during 2015, and invites written comments on the continuation or modification of these rules in order to assist the Department in the required review. We will consider comments that are received by March 9, 2015. Any questions concerning the items listed in this rule review or comments regarding the continuation of the rules being reviewed should be referred to: Office of Counsel, Department of Taxation and Finance, W.A. Harriman Campus, Building 9, Room 200, Albany, New York 12227. Telephone: (518) 530-4153, Email address: tax.regulations@tax.ny.gov.

RULES ADOPTED IN 2010

1. TAF-49-09-00002-A Informational Returns for Wholesale Dealers of Cigarettes and Tobacco Products.

This rule amended sections 75.2 and 90.1 of 20 NYCRR regarding informational returns for cigarette and tobacco products wholesale dealers.

Analysis of the need for the rule: The rule requires the filing of quarterly informational returns for cigarette and tobacco products wholesale dealers to enable the Department to better ensure compliance with the provisions of Articles 20 and 28 of the Tax Law.

Legal basis for the rule: Tax Law, sections 171, subd. First; 475 (not subdivided); and 1142(12).

2. TAF-27-10-000013-A Sales of Cigarettes on Indian Reservations.

The rule adds sections 74.6 and 74.7 to Title 20 NYCRR, implementing certain statutory provisions concerning sales of cigarettes on Indian reservations.

Analysis of the need for the rule: The rule concerns the collection of taxes on sales of cigarettes made on New York State Indian reservations as required by sections 471 and 471-e of the Tax Law, and provides procedures to be followed by New York State licensed cigarette stamping agents for the certification process required by section 471 of the Tax Law.

Legal basis for the rule: Tax Law, sections 171, subd. First; 471(1), (4), and (5); 471-e; 475(not subdivided); and L.2010, ch 134, part D.

3. TAF-35-10-00003-A Cigarette Tax.

This rule amended sections 70.1 and 80.2 and Parts 74 and 82, repealed section 79.2, and added new section 79.2 to Title 20 NYCRR, to implement statutory changes relating to the excise tax on cigarettes.

Analysis of the need for the rule: The rule implements statutory provisions increasing the rate of the excise tax on cigarettes from $2.75 for each 20 cigarettes, or fraction thereof, to $4.35, effective July 1, 2010. It also imposes a tax on the inventory of cigarettes possessed for sale in New York State and any unaffixed stamps as of the close of business on June 30, 2010, based on the increased rate of cigarette excise tax, and sets the rate of commissions allowable to agents as compensation for affixing cigarette stamps relating to the new rate of tax.

Legal basis for the rule: Tax Law, sections 171, subd. First; 472(1); 475(not subdivided); and L. 2010, ch 134, part D.

4. RPS-39-09-00025-A Reimbursement of Training Expenses.

This rule amended former Part 188 of Title 9 NYCRR to revise the continuing education requirements regarding reimbursement.

Analysis of the need for the rule: The rule assured that training reimbursement funds were managed effectively in a time of fiscal crisis. The notice of proposed rulemaking did not include a regulatory flexibility analysis, a rural area flexibility analysis, or a job impact statement.

Legal basis for the rule: Real Property Tax Law, sections 202(1)(l); 318(4); and 1530(3)(f).

5. TAF-39-10-00002-A City of New York Withholding Tables and Other Methods Applicable January 1, 2011.

Analysis of the need for the rule: the rule provided current City of New York withholding tables and other methods.

Legal basis for the rule: Tax Law, sections 171, subdivision First; 671(a); 1309 (not subdivided); and 1312(a), the Administrative Code of the City of New York, sections 11-1771(a) and 11-1791(a); and L. 2010, ch. 57, Part EE, section 4.

RULES ADOPTED IN 2005

1. TAF-07-05-00009-A Signature Requirements Applicable to Tax Return Preparers.

This rule amended sections 153.6 and 158.12 of Title 20 NYCRR, concerning signature requirements applicable to tax return preparers.

Analysis of the need for the rule: The rule removed the mandatory signature requirement for tax return preparers from the personal income tax regulations, conforming New York State requirements to the corresponding federal requirements.

Legal basis for the rule: Tax Law sections 171, subd. First; 658(g); and 697(a).

2. TAF-50-04-00004-A Refunds and Credits for Vessel Operators Engaged in Local Transit Service.

This rule amended section 534.4(a) and (b) and added new section 534.10 to Title 20 NYCRR to implement statutory changes making refund and credit provisions applicable to omnibus carriers also apply to certain vessel operators.

Analysis of the need for the rule: The rule made permanent the emergency measure that implemented Part M of Chapter 60 of the Laws of 2004, which provides that certain refunds and credits of sales and compensating use taxes are allowed for vessel operators engaged in local transit service. Part M required the Commissioner of Taxation and Finance to define the implementing terms "local transit service," "vessel hours," and "total hours operated" by rule.

Legal basis for the rule: Tax Law sections 171, subd. First; 1119(b); 1142(1) and (8); 1250(not subdivided); and L. 2004, ch 60, part M.

3. RPS-14-00003-A Notice of Public Condemnation Hearings.

This rule amended former Part 185 of Title 9 NYCRR to establish standards for ascertaining and reporting assessment record billing owner (ARBO) information in connection with public condemnation hearings in accordance with Chapter 450 of the Laws of 2004.

Analysis of the need for the rule: The rule facilitated the implementation of this ARBO notification requirement by providing condemners and assessment officials with greater clarity as to how to identify ARBOs, protecting the interests of affected property owners to the greatest extent practicable, and enabling worthwhile public projects to go forward after full public consideration of their merits.

The notice of proposed rulemaking did not include a regulatory flexibility analysis, a rural area flexibility analysis, or a job impact statement.

Legal basis for the rule: Real Property Tax Law, section 202(1)(q), as added by L.2004, ch 450.

4. RPS-14-05-00004-A State Reimbursement of Expenses of Local Officials in Satisfying Training Requirements.

This rule amended former section 188-2.9(b)(4) of Title 9 of NYCRR to authorize payment of late vouchers if funds are available.

Analysis of the need for the rule: The annual apportionment allowed for reimbursement of expenses related to training is not always sufficient. This rule provides the proration of certain reimbursements if necessary.

The notice of proposed rulemaking did not include a regulatory flexibility analysis, a rural area flexibility analysis, or a job impact statement.

Legal basis for the rule: Real Property Tax Law, sections 202(1)(l); 318(4); 1530(3)(f); and L.2004, ch 53.

RULES ADOPTED IN 2000

1. TAF-11-00-00007-A. Cigarette Tax.

This rule amended Parts 70, 74, 79, 80, and 82 of Title 20 NYCRR to reflect certain statutory changes relating to New York State cigarette excise tax.

Analysis of the need for the rule: The rule reflects the statutory increase in the rate of New York State cigarette excise tax that was effective on March 1, 2000; to provide for commissions allowable to cigarette tax agents based upon the face value of cigarette tax stamps as of March 1, 2000; to effectuate the floor tax on cigarettes and unaffixed stamps in inventory as of the close of business on February 29, 2000; to reflect statutory changes to an agent's presumed cost of doing business; and to reflect such changes in the various regulatory illustrations.

Legal basis for the rule: Tax Law sections 171, subd. First; 475 (not subdivided); and L.1999, ch 1.

2. TAF-31-00-00002-A Returns and Payments of Tax on Alcoholic Beverages.

The rule amends section 60.1(a) of Title 20 NYCRR to allow certain distributors to file annual, rather than monthly, alcoholic beverage tax returns.

Analysis of the need for the rule: The rule allows certain distributors that are micro-breweries or restaurant brewers to file annual, rather than monthly alcoholic beverage tax returns, thereby reducing the filing burden of such distributors and resulting in long-term cost benefits to the department.

Legal basis for the rule: Tax Law sections 171, subd. First; 429(1); and 436 (not subdivided).

3. TAF-48-99-00001-A Excise Tax Stamps.

This rule amended section 75.1(f) of Title 20 NYCRR to implement requirements of the Tobacco Escrow Funds Act (Public Health Law, Article 13-G).

Analysis of the need for the rule: The department was required by the Tobacco Escrow Funds Act (Public Health Law, Article 13-G) to promulgate regulations necessary to ascertain the amounts of State excise tax paid on cigarettes sold within the State, as measured by the number of State excise tax stamps affixed to packages of cigarettes. This rule is necessary for New York to receive its apportioned amount of certain payments made pursuant to the "Master Settlement Agreement" (entered into on November 23, 1998 by leading United States tobacco product manufacturers and forty-six states, including New York.)

Legal basis for the Rule: Tax Law sections 171, subd. First; 475(not subdivided); Public Health Law, section 1399-oo(10); and L.1999, ch 536.

4. RPS-40-99-00008-A Assessment Rolls - License Fees.

This rule amended former subpart 190-3 of Title 9 NYCRR to revise the schedule of annual license fees and to clarify certain liabilities for charges.

Analysis of the need for the rule: The annual fee paid by local government assessing units that use the New York State Real Property System (RPS) software to help defray the cost of the software development, maintenance, documentation and distribution needed to be increased based on enhancements made to the software. In addition, the rule provided for licensing fees to be charged to other users of the RPS software.

The notice of proposed rulemaking did not include a regulatory flexibility analysis, a rural area flexibility analysis, or a job impact statement.

Legal basis for the rule: Real Property Tax Law, section 202(1)(l); State Finance Law, section 97-kk.

5. RPS-48-99-00003-A Residential Assessment Ratios.

This rule amended former subpart 191-3 of Title 9 NYCRR to revise the standard for recomputation of residential assessment ratios.

Analysis of the need for the rule: The previous rule provided that a request for a revised residential assessment ratio (RAR) needed to result in a change of 2% for a new RAR to be established. This amendment reduced the standard from 2% to.01%, providing more accurate measures of the level of assessment of residential property.

The notice of proposed rulemaking did not include a regulatory flexibility analysis, a rural area flexibility analysis, or a job impact statement.

Legal basis for the rule: Real Property Tax Law, sections 202(1)(l), 738 and 1573.

6. RPS-18-00-00008-A Inventories of Physical Characteristics.

This rule amended former sections 190-1.1 and 192-3.2 of Title 9 NYCRR to modify standards for inventories of physical characteristics.

Analysis of the need for the rule: The Real Property Tax Law requires the assessor to ascertain inventory data related to real property located in the assessing unit. This rule modified the requirements to establish a more realistic and workable list of property characteristics that would meet the statutory requirements.

The notice of proposed rulemaking did not include a regulatory flexibility analysis, a rural area flexibility analysis, or a job impact statement.

Legal basis for the rule: Real Property Tax Law, sections 202(1); 500; and 501.

7. TAF-36-00-00003-A Federal Preparer Tax Identification Numbers.

The rule amended section 158.12 of 20 NYCRR relating to individual paid preparers.

Analysis of the need for the rule: This rule extended to individual paid preparers the federal option to use federally assigned Preparer Tax Identification Numbers instead of social security numbers when an individual identifying number of a paid preparer is required on New York State income tax returns that they prepare.

Legal basis for the rule: Tax Law sections 171 subd. First; 658(g)(1) and (2); and 697(a).

8. TAF-48-99-00022-A Verification of Income.

This rule amended section 201.1 of Title 20 NYCRR concerning verification of income of tenants in rent regulated housing.

Analysis of the need for the rule: The rule changed the provisions applicable to information contained in responses by the Department to the Division of Housing and Community Renewal (DHCR) concerning requests for verification of income of certain tenants residing in rent regulated housing, and reflected statutory changes in the related income threshold.

Legal Basis for the rule: Tax Law sections 171, subd. First and 171-b(3)(a) and (b).

9. TAF-16-00-00002-A Trash and Debris Removal Services.

This rule amended Part 541 of 20 NYCRR in relation to trash and debris removal service.

Analysis of the need for the rule: The rule amends Part 541 to authorize contractors to purchase trash and debris removal services exempt from sales tax as purchases for resale when such services are an integral part of maintaining, servicing, or repairing real property.

Legal basis for rule: Tax Law sections 171, subd. First; 1142(1) and (8); and 1250(not subdivided).

Dated: January 20, 2015

# SECURITIES OFFERINGS

## STATE NOTICES

Published pursuant to provisions of General Business Law
[Art. 23-A, § 359-e(2)]

DEALERS; BROKERS

2030 LLC
1180 Avenue of the Americas, New York, NY 10036
*State or country in which incorporated* — New York

Abberton Opportunities Fund Inc.
c/o Intertrust Corp. Serv. (Cayman) Ltd., 190 Elgin Ave., George Town, Grand Cayman, Cayman Islands KY1-9005
*State or country in which incorporated* — Cayman Islands

Abberton Opportunities Fund L.P.
c/o Intertrust Corp. Serv. (Cayman) Ltd., 190 Elgin Ave., George Town, Grand Cayman, Cayman Islands KY1-9005
*Partnership* — Abberton Opportunities Fund GP Inc.

Aethlon Medical, Inc.
9635 Granite Ridge Dr., Suite 100, San Diego, CA 92123
*State or country in which incorporated* — Nevada

Almitas Opportunity Fund LP
4640 Admiralty Way, Suite 500, Marina del Rey, CA 90292
*Partnership* — Almitas Capital LLC

Cantone Asset Management, LLC
c/o Cantone Research, Inc., 766 Shrewsbury Ave., Suite E401, Tinton Falls, NJ 07724
*State or country in which incorporated* — Pennsylvania

Cello Credit Opportunities Domestic Fund, LP
12 E. 49th St., 22nd Fl., New York, NY 10017
*Partnership* — Cello Capital GP, LLC

Cello Credit Opportunities Fund, LTD
c/o BNP Paribas Bank & Trust Cayman Limited, PO Box 10632, Royal Bank House, 3rd Fl., 24 Shedden Rd., Grand Cayman, Cayman Islands KY1-1006
*State or country in which incorporated* — Cayman Islands

Elite Aviation Products, Inc.
1645 Reynolds Ave., Irvine, CA 92614
*State or country in which incorporated* — Delaware

Express Checkout LLC
110 E. 1st St., Apt. 20, New York, NY 10009

FiveW Dealogic LLC
70 E. 55th St., 12th Fl., New York, NY 10022
*State or country in which incorporated* — Delaware

FiveW DiscoverOrg LLC
70 E. 55th St., 12th Fl., New York, NY 10022
*State or country in which incorporated* — Delaware

Harbor Light Securities, LLC
16765 Fish Hawk Blvd. 302, Lithia, FL 33547
*State or country in which incorporated* — North Carolina limited liability company

HBM Cobra India
HBM Companies, Governors Sq., Suite #4-212-2, West Bay Rd., Grand Cayman, Cayman Islands
*State or country in which incorporated* — Cayman Islands

Hudson Housing Tax Credit Fund LXIII LP
630 Fifth Ave., 28th Fl., New York, NY 10111
*Partnership* — Hudson GP LXIII LLC

Hudson Housing Tax Credit Fund LXVI LP
630 Fifth Ave., 28th Fl., New York, NY 10111
*Partnership* — Hudson GP LXVI LLC

Invesco Capital Markets, Inc.
One Parkview Plaza, Oakbrook, IL 60181-5555
*State or country in which incorporated* — Delaware

Investment Managers Series Trust II
235 W. Galena St., Milwaukee, WI 53212
*State or country in which incorporated* — Delaware

J.P. Turner & Company, L.L.C.
One Buckhead Plaza, 3060 Peachtree Rd. NW, Atlanta, GA 30305

Keyversion, Inc.
15260 Ventura Blvd., Suite 665, Sherman Oaks, CA 91403
*State or country in which incorporated* — Delaware

Lone Star Residential Mortgage Fund I (U.S.), L.P.
2711 N. Haskell Ave., Suite 1700, Dallas, TX 75204
*Partnership* — Lone Star Residential Mortgage Partners I, L.P.

Lone Star Residential Mortgage Fund I Holdings (Bermuda), L.P.
Washington Mall, Suite 304, Seven Reid St., Hamilton, Bermuda HM 11
*Partnership* — Lone Star Residential Mortgage Partners I, L.P.

Meelo Venture LLC
One Landmark Sq., Suite 620, Stamford, CT 06901
*Partnership* — Centripetal Management, LLC

MP Holdco LLC
c/o Broad Sky Partners LLC, 909 Third Ave., New York, NY 10022

New Harbor Capital Fund-A, LP
10 S. Wacker Dr., Suite 3175, Chicago, IL 60606
*Partnership* — New Harbor Capital Fund GP, LP

Pierpont TPII LLC
1816 - 11th Ave., Unit C, Seattle, WA 98122
*State or country in which incorporated* — Delaware

Scioinspire Holdings, Inc.
433 S. Main St., Suite 203, West Hartford, CT 06110
*State or country in which incorporated* — Cayman Islands

Sliced Event Driven Fund, LP
88 1st St., Suite 515, San Francisco, CA 94105
*Partnership* — Sliced Investing Advisers, LLC

Thisavros Partners, LP
P.O. Box 1941, 6225 S. Moose Trail Dr., Wilson, WY 83014
*Partnership* — Thisavros Management LLC

# MISCELLANEOUS NOTICES/HEARINGS

## Notice of Abandoned Property Received by the State Comptroller

Pursuant to provisions of the Abandoned Property Law and related laws, the Office of the State Comptroller receives unclaimed monies and other property deemed abandoned. A list of the names and last known addresses of the entitled owners of this abandoned property is maintained by the office in accordance with Section 1401 of the Abandoned Property Law. Interested parties may inquire if they appear on the Abandoned Property Listing by contacting the Office of Unclaimed Funds, Monday through Friday from 8:00 a.m. to 4:30 p.m., at:

1-800-221-9311
or visit our web site at:
www.osc.state.ny.us

Claims for abandoned property must be filed with the New York State Comptroller's Office of Unclaimed Funds as provided in Section 1406 of the Abandoned Property Law. For further information contact: Office of the State Comptroller, Office of Unclaimed Funds, 110 State St., Albany, NY 12236.

## PUBLIC NOTICE

### Department of Civil Service

PURSUANT to the Open Meetings Law, the New York State Civil Service Commission hereby gives public notice of the following:

Please take notice that the regular monthly meeting of the State Civil Service Commission for February 2015 will be conducted on February 10 and February 11 commencing at 10:00 a.m. This meeting will be conducted at NYS Media Services Center, Suite 146, South Concourse, Empire State Plaza, Albany, NY.

*For further information, contact:* Office of Commission Operations, Department of Civil Service, Empire State Plaza, Agency Bldg. 1, Albany, NY 12239, (518) 473-6598

## PUBLIC NOTICE

### Columbia County Solid Waste Management

Pursuant to General Municipal Law § 120-w, the Columbia County Solid Waste Management hereby gives notice of the following:

The Columbia County Solid Waste Management is issuing a Final Request for Proposals (RFP) for Transportation and Disposal of solid waste from the County's Greenport Transfer Station, beginning June 1, 2015. The selected Contractor(s) will be required to furnish all labor, materials and equipment as detailed in the RFP.

Copies of the RFP may be obtained at the office of Columbia County Solid Waste Management from 8:00 a.m. to 4:00 p.m. beginning February 9, 2015.

Responses to the RFP will be received at the office of Columbia County Central Service, 401 State Street, Hudson, New York 12534 until 3:00 p.m. March 9, 2015.

*For further information, contact:* Jolene D. Race, Director, Columbia County Solid Waste Management, 401 State St., Hudson, NY 12534, (518) 828-2737, or e-mail: jolene.race@columbiacountyny.com

## PUBLIC NOTICE

### Deferred Compensation Board

Pursuant to the provisions of 9 NYCRR, Section 9003.2 authorized by Section 5 of the State Finance Law, the New York State Deferred Compensation Board, beginning Wednesday, January 28, 2015 is soliciting proposals from Administrative Service Agencies and Financial Organizations to provide Administrative Services, Communication Services and Financial Guidance/Advice for the Deferred Compensation Plan for Employees of the State of New York and Other Participating Public Jurisdictions, a plan meeting the requirements of Section 457 of the Internal Revenue Code and Section 5 of the State Finance Law, including all rules and regulations issued pursuant thereto. A copy of the request for proposals may be obtained from Jamie McAllister, Callan Associates, 120 N. LaSalle St., Suite 2400, Chicago, IL, 60602, (312) 346-3536, e-mail: mcallister@callan.com. All proposals must be received electronically by Callan Associates no later than 5pm CT on Friday, March 6, 2015. Additionally, a hard copy must be sent to Sharon Lukacs no later than 5pm EST on Tuesday, March 10, 2015.

## PUBLIC NOTICE

### Department of Health

Pursuant to 42 CFR Section 447.205, the Department of Health hereby gives public notice of the following:

The Department of Health proposes to amend the Title XIX (Medicaid) State Plan for non-institutional services related to health homes. The following significant changes are proposed:

Effective on or after October 1, 2015, the Commissioner of Health, in consultation with the Commissioners of the Office of Mental Health (OMH); the Office of Alcoholism and Substance Abuse Services (OASAS); the Office of Children and Family Services (OCFS); and the State Education Department (SED), will amend the State Plan for Health Home services to reflect the prioritization and phase-in of children for enrollment in Health Homes. Proposed changes consist of amending the eligibility criteria to include trauma at risk for another condition; reflect the use of the Child and Adolescent Needs and Strengths assessment tool modified for New York State (CANS-NY); and to establish legacy rates as may be required for existing children's care management programs that transition to Health Home care management services.

The public is invited to review and comment on this proposed State Plan Amendment. Copies of which will be available for public review on the Department's website at http://www.health.ny.gov/regulations/state_plans/status.

Copies of the proposed State Plan Amendments will be on file in each local (county) social services district and available for public review.

For the New York City district, copies will be available at the following places:

New York County
250 Church Street
New York, New York 10018
Queens County, Queens Center
3220 Northern Boulevard
Long Island City, New York 11101

Kings County, Fulton Center
114 Willoughby Street
Brooklyn, New York 11201

Bronx County, Tremont Center
1916 Monterey Avenue
Bronx, New York 10457

Richmond County, Richmond Center
95 Central Avenue, St. George
Staten Island, New York 10301

*For further information and to review and comment, please contact:* Department of Health, Bureau of Federal Relations & Provider Assessments, 99 Washington Ave. – One Commerce Plaza, Suite 1460, Albany, NY 12210, or e-mail: spa__inquiries@health.ny.gov

## PUBLIC NOTICE

### Department of Health

Pursuant to 42 CFR Section 447.205, the Department of Health hereby gives public notice of the following:

The Department of Health proposes to amend the Title XIX (Medicaid) State Plan for institutional services related to temporary rate adjustments to general hospitals that are undergoing a closure, merger, consolidation, acquisition or restructuring of themselves or other health care providers. These payments are currently authorized by current State statutory and regulatory provisions. The following significant and clarifying changes are as follows:

Additional temporary rate adjustments have been reviewed and approved for Oswego Hospital with aggregate payment amounts totaling up to $1,000,000 for the period February 1, 2015 through March 31, 2015; $1,000,000 for the period April 1, 2015 through March 31, 2016; $750,000 for the period April 1, 2016 through March 31, 2017; and $250,000 for the period April 1, 2017 through June 30, 2017.

The public is invited to review and comment on this proposed State Plan Amendment. Copies of which will be available for public review on the Department's website at http://www.health.ny.gov/regulations/state__plans/status.

Copies of the proposed State Plan Amendments will be on file in each local (county) social services district and available for public review.

For the New York City district, copies will also be available at the following places:

New York County
250 Church Street
New York, New York 10018

Queens County, Queens Center
3220 Northern Boulevard
Long Island City, New York 11101

Kings County, Fulton Center
114 Willoughby Street
Brooklyn, New York 11201

Bronx County, Tremont Center
1916 Monterey Avenue
Bronx, New York 10457

Richmond County, Richmond Center
95 Central Avenue, St. George
Staten Island, New York 10301

*For further information and to review and comment, please contact:* Department of Health, Bureau of Federal Relations & Provider Assessments, 99 Washington Ave. – One Commerce Plaza, Suite 1460, Albany, NY 12210, e-mail: spa__inquiries@health.ny.gov

# COURT NOTICES

## AMENDMENT OF RULE

### Uniform Civil Rules for the Supreme and County Courts

Pursuant to the authority vested in me, and upon consultation with and approval by the Administrative Board of the Courts, I hereby amend, effective January 5, 2015, section 202.6(b) of the Uniform Civil Rules for the Supreme and County Courts, relating to a Request for Judicial Intervention in consumer credit matters in Supreme Court, to read as follows:

Section 202.6 Request for judicial intervention.

* * *

(b) A request for judicial intervention shall be filed, without fee, for any application to a court not filed in an action or proceeding, as well as for a petition for the sale or finance of religious/not-for-profit property, an application for change of name, a habeas corpus proceeding where the movant is institutionalized, an application under CPLR 3102(e) for court assistance in obtaining disclosure in an action pending in another state, a retention proceeding authorized by article 9 of the Mental Hygiene Law, a proceeding authorized by article 10 of the Mental Hygiene Law, an appeal to a county court of a civil case brought in a court of limited jurisdiction, an application to vacate a judgement on account of bankruptcy, [an application for a default judgment in a consumer credit matter pursuant to section 202.27-a of this Part,] a motion for an order authorizing emergency surgery, or within the City of New York, an uncontested action for a judgment for annulment, divorce or separation commenced pursuant to article 9, 10 or 11 of the Domestic Relations Law.

* * *

## AMENDMENT OF RULE

### Uniform Rules for the Supreme and County Courts

Pursuant to the authority vested in me, and with the advice and consent of the Administrative Board of the Courts, I hereby adopt Rule 11-d of section 202.70(g) of the Uniform Rules for the Supreme and County Courts (Rules of Practice for the Commercial Division) and amend Rules 8(b) and 11(c) of those Rules of Practice, applicable to all cases filed in the Commercial Division on and after April 1, 2015, to read as follows:

*Rule 11-d. Limitations on Depositions.*

*(a) Unless otherwise stipulated to by the parties or ordered by the court:*

*(1) the number of depositions taken by plaintiffs, or by defendants, or by third-party defendants, shall be limited to 10; and*

*(2) depositions shall be limited to 7 hours per deponent.*

*(b) Notwithstanding subsection (a)(1) of this Rule, the propriety of and timing for depositions of non-parties shall be subject to any restrictions imposed by applicable law.*

*(c) For the purposes of subsection (a)(1) of this Rule, the deposition of an entity pursuant to CPLR 3106(d) shall be treated as a single deposition even though more than one person may be designated to testify on the entity's behalf.*

*(d) For the purposes of this Rule, each deposition of an officer, director, principal or employee of an entity who is also a fact witness, as opposed to an entity representative pursuant to CPLR 3106(d), shall constitute a separate deposition.*

*(e) For good cause shown, the court may alter the limits on the number of depositions or the duration of an examination.*

*(f) Nothing in this Rule shall be construed to alter the right of any party to seek any relief that it deems appropriate under the CPLR or other applicable law.*

* * *

Rule 8. Consultation prior to Preliminary and Compliance Conferences.

* * *

(b) Prior to the preliminary conference, counsel shall confer with regard to anticipated electronic discovery issues. Such issues shall be addressed with the court at the preliminary conference and shall include but not be limited to (i) identification of potentially relevant types or categories of electronically stored information (''ESI'') and the relevant time frame; (ii) disclosure of the applications and manner in which the ESI is maintained; (iii) identification of potentially relevant sources of ESI and whether the ESI is reasonably accessible; (iv) implementation of a preservation plan for potentially relevant ESI; (v) identification of the individual(s) responsible for preservation of ESI; (vi) the scope, extent, order, and form of production; (vii) identification, redaction, labeling, and logging of privileged or confidential ESI; (viii) claw-back or other provisions for privileged or protected ESI; (ix) the scope or method for searching and reviewing ESI; (x) the anticipated cost and burden of data recovery and proposed initial allocation of such costs; [and] (xi) designation of experts*; and (xii) the need to vary the presumptive number or duration of depositions set forth in Rule 11-d.*

* * *

Rule 11. Discovery.

* * *

(c) The preliminary conference order may provide for such limitations of interrogatories and other discovery as may be necessary to the circumstances of the case. *Additionally, the court should consider the appropriateness of altering prospectively the presumptive limitations on depositions set forth in Rule 11-d.*

* * *

# FINANCIAL
# REPORTS

STATE OF NEW YORK
DEPARTMENT OF TAXATION & FINANCE
DEPOSITORIES FOR THE FUNDS OF THE STATE OF NEW YORK

**MONTH END DECEMBER 31, 2014**

Prepared By:
DIVISION OF THE TREASURY
Investments, Cash Management and Accounting Operations

THOMAS H. MATTOX
COMMISSIONER
DEPARTMENT OF TAXATION AND FINANCE

AIDA M. BREWER
DEPUTY COMMISSIONER & TREASURER

**ACCOUNTS HELD IN JOINT CUSTODY BY THE COMMISSIONER OF TAXATION FINANCE AND THE NEW YORK STATE COMPTROLLER**

| | | |
|---|---|---|
| Exchange Account | Key Bank | 0.00 |
| Common Retirement Administrative Costs | Bank of America, N.A. | 2,554.62 |
| Unemployment Insurance Master Concentration Account | JPMorgan Chase Bank, N.A. | 12,797,978.84 |
| Occupational Training Account Master Concentration Account | JPMorgan Chase Bank, N.A. | 125,434.57 |
| PIT Special Refund Account | JPMorgan Chase Bank, N.A. | (159,429,075.20) |
| PIT Refund Debit Card Services | Bank of America, N.A. | 0.00 |
| Unemployment Insurance Exchange Account | JPMorgan Chase Bank, N.A. | 0.00 |
| General Checking | Key Bank | 2,948,870,680.34 |
| Direct Deposit Account | Wells Fargo | 9,039.29 |
| **TOTAL** | | (146,494,067.88) |
| **01000 - EXECUTIVE CHAMBER** | | |
| Executive Chamber Advance Account | Key Bank | No report received |
| **01010 - DIVISION OF BUDGET** | | |
| Advance Account | Bank of America, N.A. | 7,761.87 |
| **01020 - DIVISION OF PAROLE** | | |
| Asset Forfeiture Special Rev Acct | Bank of America, N.A. | No report received |
| Division Of Parole Petty Cash Account | Key Bank | No report received |
| Division Of Parole Regional Advance Account | Key Bank | No report received |
| Emergency Support (Bronx) | JPMorgan Chase Bank, N.A. | No report received |
| Emergency Support Account | Key Bank | No report received |
| Emergency Support Fund (Albany) | Trustco Bank | No report received |
| Emergency Support Fund (Binghamton) | Citizens Bank | No report received |
| Emergency Support Fund (Buffalo) | Bank of America, N.A. | No report received |
| Emergency Support Fund (Elmira) | Chemung Canal Trust | No report received |
| Emergency Support Fund (Manhattan 1) | JPMorgan Chase Bank, N.A. | No report received |
| Emergency Support Fund (Nassau) | Bank of America, N.A. | No report received |
| Emergency Support Fund (Poughkeepsie) | JPMorgan Chase Bank, N.A. | No report received |
| Emergency Support Fund (Queens 1) | HSBC | No report received |
| Emergency Support Fund (Queens 2) | HSBC | No report received |
| Emergency Support Fund (Rochester 1) | M&T Bank | No report received |
| Emergency Support Fund (Syracuse) | Key Bank | No report received |
| Manhattan V - Emergency Support | JPMorgan Chase Bank, N.A. | No report received |
| Northeast Emergency Support Fund | Key Bank | No report received |
| Parole Supervision Fee | Key Bank | No report received |
| Parole Supervision Fee | Wachovia Bank NA | No report received |
| Rochester II Emergency Support Fund | Bank of America, N.A. | No report received |
| Subpoena Fund Account | Key Bank | No report received |
| Utica Emergency Support Fund | Bank of Utica | No report received |
| **01030 - DIVISION OF ALCOHOLIC BEVERAGE CONTROL** | | |
| Albany | | |
| SLA Investigations Account | Key Bank | 1,960.38 |
| **01050 - OFFICE OF GENERAL SERVICES** | | |
| Exec Mansion Official Function | Key Bank | No report received |
| New York State Office Of General Services | Citizens Bank | No report received |
| NY ISO Account | Key Bank | No report received |
| SNY Office of General Services | JPMorgan Chase Bank, N.A. | No report received |
| State of New York OGS Escrow II | Key Bank | No report received |
| State of New York OGS Petty Cash | Key Bank | No report received |
| State of New Your OGS Escrow | Key Bank | No report received |
| State of NY Office Of General Services | Key Bank | No report received |
| **01060 - DIVISION OF STATE POLICE** | | |
| CNET Confidential Account | Key Bank | 8,840.83 |
| Div Headquarters - Petty Cash | Key Bank | 1,874.84 |
| Div HQ Travel Advance | Key Bank | 0.00 |
| Key Advantage Account | Key Bank | 77,736.35 |
| Manhattan Office-confidential | JPMorgan Chase Bank, N.A. | 500.00 |
| NYS Police Special Account | Key Bank | 1,469,426.97 |
| SIU Confidential Fund Account | Key Bank | 4,100.76 |
| Special Fund | Key Bank | 10,902.64 |
| State Police Receipts Account | Bank of America, N.A. | No report received |
| Troop A Batavia - Petty Cash | Bank of America, N.A. | 1,000.00 |
| Troop A Batavia - Travel Advance | Bank of America, N.A. | 0.00 |
| Troop A Batavia-Confidential | Bank of America, N.A. | 1,900.50 |
| Troop B Confidential | Key Bank | 8,900.00 |
| Troop B Petty Cash | Community Bank | 880.00 |
| Troop B Travel | Community Bank | 0.00 |
| Troop C Advance Travel | NBT Bank | 0.00 |
| Troop C Confidential Fund | NBT Bank | 1,800.00 |

| | | |
|---|---|---|
| Troop C Petty Cash | NBT Bank | 1,000.00 |
| Troop D Oneida - Confidential | Alliance Bank | 1,500.00 |
| Troop D Oneida Petty Cash | Alliance Bank | 1,000.00 |
| Troop D Oneida-Travel Advance | Alliance Bank | 0.00 |
| Troop E Canandaigua Confidential | Canandaigua National Bank | 1,477.12 |
| Troop E Canandaigua Travel Adv | Canandaigua National Bank | 0.00 |
| Troop E Petty Cash | Canandaigua National Bank | 716.12 |
| Troop F Confidential | JPMorgan Chase Bank, N.A. | 0.00 |
| Troop F Petty Cash | JPMorgan Chase Bank, N.A. | 1,000.00 |
| Troop F Travel Advance | JPMorgan Chase Bank, N.A. | 0.00 |
| Troop G Loudonville Conf | Bank of America, N.A. | 2,343.93 |
| Troop G Loudonville Travel Adv | Bank of America, N.A. | 0.00 |
| Troop G Petty Cash | Bank of America, N.A. | 414.00 |
| Troop K Petty Cash | Bank of Millbrook | 832.00 |
| Troop K Poughkeepsie Travel Adv | Bank of Millbrook | 0.00 |
| Troop K Poughkeepsie-Confidential | Bank of Millbrook | 973.78 |
| Troop L Advance For Travel | Bank of America, N.A. | 0.00 |
| Troop L Confidential Fund | Bank of America, N.A. | 2,500.00 |
| Troop L Petty Cash | Bank of America, N.A. | 962.00 |
| **01070 - DIVISION OF MILITARY & NAVAL AFFAIRS** | | |
| Advance For Travel | Key Bank | No report received |
| SNY Camp Smith Billeting Fund | JPMorgan Chase Bank, N.A. | No report received |
| **01077 - OFFICE OF HOMELAND SECURITY** | | |
| Academy Of Fire Science | Chemung Canal Trust | No report received |
| **01080 - DIVISION OF HOUSING & COMMUNITY RENEWAL** | | |
| Albany Office Of Financial Administration | | |
| Maximum Base Rent Fee Account | JPMorgan Chase Bank, N.A. | No report received |
| Petty Cash Account | Key Bank | No report received |
| Revenue Account | JPMorgan Chase Bank, N.A. | No report received |
| Travel Advance | JPMorgan Chase Bank, N.A. | No report received |
| **01090 - DIVISION OF HUMAN RIGHTS** | | |
| Petty Cash Fund Account | JPMorgan Chase Bank, N.A. | No report received |
| **01150 - OFFICE OF EMPLOYEE RELATIONS** | | |
| 1986 Panel Administration Esc | Key Bank | 9,230.07 |
| GOER/LMC Advance Account | Key Bank | 2,643.51 |
| NYS Dependent Care Acct | Key Bank | 4,283,425.11 |
| **01160 - JUSTICE CENTER FOR THE PROTECTION OF PEOPLE WITH SPECIAL NEEDS** | | |
| Agency Advance Account | Key Bank | 1,617.67 |
| **01300 - ADIRONDACK PARK AGENCY** | | |
| General Fund | Community Bank | 2.00 |
| Petty Cash | Community Bank | 3,954.08 |
| **01400 - CRIME VICTIMS COMPENSATION BOARD** | | |
| Crime Victims | JPMorgan Chase Bank, N.A. | 119,339.00 |
| Emergency Award Account | M&T Bank | 19,124.50 |
| Emergency Claims | Key Bank | 10,874.73 |
| Frances Featherstones | Key Bank | 185.52 |
| Petty Cash Account | Key Bank | 1,500.00 |
| REST/SUBROG Escrow Account | Key Bank | 855.85 |
| **01490 - DIVISION OF CRIMINAL JUSTICE SERVICES** | | |
| Advance Account | Bank of America, N.A. | 4,639.94 |
| FBI Fee Account | Bank of America, N.A. | 7,165.73 |
| Fingerprint Fee Account | Bank of America, N.A. | 41,209.75 |
| Gun Tips Reward Account | JPMorgan Chase Bank, N.A. | 9,998.50 |
| **01510 - NYS RACING & WAGERING BOARD** | | |
| Charitiable Gaming Account | Key Bank | 0.00 |
| Fingerprint Concentration Account | Key Bank | 45,672.05 |
| License Revenue Account | Bank of America, N.A. | 31,639.39 |
| Petty Cash Account | Key Bank | 11,760.05 |
| Racing Refund Account | Key Bank | 657,596.30 |
| **01530 - STATE COMMISSION OF CORRECTION** | | |
| Advance Account | Bank of America, N.A. | 2,000.00 |
| **01540 - STATE BOARD OF ELECTIONS** | | |
| Revenue Account | Key Bank | No report received |
| **01620 - OFFICE FOR PREVENTION OF DOMESTIC VIOLENCE** | | |
| NYS Prevention Domestic Violence | Bank of America, N.A. | No report received |
| **02000 - OFFICE OF THE STATE COMPTROLLER** | | |
| Admissions | Bank of America, N.A. | 44,006.24 |
| Alcoholic Bev Control License | Bank of America, N.A. | 0.00 |
| Alcoholic Beverage Container - NYC | Citibank | 0.00 |
| Alcoholic Beverage Container License | M&T Bank | 110,290.36 |
| Alcoholic Beverage Tax | Bank of America, N.A. | 1,328,923.87 |
| Assessments Receivable | JPMorgan Chase Bank, N.A. | 13,285,859.78 |
| Beverage Container | JPMorgan Chase Bank, N.A. | 14,723.58 |
| Boxing And Wrestling Tax | Bank of America, N.A. | 83,018.76 |

| | | |
|---|---|---|
| Capital Gains Tax On Real Estate | Bank of America, N.A. | 0.00 |
| Cigarette Tax | Bank of America, N.A. | 0.00 |
| Cigarette Tax Tobacco Products | Bank of America, N.A. | 62,605.50 |
| Comptroller's Refund Account | JPMorgan Chase Bank, N.A. | 0.00 |
| Corporation Tax - Art 9 | Bank of America, N.A. | 1,020,146.10 |
| Corporation Tax - Coupon Acct. | JPMorgan Chase Bank, N.A. | 2,212,458.17 |
| Estate Tax | Bank of America, N.A. | (289,765.00) |
| Estate Tax Article 10 Section 241 | Key Bank | 0.01 |
| Estate Tax-Lockbox | JPMorgan Chase Bank, N.A. | 0.00 |
| Estimated Tax | JPMorgan Chase Bank, N.A. | 25,817,569.73 |
| Exchange Account | Bank of America, N.A. | 85.75 |
| Gift Tax | Bank of America, N.A. | 1,978.00 |
| Hazardous Waste | Key Bank | 9,527.54 |
| Highway Use - Permits & Reg. | Bank of America, N.A. | 42,826.53 |
| Highway Use - Truck Mileage | Bank of America, N.A. | 0.00 |
| Highway Use-Permits & Reg. (EFT) | JPMorgan Chase Bank, N.A. | 10,790.00 |
| Hudson River-Black River | Bank of America, N.A. | 67,654.17 |
| Hudson River-Black River | Community Bank | 95,743.68 |
| IFTA-Decal/Permit Fee Acct. | Bank of America, N.A. | 99,177.34 |
| IFTA-Fuel Use | Bank of America, N.A. | 95,970.76 |
| Income Tax | Bank of America, N.A. | 0.00 |
| Income/Withholding Tax (EFT) | JPMorgan Chase Bank, N.A. | 42,500,429.55 |
| Justice Court | Key Bank | 1,121,594.31 |
| MCTD Medallion Taxicab Ride | Bank of America, N.A. | 0.00 |
| Metropolitan Commuter Mobility Tax | JPMorgan Chase Bank, N.A. | 9,732,185.06 |
| NYC General Debt Service | Bank of America, N.A. | 109,096.30 |
| NYC General Debt Service-RAN | JPMorgan Chase Bank, N.A. | 0.00 |
| NYS Share Of Cigarette Floor Tax | Bank of America, N.A. | 0.00 |
| Ogdensburg Bridge & Port | Community Bank | 14,199.76 |
| Payroll Revolving Exchange Acct. | Key Bank | 162,580.20 |
| Petroleum (EFT) | JPMorgan Chase Bank, N.A. | 768,573.34 |
| Petroleum Products Tax | Bank of America, N.A. | 23,979,267.71 |
| Port Of Oswego | Key Bank | (230,362.91) |
| Real Estate Transfer Tax | Key Bank | 145,213.75 |
| Revenue Holding | HSBC | 0.00 |
| Sales Tax | Bank of America, N.A. | (70,751.11) |
| Sales Tax | JPMorgan Chase Bank, N.A. | 1,164,837.77 |
| Sales Tax/Motor Fuel (EFT) | JPMorgan Chase Bank, N.A. | 1,483,293.13 |
| SUNY Concentration | HSBC | 125,000,000.00 |
| Troy Debt Service Reserve Fund | Bank of America, N.A. | 5,037,200.00 |
| Uncashed Winning Tickets | Bank of America, N.A. | 45,867.53 |
| Unclaimed Funds | JPMorgan Chase Bank, N.A. | 284,899.21 |
| Unclaimed Funds - 2 | JPMorgan Chase Bank, N.A. | 38,779.89 |
| Wireless Surcharge | Bank of America, N.A. | 0.00 |
| Withholding Tax | JPMorgan Chase Bank, N.A. | 38,074,473.96 |
| Cash Advance Accounts | | |
| Advance For Travel Account | Key Bank | 53,051.30 |
| ERS Petty Cash Acct | Key Bank | 5,100.00 |
| Petty Cash Account | Key Bank | 2,633.59 |
| Common Retirement Fund | | |
| Common Retirement Fund - Depository | JPMorgan Chase Bank, N.A. | 2,978.97 |
| NYS Common Retirement Fund | JPMorgan Chase Bank, N.A. | 301,623.79 |
| Employees Retirement System | | |
| Employees Retirement System - EFT | JPMorgan Chase Bank, N.A. | 0.00 |
| Employees Retirement System - General | JPMorgan Chase Bank, N.A. | 0.00 |
| Employees Retirement System - Pension | JPMorgan Chase Bank, N.A. | 0.00 |
| Group Term Life | | |
| Group Term Life - General | JPMorgan Chase Bank, N.A. | 0.00 |
| Miscellaneous | | |
| Fee Account | Key Bank | 101.25 |
| Municipal Assistance Corporation Accounts | | |
| City Of Troy - MAC | JPMorgan Chase Bank, N.A. | 0.00 |
| Police and Fire | | |
| Retirement Police & Firemen's - EFT | JPMorgan Chase Bank, N.A. | 0.00 |
| Retirement Police & Firemen's - General | JPMorgan Chase Bank, N.A. | 0.00 |
| Retirement Police & Firemen's - Pension | JPMorgan Chase Bank, N.A. | 0.00 |
| **03000 - DEPARTMENT OF LAW** | | |
| Albany Filing Fees Account | Key Bank | No report received |
| Albany Petty Cash | Bank of America, N.A. | No report received |
| Albany Revenue Account | Key Bank | No report received |
| Assessment Account | JPMorgan Chase Bank, N.A. | No report received |
| Attorney General Account | Key Bank | No report received |
| Civil Recoveries Account | Key Bank | No report received |
| Dept Of Law Controlled Disb | M&T Bank | No report received |

| | | |
|---|---|---|
| Marie Roberts | JPMorgan Chase Bank, N.A. | No report received |
| NYC Filing Fees Account | JPMorgan Chase Bank, N.A. | No report received |
| NYC Petty Cash Account | JPMorgan Chase Bank, N.A. | No report received |
| NYC Revenue Account | JPMorgan Chase Bank, N.A. | No report received |
| Restitution Account | M&T Bank | No report received |
| Special Account | Key Bank | No report received |
| US Justice Dept - Shared Forfeiture | Key Bank | No report received |
| US Treas Dept - Shared Forfeiture | Key Bank | No report received |
| **03010 - OFFICE OF THE ATTORNEY GENERAL** | | |
| OCTF - Confidential Fund Checking | JPMorgan Chase Bank, N.A. | No report received |
| OCTF - Confidential Fund Checking | JPMorgan Chase Bank, N.A. | No report received |
| **03020 - MEDICAID FRAUD CONTROL** | | |
| dept atty gen vs john doe | First Niagara Bank | 49,630,062.59 |
| National Global Settlement | JPMorgan Chase Bank, N.A. | 12,102,544.47 |
| NYS Department Of Law Confidential Account | JPMorgan Chase Bank, N.A. | 36,950.00 |
| NYS Department of Law Petty Cash Account | JPMorgan Chase Bank, N.A. | 4,689.19 |
| **04020 - NYS ASSEMBLY** | | |
| Advance For Travel | Bank of America, N.A. | No report received |
| Petty Cash Account Dist Off | Bank of America, N.A. | No report received |
| Petty Cash New York City | JPMorgan Chase Bank, N.A. | No report received |
| Public Information Office | Key Bank | No report received |
| **04030 - ASSEMBLY WAYS & MEANS COMMITTEE** | | |
| Advance For Travel | Key Bank | No report received |
| Petty Cash | Key Bank | No report received |
| **04040 - LEGISLATIVE BILL DRAFTING COMMISSION** | | |
| NY LBDC - Legislative Computer Services Fund | Key Bank | 41,674.42 |
| NYS Leg Bill Drafting Comm-Petty Cash Acct | Key Bank | 3,521.40 |
| **04250 - REAPPORTIONMENT** | | |
| NYS Taskforce On Demo Res & Reapp | JPMorgan Chase Bank, N.A. | No report received |
| **05000 - OFFICE OF COURT ADMINISTRATION** | | |
| Attorney Registration Fees - Revenue | JPMorgan Chase Bank, N.A. | 3,762,618.83 |
| Criminal Records Search Acct - Revenue | JPMorgan Chase Bank, N.A. | 7,779,233.79 |
| Finger Print Account | JPMorgan Chase Bank, N.A. | 6,000.00 |
| Petty Cash Acct | JPMorgan Chase Bank, N.A. | 100.00 |
| **05005 - OCA OFFICE OF BUDGET & FINANCE** | | |
| Petty Cash Account | Key Bank | No report received |
| **05008 - LAWYERS FUND FOR CLIENT PROTECTION** | | |
| Client Security Fund - Bail | Key Bank | No report received |
| Lawyers Fund For Client Protection - Bail | Key Bank | No report received |
| Petty Cash | Key Bank | No report received |
| **05012 - MENTAL HYGIENE LEGAL SERVICES - 2ND JUDICIAL DEPARTMENT** | | |
| Mental Hygiene Sec Dept Petty Cash | Bank of America, N.A. | 732.93 |
| **05023 - COMMISSION ON PROFESSIONAL STANDARDS - 3RD JUDICIAL DEPARTMENT** | | |
| Comm On Prof Stands 3rd Jud Dept | M&T Bank | 571.80 |
| **05071 - COURT OF APPEALS** | | |
| Chief Judge Advance | Key Bank | 4,960.44 |
| Clerk Of The Court Of Appeals | Key Bank | 6,082.63 |
| **05072 - STATE BOARD OF LAW EXAMINERS** | | |
| State Board Of Law Examiners Fee | Key Bank | 469,830.00 |
| **05081 - APPELLATE DIVISION - 1ST JUDICIAL DEPARTMENT** | | |
| 1st Appellate Division Supreme Ct | JPMorgan Chase Bank, N.A. | 66,312.90 |
| 1st Jud Dept Petty Cash Appellate | JPMorgan Chase Bank, N.A. | 510.17 |
| **05082 - APPELLATE DIVISION - 2ND JUDICIAL DEPARTMENT** | | |
| Appellate Div 2nd Dept Revenue | JPMorgan Chase Bank, N.A. | 99,109.00 |
| **05083 - APPELLATE DIVISION - 3RD JUDICIAL DEPARTMENT** | | |
| Third Dept Civil Fees Acct - Revenue | Key Bank | No report received |
| **05084 - APPELLATE DIVISION - 4TH JUDICIAL DEPARTMENT** | | |
| 4th Dept Appellate Div Civil Fees - Revenue | JPMorgan Chase Bank, N.A. | 19,901.88 |
| **05090 - COURT OF CLAIMS** | | |
| Court Of Claims Revenue Account | Key Bank | 6,571.50 |
| **05111 - 10TH JUDICIAL DISTRICT NASSAU COUNTY ADMINISTRATION** | | |
| Glen Cove City Court | | |
| Glen Cove City Court - Bail | Bank of America, N.A. | 161,970.61 |
| Glen Cove Court Revenue | Bank of America, N.A. | 64,030.25 |
| Long Beach City - Nassau | | |
| City Court Of Long Beach - Bail | Bank of America, N.A. | 152,963.03 |
| City Court Of Long Beach - Revenue | Bank of America, N.A. | 64,357.01 |
| Nassau Co Family | | |
| Nassau Co Family Court Bail | Citibank | 0.00 |
| Nassau County Court | | |
| Nassau County Assessment | Citibank | 11,042.05 |
| Nassau County Bail | Citibank | 0.00 |
| Nassau District Court - Civil | | |
| Nassau County Dist Ct - Civil Revenue | Bank of America, N.A. | 50,917.54 |

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| Nassau District Court - Criminal | | |
| Nassau Dist Ct Criminal Revenue | Bank of America, N.A. | 259,502.48 |
| Nassau Dist Ct Criminal Trust Acct - Criminal Bail | Bank of America, N.A. | 250.00 |
| Nassau Surrogate | | |
| Nassau County Surrogate Court - Revenue | Citibank | 130,818.06 |
| **05112 - 10TH JUDICIAL DISTRICT SUFFOLK COUNTY ADMINISTRATION** | | |
| Suffolk County Court | | |
| Suffolk County Court - Court Fund | Suffolk County National | 42,553.00 |
| Suffolk County Surrogate | | |
| Surrogate Court Of Suffolk County | Suffolk County National | 17,264.75 |
| Suffolk District Court Civil Fees | | |
| Suffolk County District Court Civil Fees | Citibank | 385,311.46 |
| Suffolk District Court Criminal Fines | | |
| Suffolk County District Court Criminal Fines | Citibank | 319,655.26 |
| Suffolk District Court Trust Acct | | |
| Suffolk County District Court Trust Account | Citibank | 30,822.21 |
| **05210 - NYC-CIVIL COURT** | | |
| Bronx Civil Court - Civil | | |
| Bronx Civil Court - Revenue | JPMorgan Chase Bank, N.A. | 350,100.20 |
| Harlem Community Justice Court | | |
| Harlem Community Justice - Revenue Account | JPMorgan Chase Bank, N.A. | 8,520.02 |
| Kings Civil Court - Civil | | |
| Kings Civil Court - Civil Revenue | HSBC | 448,266.18 |
| New York Civil Court - Civil | | |
| New York Civil Court Revenue Acct | JPMorgan Chase Bank, N.A. | 244,137.24 |
| Queens Civil Court - Civil | | |
| Queens Civil - Revenue | JPMorgan Chase Bank, N.A. | 288,520.81 |
| Richmond Civil Court - Civil | | |
| Richmond Civil Ct Revenue Acct | JPMorgan Chase Bank, N.A. | 76,060.66 |
| **05215 - NYC-CRIMINAL COURT** | | |
| Kings Criminal Court | Citibank | No report received |
| Bronx Criminal Court- Criminal Court | | |
| Bronx Criminal Division- Criminal Bail | JPMorgan Chase Bank, N.A. | No report received |
| Bronx Criminal Court- Criminal Court | | |
| Bronx Criminal Division- Criminal Revenue | JPMorgan Chase Bank, N.A. | No report received |
| New York County Criminal Court | | |
| New York Criminal Court | JPMorgan Chase Bank, N.A. | No report received |
| New York Criminal Court- State Funds | JPMorgan Chase Bank, N.A. | No report received |
| Queens County Criminal Court | | |
| Queens Criminal Court | JPMorgan Chase Bank, N.A. | No report received |
| Queens Criminal Court - State Funds | JPMorgan Chase Bank, N.A. | No report received |
| Richmond County Criminal Court | | |
| Richmond Criminal Court | Citibank | No report received |
| Richmond Criminal Court- State Funds | Citibank | No report received |
| **05220 - NYC-FAMILY COURT** | | |
| Family Citywide Administration | | |
| NYC Family Court | JPMorgan Chase Bank, N.A. | 235.00 |
| **05231 - SUPREME COURT - BRONX COUNTY** | | |
| NYS Office of Court Admin | JPMorgan Chase Bank, N.A. | 12,958.00 |
| **05235 - SUPREME COURT - KINGS COUNTY** | | |
| Kings Co Supreme | | |
| Supreme Court Kings County - Bail | HSBC | 1,550.00 |
| Supreme Court Kings County- Revenue | HSBC | 18,338.20 |
| **05240 - SUPREME COURT - QUEENS COUNTY** | | |
| Queens Co Supreme | | |
| Queens County Supreme Court | JPMorgan Chase Bank, N.A. | 0.00 |
| Queens County Supreme Court | JPMorgan Chase Bank, N.A. | 27,145.01 |
| **05250 - NEW YORK COUNTY CLERK** | | |
| New York County Clerk | | |
| New York Co Clerk Revenue Account | JPMorgan Chase Bank, N.A. | 2,112,584.56 |
| **05255 - BRONX COUNTY CLERK** | | |
| Bronx County Clerk | | |
| Bronx Cnty Clerk Revenue Acct | JPMorgan Chase Bank, N.A. | 561,345.62 |
| Bronx Cnty Clerk-Bails /Fines C&T | JPMorgan Chase Bank, N.A. | 0.00 |
| **05260 - KINGS COUNTY CLERK** | | |
| Kings County Clerk | | |
| Kings County Clerk Revenue Account | Flushing Commercial Bank | 1,096,665.05 |
| **05265 - QUEENS COUNTY CLERK** | | |
| Queens County Clerk-Revenue Acct | Sterling Bank | 1,078,439.80 |
| **05270 - RICHMOND COUNTY CLERK** | | |
| Richmond Co Clerk State Fees Account | JPMorgan Chase Bank, N.A. | No report received |
| Richmond County Clerk DEC | JPMorgan Chase Bank, N.A. | No report received |
| **05275 - NEW YORK COUNTY SURROGATES COURT** | | |
| New York Surrogate | | |

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| New York Surrogate Court | JPMorgan Chase Bank, N.A. | 137,614.75 |
| **05280 - BRONX COUNTY SURROGATES COURT** | | |
| Bronx Surrogate | | |
| Bronx Surrogate Court Revenue Acct | JPMorgan Chase Bank, N.A. | 35,706.90 |
| **05285 - KINGS COUNTY SURROGATES COURT** | | |
| Kings County Surrogate | | |
| Kings Co. Surrogate Revenue Acct | Bank of America, N.A. | 88,767.00 |
| **05290 - QUEENS COUNTY SURROGATES COURT** | | |
| Queens surrogate | | |
| Queens Co Revenue Acct Surrogate | Signature Bank | 125,272.10 |
| **05295 - RICHMOND COUNTY SURROGATES COURT** | | |
| Richmond County Surrogate Court Revenue Account | Victory State Bank | 27,254.00 |
| **05360 - 3RD JUDICIAL DISTRICT ADMINISTRATION** | | |
| Albany City Court | | |
| Albany Police Ct Fines & Forfeiture - Revenue | Key Bank | 31,733.58 |
| Albany City Court - (traffic) | | |
| Albany Traffic Court - Bail | Bank of America, N.A. | 1,250.00 |
| Albany City Court - Civil Part | | |
| Albany City Court Civil - Revenue | Trustco Bank | 8,954.22 |
| Albany City Court - Traffic Ct | | |
| Albany Traffic Court - Revenue | Bank of America, N.A. | 89,416.00 |
| Albany County Surrogate | | |
| Albany Cty Surrogates Court - Revenue | Bank of America, N.A. | 38,518.50 |
| Albany Police Court | | |
| Albany Police Court Bail Account | Key Bank | 34,348.83 |
| Cohoes City Court | | |
| Cohoes City Court Bail | First Niagara Bank | 23,977.50 |
| Cohoes City Court Fees/Fines Account | First Niagara Bank | 18,158.00 |
| Columbia County Surrogate | | |
| Columbia Co Surrogate Ct Fees - Revenue | Key Bank | 5,087.00 |
| Greene County Surrogate | | |
| Greene County Surrogate - Revenue | First Niagara Bank | 5,020.75 |
| Hudson City Court | | |
| Hudson City Court Bail Acct | Trustco Bank | 30,770.00 |
| Hudson City Court Revenue Acct - Revenue | Trustco Bank | 6,441.86 |
| Kingston City Court | | |
| Kingston City Court Bail | Key Bank | 26,701.00 |
| Kingston City Court Fees Fines - Revenue | Key Bank | 42,455.65 |
| Rensselaer City Court | | |
| Rensselaer City Court - Revenue | Key Bank | 9,256.44 |
| Rensselaer City Court Bail Acct | Key Bank | 32,774.80 |
| Rensselaer County Surrogate | | |
| Rensselaer Co Surrogate Ct Fees - Revenue | Key Bank | 14,374.00 |
| Schoharie County Surrogate | | |
| Schoharie Co Surrogates Court - Revenue | Bank of America, N.A. | 1,600.75 |
| Sullivan County Surrogate | | |
| Sullivan County Surrogates Court - Revenue | Key Bank | No report received |
| Troy City Court | | |
| Troy City Court- Revenue Acct - Revenue | Bank of America, N.A. | 139,953.40 |
| Troy Police Court Bail Account | Bank of America, N.A. | 36,282.33 |
| Ulster County Surrogate | | |
| Ulster County Surrogate Court - Revenue | Key Bank | 2,937.00 |
| Watervliet City Court | | |
| Watervliet City Court - Revenue | Bank of America, N.A. | No report received |
| Watervliet City Court Bail | Bank of America, N.A. | No report received |
| **05460 - 4TH JUDICIAL DISTRICT ADMINISTRATION** | | |
| Amsterdam City Court | | |
| Amsterdam City Court - Revenue | Key Bank | 37,164.78 |
| Amsterdam Police Court - Bail | Key Bank | 80,215.05 |
| Clinton County Surrogates | | |
| Clinton County Surrogates - Revenue | Key Bank | 0.00 |
| Essex County Surrogate | | |
| Essex Co Surrogate Clerk - Revenue | Champlain National | 1,589.50 |
| Franklin County Surrogate | | |
| Franklin Co Surrogate Court - Revenue | Key Bank | 0.00 |
| Fulton County Surrogate | | |
| Fulton County Surrogate's Court | Key Bank | 13.50 |
| Glens Falls City Court | | |
| Glens Falls City Court Account - Revenue | Glens Falls National | 21,162.89 |
| Glens Falls City Court Bail Acct | Glens Falls National | 74,900.77 |
| Gloversville City Court | | |
| Gloversville City Court Bail | NBT Bank | 28,873.93 |
| Gloversville City Court Revenue | NBT Bank | 23,757.48 |
| Hamilton Surrogate | | |

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| Hamilton Surrogate - Revenue | Community Bank | 0.00 |
| Johnstown City Court | | |
| City Of Johnstown Bail Account - Bail | Key Bank | 15,094.28 |
| Johnstown City Court Fines/Fees - Revenue | Key Bank | 7,311.30 |
| Mechanicville City Court | | |
| Mechanicville City Court Bail | Bank of America, N.A. | 4.50 |
| Mechanicville City Court Bail | TD Bank | 12,390.00 |
| Mechanicville City Ct Revenue Acct | TD Bank | 19,912.46 |
| Montgomery County Surrogate | | |
| Montgomery County Surrogates Court - Revenue | NBT Bank | 929.00 |
| Ogdensburg City Court | | |
| Ogdensburg City Court Int Bail | Community Bank | 15,827.10 |
| Ogdensburg City Court Revenue | Community Bank | 8,535.23 |
| Plattsburgh City Court | | |
| Plattsburgh City Court - Bail | Glens Falls National | 72,947.13 |
| State Of NY Plattsburgh City Court - Revenue | Glens Falls National | 33,386.03 |
| Saratoga County Surrogate | | |
| Saratoga County Surrogate - Revenue | Ballston Spa National Bank | 2,107.50 |
| Saratoga Springs City Court | | |
| Saratoga Springs Bail Account - Revenue | The Adirondack Trust Company | 185,915.33 |
| Saratoga Springs City Revenue Acct | The Adirondack Trust Company | 47,473.88 |
| Schenectady City Court | | |
| Schenectady City Crim Trust - Bail | Bank of America, N.A. | 171,464.75 |
| Schenectady Police Court Fines - Revenue | Bank of America, N.A. | 83,306.25 |
| Schenectady Surrogate | | |
| Schenectady Surrogate Court - Revenue | Key Bank | 1,734.50 |
| St. Lawrence Co Surrogate | | |
| St. Lawrence County Surrogate - Revenue | Community Bank | 377.00 |
| Warren County Surrogate | | |
| Warren County Surrogate Court - Revenue | TD Bank | 0.00 |
| Washington Surrogates | | |
| Washington Surrogate Revenue | TD Bank | 11.25 |
| **05560 - 5TH JUDICIAL DISTRICT ADMINISTRATION** | | |
| Fulton City Court | | |
| Fulton City Court Bail Acct | Key Bank | No report received |
| Fulton City Court Revenue | Key Bank | No report received |
| Herkimer Surrogate | | |
| Herkimer Surrogate - Revenue | Partners Trust | No report received |
| Jefferson Surrogates | | |
| Jefferson Co Surrogate Revenue | Key Bank | No report received |
| Lewis County Surrogates | | |
| Lewis County Surrogate Court - Revenue | Key Bank | No report received |
| Little Falls City Court | | |
| Little Falls City Court Bail | Bank of America, N.A. | No report received |
| Little Falls City Court Revenue | M&T Bank | No report received |
| Oneida County Combined | | |
| Oneida County Combined Court | Adirondack Bank | No report received |
| Oneida County Surrogates | | |
| Oneida County Surrogate Court Revenue | The Adirondack Trust Company | No report received |
| Onondaga County Surrogates | | |
| Onondaga Surrogate Court - Revenue | Alliance Bank | No report received |
| Oswego City Court | | |
| Oswego City Court Bail Acct | JPMorgan Chase Bank, N.A. | No report received |
| Oswego City Court Revenue | JPMorgan Chase Bank, N.A. | No report received |
| Oswego Surrogate Court | | |
| Oswego County Surrogate Court - Revenue | Key Bank | No report received |
| Rome City Court | | |
| City Court Of Rome Bail Account - Bail | Bank of America, N.A. | No report received |
| Rome City Court - Revenue | Bank of America, N.A. | No report received |
| Sherrill City Court | | |
| Sherrill City Court 5th Jud Dist - Bail | Alliance Bank | No report received |
| Sherrill City Court Fees - Revenue | Alliance Bank | No report received |
| Syracuse City Court | | |
| Syracuse City Court - Bail | Alliance Bank | No report received |
| Syracuse City Court - Fees - Revenue | Alliance Bank | No report received |
| Utica City Court | | |
| Utica City Court Criminal Bail | Bank of Utica | No report received |
| Utica City Court Revenue Account | Key Bank | No report received |
| Watertown City Court | | |
| Watertown City Court Bail | Key Bank | No report received |
| Watertown City Court Fees & Fines - Revenue | Key Bank | No report received |
| **05661 - 6TH JUDICIAL DISTRICT ADMINISTRATION** | | |
| Binghamton City Court | | |
| Binghamton City Court Bail | M&T Bank | 88,935.00 |

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|---|---|---|
| Binghamton City Court Revenue | M&T Bank | 51,757.62 |
| Broome Surrogates | | |
| SNY UCS Broome County Surrogates Court | Wells Fargo Bank | 16,048.50 |
| Chemung County Surrogates | | |
| SNY UCS Chemung County Surrogates Court | Wells Fargo Bank | 6,561.25 |
| Chenango County Surrogates | | |
| Chenango County Surrogates Court Acct | NBT Bank | 5,630.25 |
| Cortland City Court | | |
| Court City Court Bail | NBT Bank | 33,091.34 |
| Court City Court- Revenue | NBT Bank | 25,164.25 |
| Cortland County Surrogates | | |
| SNY UCS Cortland County Surrogates Court | Wells Fargo Bank | 2,784.00 |
| Delaware County Surrogates | | |
| Delaware County Surrogate - Revenue | Delaware National Bank | 3,844.50 |
| Elmira City Court | | |
| Elmira City Court - Revenue Account | Chemung Canal Trust | 26,318.66 |
| Elmira City Court Bail | Chemung Canal Trust | 83,839.29 |
| Ithaca City Court | | |
| Ithaca City Court | Tompkins County Trust | 23,775.00 |
| Ithaca City Court Revenue | Tompkins County Trust | 42,307.60 |
| Madison County Surrogates | | |
| SNY UCS Madison County Surrogates Court | Wells Fargo Bank | 5,114.75 |
| Norwich City Court | | |
| Norwich City Court Bail Acct | NBT Bank | 4,595.00 |
| Norwich City Court Revenue Acct | NBT Bank | 6,935.42 |
| Oneida City Court | | |
| Oneida City Court Bail Account | JPMorgan Chase Bank, N.A. | 14,898.00 |
| Oneida City Court Fee & Fine - Revenue | JPMorgan Chase Bank, N.A. | 10,183.50 |
| Oneonta City Court | | |
| Oneonta City Court - Revenue | Community Bank | 16,024.31 |
| Oneonta City Court Bail Account | Community Bank | 25,880.00 |
| Otsego County Surrogates | | |
| Otsego County Surrogates Court - Revenue | Key Bank | 3,483.75 |
| Schuyler County Surrogates | | |
| Schuyler County Surrogates Court | Community Bank | 1,100.00 |
| Tioga County Surrogates | | |
| Tioga Surrogates Court - Revenue | M&T Bank | 2,140.00 |
| Tompkins County Surrogates | | |
| Tompkins County Surrogate Court - Revenue | Tompkins County Trust | 6,097.75 |
| **05761 - 7TH JUDICIAL DISTRICT ADMINISTRATION** | | |
| Auburn City Court | | |
| Auburn City Court Bail Acct | First Niagara Bank | 15,202.42 |
| Auburn City Court Fees & Fines - Revenue | First Niagara Bank | 97,782.33 |
| Canandaigua City Court | | |
| Canandaigua City Court Bail Acct | Canandaigua National Bank | 48,051.33 |
| Canandaigua City Court Revenue | Canandaigua National Bank | 25,480.30 |
| Cayuga County Surrogates | | |
| Cayuga Surrogate Court Revenue | First Niagara Bank | 347.00 |
| Corning City Court | | |
| Corning City Court - Revenue | Community Bank | 8,265.91 |
| Corning City Court Bail | M&T Bank | 23,496.25 |
| Geneva City Court | | |
| Geneva City Bail Account | Five Star Bank | 46,340.00 |
| Geneva City Court Revenue Acct | Five Star Bank | 20,218.04 |
| Hornell City Court | | |
| Hornell City Court Bail Account | Steuben Trust Co. | No report received |
| Hornell City Court Revenue | Steuben Trust Co. | No report received |
| Livingston County Surrogates | | |
| Livingston County Surrogate Court - Revenue | Key Bank | 0.00 |
| Monroe County Surrogates | | |
| 7th District Monroe Surrogate | Wells Fargo Bank | 4,843.00 |
| Ontario County Surrogates | | |
| Ontario County Surrogate - Revenue | Canandaigua National Bank | 1,938.00 |
| Rochester City Court | | |
| Rochester City Court Bail Account | M&T Bank | 628,922.99 |
| Rochester City Revenue | M&T Bank | 60,065.79 |
| Seneca County Surrogates | | |
| Seneca County Revenue Account | Community Bank | 32.00 |
| Steuben County Surrogates | | |
| 7th District Steuben Surrogate | Wells Fargo Bank | 664.00 |
| Wayne County Surrogates | | |
| Wayne Co Surrogate Court - Revenue | Lyons National | 67.00 |
| Yates County Surrogates | | |
| Yates Co Surrogate Court - Revenue | Community Bank | 323.00 |

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| **05860 - 8TH JUDICIAL DISTRICT ADMINISTRATION** | | |
| Allegany County Surrogates Court | | |
| Allegany Co Surrogate Court - Revenue | Steuben Trust Co. | 499.00 |
| Batavia City Court | | |
| Batavia City Bail Account | M&T Bank | 12,060.00 |
| Batavia City Court Revenue | M&T Bank | 14,370.79 |
| Buffalo City Court | | |
| Buffalo City Bail Account | M&T Bank | 348,383.00 |
| Buffalo City Revenue Account | M&T Bank | 32,892.66 |
| Cattaraugus County Surrogates | | |
| Cattaraugus Surrogates Court - Revenue | Cattaraugus County Bank | 1,435.00 |
| Chautauqua County Surrogates Court | | |
| Chautauqua County Surrogate Ct - Revenue | M&T Bank | 2,016.25 |
| Dunkirk City Court | | |
| Dunkirk City - Revenue | First Niagara Bank | 8,044.00 |
| Dunkirk City Court - Bail | First Niagara Bank | 20,643.45 |
| Erie - Buffalo County Law Library | | |
| Sur Ct Lib At Buffalo - Revenue | M&T Bank | 173.05 |
| Erie County Surrogates | | |
| ST of NY Office of the State Comptroller State of New York Unified Courts Erie Surrogate Court | Wells Fargo Bank | 7,477.75 |
| Genesee County Surrogates | | |
| Genesee Co Surrogates Court - Revenue | M&T Bank | 42.00 |
| Jamestown City Court | | |
| Jamestown City Court - Revenue | Key Bank | 16,324.00 |
| Jamestown City Court Special Bail | Key Bank | 36,709.15 |
| Lackawanna City Court | | |
| Lackawanna City Court Bail Account | Key Bank | 12,826.50 |
| Lackawanna City Court Revenue Account | Key Bank | 22,893.66 |
| Lockport City Court | | |
| Lockport City - Bail | Key Bank | 71,645.40 |
| Lockport City HESC EFT Account - Revenue | Key Bank | 17,684.10 |
| Niagara City Court | | |
| Niagara Falls Bail Bond Account | M&T Bank | 166,318.50 |
| Niagara City Court - Criminal | | |
| City Court Of Niagara Falls Criminal - Revenue | M&T Bank | 20,618.10 |
| Niagara County Surrogates | | |
| Niagara Co Surrogate Court - Revenue | M&T Bank | 373.00 |
| No. Tonawanda City Court | | |
| N. Tonawanda City Court Bail | M&T Bank | 41,298.20 |
| N. Tonawanda City Court Revenue | M&T Bank | 19,535.15 |
| Olean City Court | | |
| Olean City Court Bail Account | Community Bank | 20,398.00 |
| Olean City Court Revenue Account | Community Bank | 7,868.41 |
| Orleans County Surrogates | | |
| Orleans Co Surrogate Revenue | Bank of America, N.A. | 517.00 |
| Salamanca City Court | | |
| Salamanca City Court Bail | Community Bank | 3,062.20 |
| Salamanca City Court City Judge - Revenue | Community Bank | 6,187.00 |
| Tonawanda City Court | | |
| Tonawanda City Court Bail | M&T Bank | 43,653.00 |
| Tonawanda City Court Revenue | M&T Bank | 54,873.30 |
| Wyoming County Surrogates | | |
| Wyoming Co Surrogate Court - Revenue | Five Star Bank | 605.00 |
| **05960 - 9TH JUDICIAL DISTRICT ADMINISTRATION** | | |
| Poughkeepsie City Court- Bail | JPMorgan Chase Bank, N.A. | 69,881.40 |
| Poughkeepsie City Court- Revenue | JPMorgan Chase Bank, N.A. | 83,308.72 |
| Beacon City Court | | |
| Beacon City Court Bail Account - Bail | JPMorgan Chase Bank, N.A. | 38,350.00 |
| Beacon City Fines Account - Revenue | JPMorgan Chase Bank, N.A. | 44,934.52 |
| Dutchess County Surrogates Court | | |
| Dutchess County Surrogate Court - Revenue | JPMorgan Chase Bank, N.A. | 36,327.48 |
| Middletown City Court | | |
| Middletown City Bail Escrow - Bail | JPMorgan Chase Bank, N.A. | 148,467.20 |
| Middletown City Court Revenue | JPMorgan Chase Bank, N.A. | 74,156.73 |
| Mt. Vernon City Court | | |
| Mt Vernon City Court State Revenue | JPMorgan Chase Bank, N.A. | 43,390.97 |
| Mt Vernon City Trust - Bail | JPMorgan Chase Bank, N.A. | 482,079.07 |
| New Rochelle City Court | | |
| New Rochelle City Court Bail | JPMorgan Chase Bank, N.A. | 303,293.06 |
| New Rochelle City Court Revenue | JPMorgan Chase Bank, N.A. | 108,629.45 |
| Newburgh City Court | | |
| Newburgh Bail Account | Bank of America, N.A. | 83,110.47 |
| Newburgh City Court Revenue | Bank of America, N.A. | 32,632.90 |
| Orange County Surrogates Court | | |

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|---|---|---|
| Orange Co Surrogates Court - Revenue | JPMorgan Chase Bank, N.A. | 17,051.50 |
| Peekskill City Court | | |
| Peekskill City Court Revenue | JPMorgan Chase Bank, N.A. | 13,421.50 |
| Peekskill City Court | | |
| Peekskill City Court - Bail | JPMorgan Chase Bank, N.A. | 164,983.56 |
| Port Jervis City Court | | |
| Port Jervis Bail Account - Bail | JPMorgan Chase Bank, N.A. | 58,035.10 |
| Port Jervis Revenue Account - Revenue | JPMorgan Chase Bank, N.A. | 30,972.00 |
| Putnam Co Surrogate's Court | | |
| Putnam Co Surrogates Court | Putnam County National Bank | 12,504.50 |
| Rockland County Surrogates Court | | |
| Rockland Co Surrogates Court - Revenue | JPMorgan Chase Bank, N.A. | 15,226.75 |
| Rye City Court | | |
| City Of Rye Bail Account | JPMorgan Chase Bank, N.A. | 22,325.84 |
| City Of Rye Fines And Fees - Revenue | JPMorgan Chase Bank, N.A. | 33,946.31 |
| Westchester County Surrogates Court | | |
| Westchester Co Surrogates Fees - Revenue | JPMorgan Chase Bank, N.A. | 99,852.25 |
| White Plains City Court | | |
| White Plains City Court Bail Account | Hudson Valley National Bank | 262,678.03 |
| White Plains City Court | | |
| White Plains City Court Vehicle And Traffic Acct - Revenue | Hudson Valley National Bank | 140,578.67 |
| Yonkers City Court | | |
| Yonkers City Bail Account- Bail | Hudson Valley National Bank | 362,567.50 |
| Yonkers City State Account - Revenue | Hudson Valley National Bank | 1,768.27 |
| Yonkers City Court - Escrow | | |
| Yonkers City Escrow Account - Bail | Hudson Valley National Bank | 37,167.12 |
| Yonkers City Court - State Fund | | |
| Yonkers City State Fund Account - Revenue | Hudson Valley National Bank | 94,350.03 |
| **06000 - AGRICULTURE & MARKETS** | | |
| Administration Account | Key Bank | 43,833.27 |
| Agency Advance Account | Key Bank | 3,380.46 |
| Agriculture Producers Sec Fund | Key Bank | 46,132.00 |
| Animal Population Control Account | Key Bank | 18,752.59 |
| Apple Marketing Order Fund | Key Bank | 32,270.03 |
| Consumer Food Industry Account | Key Bank | 157,511.47 |
| Dairy Industry Services Account | Key Bank | 20,143.97 |
| Dairy Promotion Order Fund | Key Bank | 680,596.46 |
| Farm Products Grading | JPMorgan Chase Bank, N.A. | 133,208.53 |
| Farm Products Publicity Fund Ag Promotion | Key Bank | 5,141.98 |
| Milk Producers Security Fund | Key Bank | 69,833.87 |
| NYS Farmers Market Program | Key Bank | 402,720.87 |
| NYS WNY Milk Mktg Area Administration Fund | M&T Bank | 87.91 |
| NYS WNY Milk Mktg Area Equalization Fund | M&T Bank | 16,835.94 |
| NYS WNY Milk Mktg Area Equalization Fund Savings | M&T Bank | 317.89 |
| Onion Marketing Order | Key Bank | 200.00 |
| Plants Industry Account | Key Bank | 30,470.01 |
| Sour Cherry Marketing Fund | Key Bank | 5,409.34 |
| Weights & Measures Account | Key Bank | 44,629.61 |
| State Fair | | |
| NYS Fair Operating Account | Solvay Bank | 112,449.30 |
| NYS Fair Petty Cash/Travel | Solvay Bank | 4,149.14 |
| NYS Fair Special Account | Solvay Bank | 419.22 |
| State Fair Premium Award Account | Solvay Bank | 34,134.61 |
| **08000 - DEPARTMENT OF CIVIL SERVICE** | | |
| Agency Advance Account | Bank of America, N.A. | No report received |
| Employee Insurance Pending Account | Wells Fargo Bank | 14,483,513.35 |
| Examination Application Fees Account | Bank of America, N.A. | No report received |
| Examination Application Fees Account | First Niagara Bank | No report received |
| NYS Affirmative Action Advisory Account | Bank of America, N.A. | No report received |
| **08010 - PUBLIC EMPLOYEE RELATIONS BOARD** | | |
| Petty Cash And Travel Advance Account | Key Bank | 1,420.43 |
| **09000 - DEPARTMENT OF ENVIRONMENTAL CONSERVATION** | | |
| Albany | | |
| Asharoken Feasibility Study | JPMorgan Chase Bank, N.A. | 33,830.65 |
| Bayville Feasibility Study | JPMorgan Chase Bank, N.A. | 487,733.90 |
| Conservation Petty Cash Account | M&T Bank | 42,093.07 |
| DEC/Exchange Account | M&T Bank | 17,420.00 |
| ENCON License Issuing Office | M&T Bank | 35.00 |
| ENCON Travel Advance | M&T Bank | 4,000.00 |
| ENCON/Montauk Point Feasibility Study | JPMorgan Chase Bank, N.A. | 7,117.54 |
| ENCON/South Shore Of Staten Island | JPMorgan Chase Bank, N.A. | 22,641.56 |
| Harbor Drift Removal Proj | JPMorgan Chase Bank, N.A. | 1,541,855.35 |
| Hunting Trapping & Fishing Account | M&T Bank | 1,414,040.31 |
| Lake Montauk Harbor | JPMorgan Chase Bank, N.A. | 233,424.54 |

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|---|---|---|
| Lockbox Account | Wells Fargo Bank | 594,287.36 |
| Mattituck Inlet | JPMorgan Chase Bank, N.A. | 1,312.93 |
| NY Conservationist | Bank of America, N.A. | 48,535.96 |
| Program Fee | JPMorgan Chase Bank, N.A. | 4,791.60 |
| Rockaway Beach Study & Project | JPMorgan Chase Bank, N.A. | 1,248,912.35 |
| SNY Dept Of Environmental Conservation | JPMorgan Chase Bank, N.A. | 20,862.83 |
| State of New York | First Niagara Bank | 90,876.39 |
| US Army Coe - Moriches Project | JPMorgan Chase Bank, N.A. | 11,031.56 |
| Westhampton Project Escrow | JPMorgan Chase Bank, N.A. | 252,243.73 |
| Region 1 | | |
| Marine Permit Account | Bank of Smithtown | 368,390.80 |
| New York State Dept Of Environ - ME | JPMorgan Chase Bank, N.A. | 262.34 |
| Region 3 | | |
| Revenue Region 3 Account | Bank of America, N.A. | 28,825.00 |
| Region 4 | | |
| Bear Spring Revenue Account | National Bank of Delaware | 0.00 |
| Region 4 | Greene County Commercial Bank | 0.00 |
| Region 4 Camping | NBT Bank | 0.00 |
| Region 4 Office Account | Key Bank | 500.00 |
| Region 5 | | |
| Campsite Revenue Account | Glens Falls National | 7.75 |
| Land & Forest Region 5W | TD Bank | 199.44 |
| NYS Conservation | Glens Falls National | 1.00 |
| Recreation (Warrensburg) | City National Bank & Trust | 0.00 |
| Region 5 | Citizens Bank | 38.03 |
| Region 5 | NBT Bank | 6,861.91 |
| Tree Nursery | Bank of America, N.A. | 461.20 |
| Region 6 | | |
| Fish & Wildlife Watertown | Key Bank | 25,911.75 |
| Lands & Forest District #7 | Community Bank | 124.80 |
| Lands & Forests District #6 | Community Bank | 20,618.00 |
| Lands And Forests District 10 | Partners Trust | 19.90 |
| SNY Dept Of Environmental Conserv | Community Bank | 14.05 |
| Region 7 | | |
| Div Of Fish & Wildlife | Alliance Bank | 6,800.00 |
| Lands & Forests District #3 | Alliance Bank | 8,997.50 |
| Regional Office Checking Acct | JPMorgan Chase Bank, N.A. | 19,406.50 |
| Region 8 | | |
| Lands & Forests Dist No. 14 | Five Star Bank | 2,072.73 |
| NYS DEC Admin R8 | Bank of Castile | 34,056.50 |
| **10000 - ATTICA CORRECTIONAL FACILITY** | | |
| Agency Advance Account | Five Star Bank | 5,179.76 |
| CD Spendable | Five Star Bank | 220,000.00 |
| Employee Benefit Fund | Five Star Bank | 27,478.21 |
| General Cash Fund | Five Star Bank | 0.28 |
| Inmate Occupational Therapy Fund | Five Star Bank | 29,099.88 |
| Inmate Savings Account | Five Star Bank | 326,897.89 |
| Spendable Fund | Five Star Bank | 99,393.51 |
| **10010 - AUBURN CORRECTIONAL FACILITY** | | |
| Advance Account | Bank of America, N.A. | 6,022.55 |
| Certificate of Deposit | Bank of America, N.A. | 15,000.00 |
| Certificate of Deposit | Bank of America, N.A. | 90,000.00 |
| Certificate of Deposit | Bank of America, N.A. | 20,000.00 |
| Inmate Occupational Therapy Fund | Bank of America, N.A. | 24,173.69 |
| Inmate Spendable Account | Bank of America, N.A. | 198,702.68 |
| Misc Receipts | Bank of America, N.A. | 31.40 |
| Money Market | Bank of America, N.A. | 35,000.00 |
| **10020 - CLINTON CORRECTIONAL FACILITY** | | |
| Advance Account | Key Bank | 13,334.19 |
| Employee Benefit Fund | Key Bank | 4,659.74 |
| General Fund | Key Bank | 16,648.39 |
| Inmate Funds | Key Bank | 114,677.65 |
| Inmate Funds Money Market Account | Key Bank | 640,584.11 |
| Inmate Occupational Therapy Acct | Key Bank | 85,293.52 |
| **10030 - WATERTOWN CORRECTIONAL FACILITY** | | |
| Agency Advance Account | Key Bank | 2,141.48 |
| Inmate Occupational Therapy Fund | Key Bank | 10,130.76 |
| Inmate Spendable Funds | Key Bank | 27,223.42 |
| Inmate Spendable Savings Account | Key Bank | 50,387.68 |
| Miscellaneous Receipts | Key Bank | 3,166.18 |
| **10040 - GREAT MEADOW CORRECTIONAL FACILITY** | | |
| Certificate of Deposit | Glens Falls National | 150,000.00 |
| Certificate of Deposit | Glens Falls National | 150,000.00 |
| Certificate of Deposit | Glens Falls National | 100,000.00 |

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|---|---|---|
| Certificate of Deposit | Glens Falls National | 25,000.00 |
| Employee Benefit Fund | Glens Falls National | 4,239.84 |
| Facility Advance | Glens Falls National | 8,947.27 |
| General Fund Account | Glens Falls National | 5,330.17 |
| Inmate Fund | Glens Falls National | 31,258.57 |
| Inmate Fund Savings Account | Glens Falls National | 5,000.00 |
| Occupational Therapy | Glens Falls National | 13,408.38 |
| **10050 - FISHKILL CORRECTIONAL FACILITY** | | |
| Agency Advance | M&T Bank | 6,789.62 |
| Employee Benefits | M&T Bank | 5,774.04 |
| Inmate Spending Account | M&T Bank | 156,720.55 |
| Inmates Account | M&T Bank | 511,421.87 |
| Inmates Benefit | M&T Bank | 23,715.99 |
| Misc Receipts | M&T Bank | 23,600.47 |
| Occupational Therapy Account | M&T Bank | 23,607.60 |
| **10060 - WALLKILL CORRECTIONAL FACILITY** | | |
| Advance Account | Key Bank | 2,633.77 |
| Employee Benefit | Key Bank | 5,078.26 |
| Inmate Occupational Therapy Fund | Key Bank | 26,427.37 |
| Inmate Savings Account | Key Bank | 87,858.12 |
| Inmates Fund Account | Key Bank | 82,973.01 |
| Misc. Receipts | Key Bank | 9,509.31 |
| **10070 - SING SING CORRECTIONAL FACILITY** | | |
| Cash Advance | Sleepy Hollow National Bank | 10,032.29 |
| Inmate Spending | Sleepy Hollow National Bank | 296,232.99 |
| Misc Receipts | Sleepy Hollow National Bank | 12,073.27 |
| Money Market | Sleepy Hollow National Bank | 449,243.72 |
| Occupational Therapy | Sleepy Hollow National Bank | 99,313.98 |
| **10080 - GREEN HAVEN CORRECTIONAL FACILITY** | | |
| Advance Account | Key Bank | 3,878.62 |
| General Fund | Key Bank | 17,092.72 |
| Inmates Money Market | Key Bank | 286,755.85 |
| Inmates Now Checking | Key Bank | 463,782.03 |
| Occupational Therapy Fund | Key Bank | 60,383.58 |
| **10090 - ALBION CORRECTIONAL FACILITY** | | |
| Albion Advance Account | Bank of America, N.A. | 3,714.85 |
| Employee Benefit Fund | Bank of America, N.A. | 13,562.99 |
| Inmate Funds | Bank of America, N.A. | 101,845.09 |
| Inmate Funds Savings | Bank of America, N.A. | 103,000.86 |
| Misc Receipts | Bank of America, N.A. | 16,179.50 |
| Occupational Therapy | Bank of America, N.A. | 29,721.20 |
| **10100 - EASTERN NEW YORK CORRECTIONAL FACILITY** | | |
| Agency Advance Account | Provident Bank | 1,503.90 |
| Employee Benefit Fund | Provident Bank | 2,448.08 |
| ID Now 3 Month CD | M&T Bank | 50,102.55 |
| Inmate Deposit Now Account | Provident Bank | 272,993.32 |
| Inmate Occupational Therapy | Provident Bank | 33,668.97 |
| Misc. Receipts | Provident Bank | 5,339.67 |
| **10110 - ELMIRA CORRECTIONAL & RECEPTION CENTER** | | |
| Agency Advance Account | Chemung Canal Trust | 5,900.33 |
| ECF Clubhouse | Chemung Canal Trust | 20,826.01 |
| Employee Benefit Fund | Chemung Canal Trust | 8,623.22 |
| Inmate CD Account | M&T Bank | 212,646.13 |
| Inmates Fund | Chemung Canal Trust | 190,534.20 |
| Miscellaneous Receipts | Chemung Canal Trust | 0.00 |
| Occupational Therapy Fund | Chemung Canal Trust | 42,806.82 |
| **10120 - BEDFORD HILLS CORRECTIONAL FACILITY** | | |
| Advance Account | JPMorgan Chase Bank, N.A. | 7,817.01 |
| Employee Benefit Fund | JPMorgan Chase Bank, N.A. | 6,302.44 |
| Inmate Funds | JPMorgan Chase Bank, N.A. | 132,630.61 |
| Inmate Funds CD | JPMorgan Chase Bank, N.A. | 90,003.69 |
| Inmate Funds Money Market | JPMorgan Chase Bank, N.A. | 20,162.66 |
| Misc. Receipts | JPMorgan Chase Bank, N.A. | 12,270.89 |
| Occupational Therapy | JPMorgan Chase Bank, N.A. | 36,958.58 |
| **10130 - COXSACKIE CORRECTIONAL FACILITY** | | |
| Agency Advance Account | National Bank of Coxsackie | 2,182.05 |
| Employee Benefits Fund | National Bank of Coxsackie | 4,392.43 |
| Inmates Fund | National Bank of Coxsackie | 93,705.27 |
| Inmates Fund Savings Acct | National Bank of Coxsackie | 23,441.47 |
| Misc. Revenue | National Bank of Coxsackie | 18,356.06 |
| Money Market Acct | National Bank of Coxsackie | 129,196.57 |
| Occupational Therapy Acct | National Bank of Coxsackie | 14,413.11 |
| **10140 - WOODBOURNE CORRECTIONAL FACILITY** | | |
| Agency Advance | Bank of America, N.A. | 929.68 |

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|---|---|---|
| CD - Inmate Funds | First National Bank of Jeffersonville | 50,000.00 |
| CD - Inmate Funds | First National Bank of Jeffersonville | 95,000.00 |
| General Fund | Bank of America, N.A. | 5,068.37 |
| Inmate Funds Checking | Bank of America, N.A. | 248,189.48 |
| Occupational Therapy Account | Bank of America, N.A. | 15,386.55 |
| **10160 - DEPARTMENT OF CORRECTIONAL SERVICES** | | |
| Agency Advance Account | Key Bank | 4,607.05 |
| Employee Benefit Fund | Key Bank | 24,787.93 |
| Inmate Escrow Account | Key Bank | 299,912.86 |
| Misc. Receipts Account | Key Bank | 231,262.54 |
| Special Account | Key Bank | 293.00 |
| **10170 - QUEENSBORO CORRECTIONAL FACILITY** | | |
| Agency Advance Account | JPMorgan Chase Bank, N.A. | 6,746.45 |
| Employee Benefit Fund | JPMorgan Chase Bank, N.A. | 1,365.51 |
| Inmate Funds Account | JPMorgan Chase Bank, N.A. | 53,367.99 |
| Miscellaneous Receipts Account | JPMorgan Chase Bank, N.A. | 3,658.95 |
| Occupational Therapy Fund | JPMorgan Chase Bank, N.A. | 2,083.54 |
| Savings Account | JPMorgan Chase Bank, N.A. | 15,390.31 |
| **10190 - MONTEREY SHOCK INCARCERATION CORRECTIONAL FACILITY** | | |
| Consolidated Advance Account | Community Bank | 0.00 |
| Employee Benefit Fund | Community Bank | 0.00 |
| Miscellaneous Receipts Account | Community Bank | 32.00 |
| **10230 - ADIRONDACK CORRECTIONAL FACILITY** | | |
| ADK QWL | Community Bank | 2,714.90 |
| Agency Advance | Community Bank | 1,495.61 |
| Diversity Management | Community Bank | 826.10 |
| Employee Benefit Fund | Community Bank | 4,156.76 |
| General Fund | Community Bank | 1,981.23 |
| Inmate Funds | Community Bank | 14,349.32 |
| Inmate Occupational Therapy Fund | Community Bank | 4,764.67 |
| Inmate Savings Money Market | Community Bank | 47,209.07 |
| Make A Difference Day | Community Bank | 153.24 |
| **10240 - DOWNSTATE CORRECTIONAL FACILITY** | | |
| Agency Advance | JPMorgan Chase Bank, N.A. | 1,291.42 |
| Employee Recreational Funds | JPMorgan Chase Bank, N.A. | 19,681.97 |
| Inmate Fund | JPMorgan Chase Bank, N.A. | 75,831.01 |
| Inmates Funds Savings | JPMorgan Chase Bank, N.A. | 79,013.89 |
| Misc. Receipts | JPMorgan Chase Bank, N.A. | 20,091.88 |
| Occupational Therapy | JPMorgan Chase Bank, N.A. | 32,923.02 |
| **10250 - TACONIC CORRECTIONAL FACILITY** | | |
| Inmate Funds | JPMorgan Chase Bank, N.A. | 100,482.41 |
| Misc. Revenue | JPMorgan Chase Bank, N.A. | 807.46 |
| Money Market | JPMorgan Chase Bank, N.A. | 30,593.67 |
| Occupational Therapy Fund | JPMorgan Chase Bank, N.A. | 22,776.86 |
| Taconic Advance Account | JPMorgan Chase Bank, N.A. | 5,265.71 |
| **10270 - HUDSON CORRECTIONAL FACILITY** | | |
| Advance Account | Key Bank | 3,785.56 |
| Employee Benefit Fund Account | Key Bank | 5,992.61 |
| Inmate Funds Account | Key Bank | 104,110.04 |
| Inmate Key Advantage Account | Key Bank | 65,155.10 |
| Inmate Occupational Therapy Account | Key Bank | 7,742.25 |
| Miscellaneous Receipts Account | Key Bank | 763.40 |
| **10290 - OTISVILLE CORRECTIONAL FACILITY** | | |
| Cash Advance | Jeff Bank | 606.88 |
| General Fund | Jeff Bank | 1,706.91 |
| Inmate Funds | Jeff Bank | 126,043.46 |
| Inmate Occupational Therapy | Jeff Bank | 32,727.83 |
| Inmate Savings | Jeff Bank | 51,059.90 |
| Inmate Savings CD | Hometown Bank | 75,392.52 |
| **10300 - ROCHESTER CORRECTIONAL FACILITY** | | |
| Consolidated Advance Account | M&T Bank | 1,557.88 |
| Employee Recreation Fund | M&T Bank | 511.58 |
| Inmate Deposit Account | M&T Bank | 80,500.32 |
| Inmate Occupational Therapy | M&T Bank | 138.22 |
| Misc Fees | M&T Bank | 77.70 |
| Work Release Advance Account | M&T Bank | 4,974.00 |
| **10320 - EDGECOMBE CORRECTIONAL FACILITY** | | |
| Agency Advance | JPMorgan Chase Bank, N.A. | 5,344.35 |
| Employee Benefit Account | JPMorgan Chase Bank, N.A. | 1,439.65 |
| Inmate Cash Account | JPMorgan Chase Bank, N.A. | 15,497.89 |
| Misc. Receipts Account | JPMorgan Chase Bank, N.A. | 143.32 |
| Occupational Therapy Acct | JPMorgan Chase Bank, N.A. | 171.98 |
| Work Release Account | JPMorgan Chase Bank, N.A. | 0.00 |
| **10350 - OGDENSBURG CORRECTIONAL FACILITY** | | |

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| Agency Advance Account | Community Bank | 4,393.35 |
| Inmate Fund | Community Bank | 36,922.43 |
| Inmate Savings | Community Bank | 35,123.97 |
| Misc. Receipts | Community Bank | 310.95 |
| Occupational Therapy | Community Bank | 5,997.01 |
| **10360 - LINCOLN CORRECTIONAL FACILITY** | | |
| Agency Advance | JPMorgan Chase Bank, N.A. | 3,390.00 |
| Employee Benefit Fund | JPMorgan Chase Bank, N.A. | 2,621.99 |
| General Fund | JPMorgan Chase Bank, N.A. | 215.50 |
| Inmate Funds | JPMorgan Chase Bank, N.A. | 189,223.06 |
| Inmate Savings | JPMorgan Chase Bank, N.A. | 59,562.84 |
| Lincoln Work Release Account | JPMorgan Chase Bank, N.A. | 3,550.00 |
| Occupational Therapy | JPMorgan Chase Bank, N.A. | 12,824.06 |
| **10370 - FIVE POINTS CORRECTIONAL FACILITY** | | |
| Consolidated Advance | Five Star Bank | 2,102.63 |
| EBF Checking | Five Star Bank | 15,107.79 |
| EBF Savings | Five Star Bank | 3,131.85 |
| Inmate Savings | Five Star Bank | 302,611.62 |
| Inmate Spendable | Five Star Bank | 69,343.31 |
| Misc Receipts | Five Star Bank | 839.12 |
| Occupational Therapy | Five Star Bank | 40,025.01 |
| **10390 - MOHAWK CORRECTIONAL FACILITY** | | |
| Agency Advance | First Niagara Bank | 2,148.43 |
| Employee Benefit Fund Checking | Bank of America, N.A. | 25,006.48 |
| Inmate Funds Checking | First Niagara Bank | 95,291.49 |
| Inmate Funds Savings | First Niagara Bank | 312,914.97 |
| Miscellaneous Revenue | First Niagara Bank | 1,388.97 |
| Occupational Therapy | First Niagara Bank | 15,746.99 |
| **10430 - WENDE CORRECTIONAL FACILITY** | | |
| Consolidated Advance | Alden State Bank | 2,417.88 |
| Employee Benefit Account | Alden State Bank | 40,399.95 |
| Inmate Savings | Alden State Bank | 258,704.17 |
| Inmates Funds | Alden State Bank | 66,823.73 |
| Misc. Receipts | Alden State Bank | 7,886.67 |
| Occupational Therapy | Alden State Bank | 25,294.75 |
| **10441 - DEPARTMENT OF CORRECTIONAL SERVICES-FOOD PRODUCTION CENTER** | | |
| Office of Nutritional Services | | |
| Miscellaneous Receipts | First Niagara Bank | 37,556.61 |
| **10450 - GOWANDA CORRECTIONAL FACILITY** | | |
| Advance Account | Evans National Bank | No report received |
| Employee Benefit Fund | Evans National Bank | No report received |
| Inmate Funds | Evans National Bank | No report received |
| Inmate Funds - CD | Evans National Bank | No report received |
| Inmate Funds Savings | Evans National Bank | No report received |
| Miscellaneous Revenue | Evans National Bank | No report received |
| Occupational Therapy | Evans National Bank | No report received |
| **10460 - GROVELAND CORRECTIONAL FACILITY** | | |
| Agency Advance Account | Five Star Bank | 3,147.82 |
| Employee Commission Account | Five Star Bank | 8,894.04 |
| Inmate Funds Account | Five Star Bank | 53,265.43 |
| Inmate Funds Account - Savings | Five Star Bank | 172,892.28 |
| Miscellaneous Receipts Account | Five Star Bank | 2,913.70 |
| Occupational Therapy Account | Five Star Bank | 10,140.11 |
| **10470 - COLLINS CORRECTIONAL FACILITY** | | |
| Agency Advance | Community Bank | 8,045.99 |
| Employee Activities | Community Bank | 9,433.26 |
| Inmate Fund Checking | Community Bank | 101,182.65 |
| Inmate Savings | Community Bank | 130,257.93 |
| Miscellaneous Revenue | Community Bank | 5,515.99 |
| Occupational Therapy | Community Bank | 21,298.10 |
| **10480 - MID-STATE CORRECTIONAL FACILITY** | | |
| Agency Advance | First Niagara Bank | 1,686.92 |
| Employee Benefit Fund | Bank of America, N.A. | 22,242.27 |
| Inmate Funds | Bank of America, N.A. | 0.00 |
| Inmate Funds | First Niagara Bank | 96,497.11 |
| Inmate Savings | First Niagara Bank | 197,753.04 |
| Misc. Revenue | First Niagara Bank | 13,258.42 |
| Occupational Therapy | First Niagara Bank | 28,714.13 |
| **10490 - MARCY CORRECTIONAL FACILITY** | | |
| Agency Advance Account | First Niagara Bank | 5,123.55 |
| Employee Benefit Fund Account | Bank of America, N.A. | 12,876.47 |
| Inmates Fund Account | First Niagara Bank | 92,327.65 |
| Misc receipts Acct | First Niagara Bank | 0.00 |
| NYS DOCS Marcy Corr Facility | First Niagara Bank | 145,810.86 |

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| Occupational Therapy fund Acct | First Niagara Bank | 17,230.25 |
| **10500 - NYC CENTRAL ADMINISTRATION** | | |
| Agency Advance Acct | JPMorgan Chase Bank, N.A. | 2,394.76 |
| Misc Receipts | JPMorgan Chase Bank, N.A. | 6,736.97 |
| **10501 - CENTRAL PHARMACY** | | |
| NYS Docs Central Pharmacy Advance Acct | Bank of America, N.A. | 1,000.00 |
| **10510 - MORIAH SHOCK INCARCERATION CORRECTIONAL FACILITY** | | |
| Moriah Shock Incarceration Advance Acct | Glens Falls National | 1,800.00 |
| Moriah Shock Incarceration Employee Benefit Fund | Glens Falls National | 4,430.51 |
| Moriah Shock Incarceration Occ Therapy | Glens Falls National | 3,284.10 |
| Moriah Shock Misc Receipts | Glens Falls National | 390.36 |
| NYS Moriah Shock Incarceration Inmate Checking | Glens Falls National | 53,704.27 |
| **10530 - FRANKLIN CORRECTIONAL FACILITY** | | |
| Advance Account | Key Bank | 5,050.02 |
| Employee Benefit Account | Key Bank | 3,805.68 |
| Inmate Funds | Key Bank | 106,769.54 |
| Inmate Occupational Therapy | Key Bank | 33,953.24 |
| Inmate Savings | Key Bank | 346,828.03 |
| Misc. Receipts | Key Bank | 7,266.48 |
| **10540 - ALTONA CORRECTIONAL FACILITY** | | |
| Cons Adv Travel Petty Cash | NBT Bank | 3,848.27 |
| Employees Vending Benefit | NBT Bank | 9,196.57 |
| Inmates Funds | NBT Bank | 134,075.28 |
| Misc Revenues General Fund | NBT Bank | 2,370.29 |
| Occupational Therapy | NBT Bank | 6,313.36 |
| **10550 - CAYUGA CORRECTIONAL FACILITY** | | |
| Agency Advance | First National Bank of Groton | 8,272.58 |
| Cert Of Deposit | First National Bank of Groton | 85,757.73 |
| Employee Benefit Fund | First National Bank of Groton | 3,345.26 |
| Inmate Occupational Therapy Account | First National Bank of Groton | 24,362.57 |
| Inmate Spendable | First National Bank of Groton | 74,849.06 |
| Inmate Spendable | First National Bank of Groton | 0.00 |
| Misc Receipts | First National Bank of Groton | 444.14 |
| **10560 - BARE HILL CORRECTIONAL FACILITY** | | |
| Agency Advance | Key Bank | 8,015.58 |
| Employee Benefit Fund | Key Bank | 8,804.42 |
| Inmate Spendable Funds | Key Bank | 76,328.27 |
| Key Public Money Market Checking | Key Bank | 306,164.84 |
| Miscellaneous Receipts | Key Bank | 216.30 |
| Occupational Therapy | Key Bank | 23,559.36 |
| **10570 - RIVERVIEW CORRECTIONAL FACILITY** | | |
| Agency Advance Account | Key Bank | 1,659.62 |
| Inmate Accounts | Key Bank | 44,189.32 |
| Inmate Savings Account | Key Bank | 105,252.76 |
| Miscellaneous Receipts Account | Key Bank | 10,069.81 |
| Occupational Therapy | Key Bank | 9,055.01 |
| **10580 - CAPE VINCENT CORRECTIONAL FACILITY** | | |
| Advance Account | Community Bank | 3,822.72 |
| Employee Benefit Fund | Community Bank | 3,118.87 |
| Inmate Occupation Therapy Acct | Community Bank | 12,468.61 |
| Inmate Savings | Community Bank | 111,304.57 |
| Inmate Spendable Account | Community Bank | 108,611.52 |
| Miscellaneous Receipts Account | Community Bank | 31,919.74 |
| **10600 - LAKEVIEW SHOCK INCARCERATION CORRECTIONAL FACILITY** | | |
| Agency Advance | Community Bank | 4,200.00 |
| Employee Benefit Fund - Sav | Community Bank | 7,526.23 |
| Inmate Funds | Community Bank | 30,905.20 |
| Inmate Funds - Sav | Community Bank | 109,595.96 |
| Miscellaneous Revenue | Community Bank | 1,257.03 |
| Occupational Therapy | Community Bank | 405.99 |
| Occupational Therapy - Sav | Community Bank | 5,207.19 |
| **10610 - ULSTER CORRECTIONAL FACILITY** | | |
| Agency Advance | Bank of America, N.A. | 3,756.29 |
| Employee Benefit Fund | Bank of America, N.A. | 2,449.72 |
| Inmate Fund | Bank of America, N.A. | 108,972.03 |
| Inmate Funds Savings | Bank of America, N.A. | 12,237.64 |
| Misc. Receipts | Bank of America, N.A. | 5,922.68 |
| Occupational Therapy | Bank of America, N.A. | 8,328.15 |
| **10630 - SOUTHPORT CORRECTIONAL FACILITY** | | |
| Advance Account | Chemung Canal Trust | 1,663.59 |
| Employee Benefit Fund | Chemung Canal Trust | 12,230.67 |
| Inmate Funds | Chemung Canal Trust | 164,245.16 |
| Inmate Funds Account | Chemung Canal Trust | 31,430.57 |
| Misc. Receipts Account | Chemung Canal Trust | 2,062.21 |

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|---|---|---|
| Occupational Therapy Account | Chemung Canal Trust | 16,322.53 |
| **10640 - ORLEANS CORRECTIONAL FACILITY** | | |
| Agency Advance | Bank of America, N.A. | 3,191.41 |
| Employee Benefit Fund | Bank of America, N.A. | 4,205.03 |
| Inmate Funds | Bank of America, N.A. | 98,136.30 |
| Inmate Savings | Bank of America, N.A. | 156,858.88 |
| Miscellaneous Receipts | Bank of America, N.A. | 49,965.91 |
| Occupational Therapy | Bank of America, N.A. | 16,009.36 |
| **10650 - WASHINGTON CORRECTIONAL FACILITY** | | |
| Advance Account | Glens Falls National | 2,162.12 |
| Employee Benefit | Glens Falls National | 9,951.83 |
| General Fund | Glens Falls National | 0.00 |
| Inmate Fund | Glens Falls National | 21,802.23 |
| Inmate Funds Account Certificate Of Deposit | Glens Falls National | 77,639.65 |
| Inmate Funds Account Savings | Glens Falls National | 14,307.42 |
| Occupational Therapy | Glens Falls National | 12,528.25 |
| **10660 - WYOMING CORRECTIONAL FACILITY** | | |
| Agency Advance | Five Star Bank | 7,684.44 |
| Employee Benefit Fund | Five Star Bank | 7,863.58 |
| Inmate Occupational Therapy | Five Star Bank | 35,944.16 |
| Inmate Savings - Certificate of Deposit | Five Star Bank | 25,000.00 |
| Inmate Savings - Certificate of Deposit | Five Star Bank | 25,000.00 |
| Inmate Savings - Certificate of Deposit | Five Star Bank | 25,000.00 |
| Inmate Savings Account | Five Star Bank | 50,809.40 |
| Inmate Spendable | Five Star Bank | 191,998.59 |
| Misc. Receipts Account | Five Star Bank | 42,026.22 |
| **10670 - GREENE CORRECTIONAL FACILITY** | | |
| Consolidated Advance | National Bank of Coxsackie | 3,286.62 |
| Inmate Accounts | National Bank of Coxsackie | 47,072.78 |
| Inmate Savings | National Bank of Coxsackie | 237,901.50 |
| Misc. Receipts | National Bank of Coxsackie | 3,612.07 |
| Occupational Therapy | National Bank of Coxsackie | 19,819.26 |
| **10680 - SHAWANGUNK CORRECTIONAL FACILITY** | | |
| Consolidated Advance Account | Key Bank | 1,141.60 |
| Inmate Funds | Key Bank | 149,935.13 |
| Inmates Funds Account | Key Bank | 89,291.23 |
| Misc. Receipts Account | Key Bank | 104.25 |
| Occupational Therapy Acct | Key Bank | 20,161.40 |
| **10690 - SULLIVAN CORRECTIONAL FACILITY** | | |
| Consolidated Advance | Bank of America, N.A. | 2,498.34 |
| Inmate Funds | Bank of America, N.A. | 91,069.08 |
| Miscellaneous Receipts | Bank of America, N.A. | 1,998.94 |
| Occupational Therapy | Bank of America, N.A. | 23,801.50 |
| Savings | Bank of America, N.A. | 100,064.96 |
| **10800 - LIVINGSTON CORRECTIONAL FACILITY** | | |
| Consolidated Advance | Five Star Bank | 1,652.53 |
| Employee Benefit Fund | Five Star Bank | 7,852.36 |
| Inmate Funds CD | Five Star Bank | 16,508.86 |
| Inmate Funds CD | Five Star Bank | 20,594.08 |
| Inmate Funds CD | Five Star Bank | 47,069.85 |
| Inmate Funds Checking | Five Star Bank | 52,005.64 |
| Inmate Savings | Five Star Bank | 56,023.44 |
| Miscellaneous Receipts | Five Star Bank | 555.70 |
| Occupational Therapy | Five Star Bank | 6,444.09 |
| **10810 - GOUVERNEUR CORRECTIONAL FACILITY** | | |
| Agency Advance | Community Bank | 3,075.77 |
| Inmate Occupational Therapy | Community Bank | 17,778.34 |
| Inmate Savings | Community Bank | 239,743.11 |
| Inmate Spendable Fund | Community Bank | 147,884.02 |
| Misc Receipts | Community Bank | 1,666.25 |
| **10820 - WILLARD DRUG TREATMENT CENTER** | | |
| Consolidated Advance | Community Bank | 1,235.73 |
| Employee Benefit Fund | Community Bank | 12,444.02 |
| Inmate Funds | Community Bank | 45,653.86 |
| Inmate Occupational Therapy | Community Bank | 2,729.28 |
| Misc Receipts | Community Bank | 6,415.97 |
| **10840 - UPSTATE CORRECTIONAL FACILITY-AUDIT 1** | | |
| Advance Account | Key Bank | 3,963.17 |
| Facility Committees | Key Bank | 8,398.53 |
| Inmate Fund | Key Bank | 58,228.09 |
| Inmate Fund Savings | Key Bank | 344,873.01 |
| Inmate Occupational Therapy Fund | Key Bank | 1,552.96 |
| Miscellaneous Account | Key Bank | 467.74 |
| **10850 - HALE CREEK ASACTC** | | |

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| Consolidated Advance | Key Bank | 1,037.51 |
| Employee Benefit Fund | Bank of America, N.A. | 15,220.55 |
| Inmate Funds | Key Bank | 52,513.33 |
| Inmate Interest Bearing Account | Key Bank | 15,000.75 |
| Misc Receipts | Key Bank | 16.70 |
| Occupational Therapy | Key Bank | 10,987.98 |
| **10900 - ATTICA CORRECTIONAL FACILITY - INDUSTRIES** | | |
| Attica Correctional Facility Div Of Industries | First Niagara Bank | 1,300.00 |
| **10904 - GREAT MEADOW CORRECTIONAL FACILITY - INDUSTRIES** | | |
| Cash Advance | Citizens Bank | No report received |
| **10905 - FISHKILL CORRECTIONAL FACILITY - INDUSTRIES** | | |
| Agency Advance Account | M&T Bank | 859.63 |
| **10906 - WALLKILL CORRECTIONAL FACILITY - INDUSTRIES** | | |
| Division of Industry | Key Bank | 192.36 |
| **10908 - GREEN HAVEN CORRECTIONAL FACILITY - INDUSTRIES** | | |
| Div of Industries Petty Cash | Key Bank | 3,047.70 |
| **10909 - ALBION CORRECTIONAL FACILITY - INDUSTRIES** | | |
| Petty Cash | Bank of America, N.A. | 1,000.00 |
| **10910 - EASTERN NEW YORK CORRECTIONAL FACILITY - INDUSTRIES** | | |
| Div of Industries Petty Cash | Bank of America, N.A. | 837.11 |
| **10916 - CENTRAL OFFICE - INDUSTRIES** | | |
| Div of Ind Petty Cash Acct | Key Bank | 5,338.01 |
| Div of Ind Revenue Acct | Key Bank | 11,437.76 |
| **11000 - EDUCATION DEPARTMENT** | | |
| Consolidated Advance Account | Key Bank | No report received |
| Consolidated Advance Account (Control Disbursement) | Key Bank | No report received |
| Revenue Account | Key Bank | No report received |
| **11100 - NYS HIGHER EDUCATION SERVICES CORPORATION** | | |
| EFT Disbursement | Key Bank | No report received |
| Operating | Key Bank | No report received |
| Retail Lockbox | US Bank | No report received |
| TAP | Key Bank | No report received |
| Wholesale Lockbox | US Bank | No report received |
| **11260 - BATAVIA SCHOOL FOR THE BLIND** | | |
| Misc. Receipts | M&T Bank | No report received |
| Petty Cash | M&T Bank | No report received |
| Student Spending Account | Bank of America, N.A. | No report received |
| **11270 - ROME SCHOOL FOR THE DEAF** | | |
| Miscellaneous Receipts | NBT Bank | 457.64 |
| Petty Cash | NBT Bank | 1,890.00 |
| Student Activity Fund | NBT Bank | 1,560.34 |
| **11280 - ARCHIVES PARTNERSHIP TRUST** | | |
| Endowment | Janney Montgomery Scott LLC | 4,148,121.81 |
| Endowment - Special Account | Janney Montgomery Scott LLC | 9,754.99 |
| Trust's Board Project Account | Key Bank | 139,424.56 |
| **12000 - DEPARTMENT OF HEALTH CENTRAL ADMINISTRATION** | | |
| Conf Narcotic Investigation | M&T Bank | No report received |
| Consolidated Advance Acct | M&T Bank | No report received |
| CSA Rebate Account | Bank of America, N.A. | No report received |
| EPIC Benefit Recovery Program | Bank of America, N.A. | 111,454.31 |
| EPIC Provider Receipt Account | Bank of America, N.A. | 0.00 |
| General Account | M&T Bank | No report received |
| Indian Health Disbursement Account | Bank of America, N.A. | 0.00 |
| Medicaid | Key Bank | No report received |
| Medicaid Audit Recoveries Acct | Key Bank | No report received |
| Medicaid Buy-In Account | Bank of America, N.A. | No report received |
| Medicaid Insurance Recoveries Acct | Bank of America, N.A. | No report received |
| Nursing Home Fees Account | Bank of America, N.A. | 97,311.13 |
| NYPS Master Funding Account | Bank of America, N.A. | 6,799.75 |
| NYPS Provider Payment Account | Bank of America, N.A. | 0.00 |
| **12010 - ROSWELL PARK MEMORIAL INSTITUTE** | | |
| Office Of Patient Accounts | M&T Bank | 1,614,795.68 |
| **12030 - HELEN HAYES HOSPITAL** | | |
| Misc. Receipts | JPMorgan Chase Bank, N.A. | No report received |
| Petty Cash Account | JPMorgan Chase Bank, N.A. | No report received |
| Rental Deposit Acct | JPMorgan Chase Bank, N.A. | No report received |
| **12120 - NYS VETERANS HOME-OXFORD** | | |
| Agency Advance | NBT Bank | 12,596.91 |
| Exchange Account | NBT Bank | No report received |
| Maintenance Fund | NBT Bank | No report received |
| Resident Advance Savings | NBT Bank | No report received |
| **12150 - NYS VETERANS HOME-ST ALBANS** | | |
| NYC Veteran Home Agency Advance | JPMorgan Chase Bank, N.A. | No report received |
| St Albans NYC Vet Home Resid Funds | JPMorgan Chase Bank, N.A. | No report received |

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|---|---|---|
| St Albans Vet Home Maintenance Acct | NBT Bank | 204,550.23 |
| **12180 - WESTERN NEW YORK VETERANS HOME** | | |
| Advance Account | Bank of America, N.A. | 3,731.18 |
| Exchange Account | Bank of America, N.A. | 86,258.19 |
| Maintenance Account | NBT Bank | 88,747.80 |
| Resident Funds | Bank of America, N.A. | 310,876.77 |
| **12190 - VETERANS HOME AT MONTROSE** | | |
| Agency Advance Account | Bank of America, N.A. | 11,739.88 |
| Maintenance Acct | NBT Bank | 347,487.92 |
| Residence Account | Bank of America, N.A. | 914,020.84 |
| **12200 - OFFICE OF MEDICAID INSPECTOR GENERAL** | | |
| Albany Confidential Account | Key Bank | 309.59 |
| Albany Petty Cash Account | Key Bank | 202.40 |
| NYC Confidential Account | JPMorgan Chase Bank, N.A. | 156.55 |
| **14000 - DEPARTMENT OF LABOR** | | |
| Agency Advance Account | Key Bank | 27,015.99 |
| Exchange Account | Bank of America, N.A. | 86,210.16 |
| Fee And Permit Account | Key Bank | 1,391,045.75 |
| Min Wage & Claim Funding Acct | Key Bank | 707,021.05 |
| Minimum Wage & Wage Claim Acct | Key Bank | 917,260.80 |
| Misc Receipts | Bank of America, N.A. | 130,585.35 |
| U.I. Fund Clearing Account | JPMorgan Chase Bank, N.A. | 1,022,195.51 |
| **16000 - PUBLIC SERVICE COMMISSION** | | |
| Advance For Travel | Key Bank | 15,000.00 |
| Cable Account | Key Bank | 5,174.51 |
| Petty Cash Account | Key Bank | 13,415.00 |
| Special Fee Account | Key Bank | 19,923.06 |
| **17000 - NYS DEPARTMENT OF TRANSPORTATION** | | |
| Contractors Bid And Guarantee | Key Bank | (102,875.85) |
| Driver Improvement Program (DIP) | Key Bank | 17,374.31 |
| Emergency Card Funding Account | Bank of America, N.A. | 99,197.25 |
| Main Office Advance For Travel | Key Bank | 124,779.58 |
| Revenue Unit | Key Bank | 151,688.46 |
| Republic Airport, Long Island | | |
| Republic Airport Revenue Acct | JPMorgan Chase Bank, N.A. | 168,257.13 |
| **17100 - NYS DEPARTMENT OF TRANSPORTATION-REGION 10** | | |
| Region 10 Advance For Travel | Citibank | No report received |
| **19000 - DEPARTMENT OF STATE** | | |
| Atheltic | M&T Bank | No report received |
| Licensing Revenue Account | JPMorgan Chase Bank, N.A. | No report received |
| Main | M&T Bank | No report received |
| Petty Cash Account | Key Bank | No report received |
| Summons | M&T Bank | No report received |
| **19001 - TUG HILL COMMISSION** | | |
| Agency Advance Account | Key Bank | No report received |
| **19002 - LAKE GEORGE PARK COMMISSION** | | |
| Petty Cash Account | Glens Falls National | No report received |
| Revenue Transfer Account | Glens Falls National | No report received |
| **19005 - COMMISSION ON PUBLIC INTEGRITY** | | |
| CPI Revenue Account | Key Bank | No report received |
| Petty Cash Account | Key Bank | No report received |
| **20000 - DEPARTMENT OF TAXATION & FINANCE** | | |
| Advance Tax Enforcement | JPMorgan Chase Bank, N.A. | 29,008.00 |
| Exchange | Bank of America, N.A. | 48.52 |
| Fee Account | Key Bank | 508,439.86 |
| IFTA Funding | JPMorgan Chase Bank, N.A. | 20,385.06 |
| Misc Tax Account - Exchange | Bank of America, N.A. | 255,721.36 |
| Petty Cash | Bank of America, N.A. | 44,266.85 |
| Tax Preparer Fees Account | JPMorgan Chase Bank, N.A. | 111,100.00 |
| Waste Tire Tax | JPMorgan Chase Bank, N.A. | 1,552,499.59 |
| **20050 - DIVISION OF THE LOTTERY** | | |
| Concentration | Key Bank | 198,829.33 |
| Custody Account | US Bank | No report received |
| Exchange Account | Key Bank | 8,925,960.11 |
| Lottery Prize Account #2 | Key Bank | 0.00 |
| Lottery Subscriptions Account | Key Bank | 617,466.32 |
| **21012 - WELFARE INSPECTOR GENERAL** | | |
| Confidential Fund | JPMorgan Chase Bank, N.A. | No report received |
| Petty Cash | JPMorgan Chase Bank, N.A. | No report received |
| **21110 - OFFICE OF REGULATORY REFORM** | | |
| Petty Cash | Key Bank | No report received |
| **21290 - HUDSON RIVER-BLACK RIVER REGULATING DISTRICT** | | |
| Checking- General Fund Acct. | Community Bank | 93,272.06 |
| Checking- Petty Cash Fund | Community Bank | 5,000.00 |

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|---|---|---|
| Hudson River General Acct | Bank of America, N.A. | 40,610.73 |
| Money Market | Bank of America, N.A. | 907.00 |
| Petty Cash Fund | Bank of America, N.A. | 6,500.00 |
| **21700 - OFFICE OF THE STATE INSPECTOR GENERAL** | | |
| Office Of The State Inspector General Confidential Account | JPMorgan Chase Bank, N.A. | No report received |
| Office Of The State Inspector General Pass Thru Account | Key Bank | No report received |
| OSIG Confidential Account | Key Bank | No report received |
| OSIG Petty Cash Account | Key Bank | No report received |
| **21820 - STATE COMMISSION ON JUDICIAL CONDUCT** | | |
| Petty Cash Account | JPMorgan Chase Bank, N.A. | 402.80 |
| Petty Cash Account | Key Bank | 271.88 |
| Petty Cash Fund | JPMorgan Chase Bank, N.A. | 342.81 |
| **21940 - NYS FINANCIAL CONTROL BOARD** | | |
| Agency Advance Acct | JPMorgan Chase Bank, N.A. | 813.41 |
| **23000 - DEPARTMENT OF MOTOR VEHICLES** | | |
| Genesee | Bank of Castile | 42,906.81 |
| Hamilton County Fee Account | NBT Bank | No report received |
| Oswego County Fee Account | NBT Bank | No report received |
| Abany Central Main Acct | | |
| Albany Central Main Acct | Wells Fargo Bank | 1,093,604.42 |
| Albany Central Main Exchange | | |
| Exchange | Wells Fargo Bank | 34,814.11 |
| Albany Central Main Exchange (Albany Central Office) | | |
| Exchange | M&T Bank | 27,907.19 |
| Albany Central Office | | |
| DMV Exchange Acct - Controlled Disb | M&T Bank | 0.00 |
| Title Escrow Exchange (Albany Central Office) | Wells Fargo Bank | 25,049.00 |
| Albany TVB Sub (Albany Central Office) | | |
| Adjudication Account | Wells Fargo Bank | 177,434.20 |
| Administrative Adj | M&T Bank | 105,724.36 |
| Albany-Region 3 | | |
| Confidential Inv Subpoena - Albany | Key Bank | No report received |
| Allegany-Belmont | | |
| County Clerk Fee Allegany | Steuben Trust Co. | 16,836.42 |
| Andirondack Mountains | | |
| County Fee Account | JPMorgan Chase Bank, N.A. | 229,425.44 |
| Broome-Endicott,Binghamton(BND), Binghamton(BNG), Mobile | | |
| Broome County Fee Account | NBT Bank | No report received |
| Buffalo-Region 5 | | |
| MV- Buffalo Investigator & Subpoena | M&T Bank | 1,500.00 |
| Capital Saratoga Revenue | | |
| County Fee Account | JPMorgan Chase Bank, N.A. | 184,725.18 |
| Catskill Mountains | | |
| County Fee Account | JPMorgan Chase Bank, N.A. | 256,597.37 |
| Cattaragus-Little Valley | | |
| Cattaragus County Fee Account | Cattaraugus County Bank | 893.31 |
| Cattaragus-Olean | | |
| Fee Account - Catt Olean | Key Bank | No report received |
| Cattaraugus-Delavan | | |
| Dept MV Cattaraugus Co. | M&T Bank | 30,098.80 |
| Cayuga-Auburn | | |
| Fee Account - Cayuga | Key Bank | No report received |
| Central Leatherstocking | | |
| County Fee Account | JPMorgan Chase Bank, N.A. | 183,640.23 |
| Chautaqua-Steuben | | |
| County Fee Acct | JPMorgan Chase Bank, N.A. | 109,242.51 |
| Chautaugua-Jamestown | | |
| County Clerk Fee Acct Chautauqua | Key Bank | No report received |
| Chautaugua-Mayville | | |
| County Clerk Fee Acct Chautauqua | M&T Bank | 21,735.04 |
| Chautauqua County | | |
| Holding Acct-Chautauqua County | Community Bank | No report received |
| Holding Acct-Chautauqua County | Key Bank | No report received |
| Holding Acct-Chautauqua County | M&T Bank | No report received |
| Chautauqua-Dunkirk | | |
| Commissioner Acct- Chautauqua | Community Bank | 6,846.88 |
| Chemical Concentration (CTY)(OSC) | | |
| Chemical Concentration (CTY)(OSC) | First Niagara Bank | No report received |
| Chemical Concentration (DO)(OSC) | | |
| Chemical Concentration (DO)(OSC) | First Niagara Bank | No report received |
| Chemung-Elmira | | |
| Fee Account - Chemung | Chemung Canal Trust | 126,921.56 |
| Chenango-Norwich | | |
| Chenango County Fee Account | NBT Bank | 102,875.16 |

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|---|---|---|
| Clinton-Plattsburgh | | |
| Clinton County Clerk Fee Account | Key Bank | No report received |
| Columbia-Hudson | | |
| Columbia CO Fee Account | Greene County Commercial Bank | No report received |
| Coney Island D.O. | | |
| Coney Island Exchange | JPMorgan Chase Bank, N.A. | No report received |
| Confidential Fund (Albany Central Office) | | |
| Confidential Fund | Bank of America, N.A. | No report received |
| Cortland-Cortland | | |
| Fee Account - Cortland | Alliance Bank | No report received |
| CTY Credit Card (Albany Central Office) | | |
| County Office Credit Card Account | JPMorgan Chase Bank, N.A. | 1,659,100.00 |
| Customer Service Counter (Albany) | | |
| NYS DMV CSC | Wells Fargo Bank | 9,438.71 |
| D.O. Credit Card (Albany Central Office) | | |
| District Office Credit Card Account | JPMorgan Chase Bank, N.A. | 6,051,360.54 |
| Delaware-Delhi | | |
| Count Clerk Fee Acct-Delaware | Delaware National Bank | 1,074.11 |
| Delaware-Deposit | | |
| Delaware County Fee Account | NBT Bank | No report received |
| Delaware-Margaretville | | |
| Delaware County Clerk Fee Account | NBT Bank | No report received |
| Delaware-Sidney | | |
| County Clerk Fee Account Delaware | NBT Bank | No report received |
| DMV Division Of Field Investigations - Albany Central Office | | |
| Field Investigation | M&T Bank | No report received |
| Dutchess-Beacon | | |
| Commissioners Account | M&T Bank | 16,718.10 |
| Dutchess-Millbrook | | |
| Dutchess County Satellit Off | Bank of Millbrook | 481,127.56 |
| Dutchess-Pawling | | |
| Dutchess County Branch Office | Key Bank | No report received |
| Dutchess-Poughkeepsie | | |
| DMV- County Clerk Fee Account | TD Bank | 702.81 |
| Dutchess-Wappingers Falls | | |
| Fee Account | M&T Bank | 36,945.44 |
| Eric County Revenue | | |
| County Fee Account | JPMorgan Chase Bank, N.A. | 281,083.93 |
| Erie- Buffalo,Amherest,Cheektowaga,Erie Cty Mo,Erie Cty-E,Erie Cty CC,Evans Town | | |
| Erie County Fee Acct Buffalo | M&T Bank | 34,755.40 |
| Essex- Elizabethtown and Ticonderoga | | |
| County Clerk Fee Acct-Essex | Champlain National | No report received |
| Finger Lakes First | | |
| County Fee Acct | JPMorgan Chase Bank, N.A. | 129,219.43 |
| Finger Lakes Second | | |
| County Fee Acct | JPMorgan Chase Bank, N.A. | 223,431.56 |
| Franklin-Malone and Saranac Lake | | |
| Fee Account Franklin | Key Bank | No report received |
| Fulton-Johnstown | | |
| County Clerk Fee Acct Fulton | Bank of America, N.A. | No report received |
| County Clerk Fee Acct Fulton | NBT Bank | No report received |
| Genesee County | | |
| Genesee County Clerk - DMV | Bank of Castile | 91,535.00 |
| Glendale | | |
| NYS Multi-Agency EAP Of Glendale | HSBC | No report received |
| Greene County | | |
| Fee Account - Greene | Greene County Commercial Bank | No report received |
| Greene-Catskill | | |
| Greene Co Clerk Fee Account | Greene County Commercial Bank | No report received |
| HCK,WHD,BYS,PSK,WPD,BRX,BXI,BRK | | |
| Revenue Account - Downstate | Wells Fargo Bank | 1,164,685.13 |
| Herkimer-Herkimer,Old Forge | | |
| Herkimer County | M&T Bank | 356,930.80 |
| Hudson Valley | | |
| County Fee Acct | JPMorgan Chase Bank, N.A. | 212,202.25 |
| IRP (Albany Central Office) | | |
| International Registration | M&T Bank | 425,400.72 |
| International Registration | Wells Fargo Bank | 20,945.31 |
| IRP Exchange (Albany Central Office) | | |
| Irp Internet Office - Dept. MV | M&T Bank | 180,117.57 |
| Jefferson-Watertown And Fort Drum | | |
| Jefferson Co Fee Account | Community Bank | No report received |
| Kiosk | | |
| Kiosk Account | JPMorgan Chase Bank, N.A. | 337,535.70 |

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|---|---|---|
| Lewis-Lowville | | |
| County Clerk Fee Lewis Co. | Community Bank | No report received |
| Livingston-Geneseo And Dansville | | |
| County Clerk Fee Acct-Livingston | Key Bank | No report received |
| Long Island/Staten Island DO | | |
| Long Island/Staten Island DO | Wells Fargo Bank | 1,138,697.03 |
| Madison-Wampsville | | |
| Madison County Fee Account | JPMorgan Chase Bank, N.A. | 34,423.39 |
| Monroe-Henrietta(RCH),Greece,Irondequoit,Mobile,Mobile2 And Mobile3 | | |
| Fee Account Monroe | JPMorgan Chase Bank, N.A. | 38,062.02 |
| Montgomery-Fonda | | |
| County Clerk Fee Montgomery | NBT Bank | No report received |
| Nassau-Region 1 | | |
| Division of Vehicle Safety | Citibank | No report received |
| Niagara Frontier | | |
| County Fee Acct | JPMorgan Chase Bank, N.A. | 147,726.65 |
| Niagara-Niagara Falls,Lockport, N. Tonawanda | | |
| Fee Account Niagara | M&T Bank | 25,673.65 |
| Office Fee (Albany Central Office) | | |
| Office Fee | Wells Fargo Bank | 8,089.78 |
| Oleans-Albion | | |
| Fee Acct - Orleans | Bank of America, N.A. | No report received |
| Oneida County | | |
| DMV Oneida County Fee Account | Bank of Utica | 124,880.09 |
| Oneida County Fee Account | NBT Bank | 92,850.30 |
| Oneida-Rome | | |
| Fee Acct - Oneida/Rome | NBT Bank | No report received |
| Oneinda-Utica And Mobile | | |
| DMV Revenue Account (County) | Bank of Utica | No report received |
| Ontario-Canandaigua and Geneva | | |
| MV Fee Ontario | Canandaigua National Bank | No report received |
| Orange-Goshen and Middletown | | |
| Orange County Fee Account | Orange County Trust Bank | 25,819.75 |
| Orange-Newburgh | | |
| Motor Vehicle Fee Acct-Orange | Key Bank | No report received |
| Orange-Port Jervis | | |
| Orange County Fee Account | Bank of America, N.A. | No report received |
| Otsego-Cooperstown and Oneonta | | |
| County Clerk Fee Account-Otsego | Key Bank | No report received |
| Petty Cash (Albany Central Office) | | |
| Petty Cash | Bank of America, N.A. | No report received |
| Putnam County | | |
| County Clerk Fee Acct-Putnam | Putnam County National Bank | 267.58 |
| Queens-Region 6 | | |
| Confidential - Queens | JPMorgan Chase Bank, N.A. | 4,130.00 |
| Rensselaer-Troy,Schodack,Moblie | | |
| Rensselaer County Clerk | M&T Bank | 1,584.34 |
| Rockland/Westchester DO | | |
| Rockland/Westchester DO | Wells Fargo Bank | 148,108.85 |
| Saratoga-Ballston Spa,Cliftion Park, Saratoga Springs | | |
| Saratoga Co Clerk | First Niagara Bank | 726.54 |
| Schenectady-Schenectady | | |
| County Clerk Fee Acct Schenectady | Bank of America, N.A. | No report received |
| Schoharie-Schoharie | | |
| Schoharie County Clerk Revenue | NBT Bank | No report received |
| Schuyler-Watkins Glen | | |
| County Clerk Fee Acct- Watkins Glen | Community Bank | No report received |
| Search Exchange (Albany Central Office) | | |
| MV Search | HSBC | No report received |
| Search Exchange (Albany Central Office) | | |
| MV Search | Wells Fargo Bank | 148,450.85 |
| Seneca-Waterloo | | |
| County Clerk Fee Acct Seneca | Community Bank | No report received |
| St. Lawrence-Canton,Massena,Gouvernwur,Ogdensburg | | |
| Motor Vehicle Fee Acct-St Lawrence | Community Bank | No report received |
| Steuben-Bath | | |
| County Clerk Fee Acct- Bath | Five Star Bank | No report received |
| Steuben-Corning | | |
| County Clerk Fee Acct- Corning | Community Bank | No report received |
| Steuben-Hornell | | |
| County Clerk Fee Acct-Steuben | Steuben Trust Co. | No report received |
| Sullivan-Monticello and Mobile | | |
| Sullivan County Fee Account | Community Bank | 37,619.58 |
| Syracuse-Region 4 | | |

| | | |
|---|---|---|
| Confidential - Syracuse | Key Bank | No report received |
| Thousand Island Seaway | | |
| County Fee Acct | JPMorgan Chase Bank, N.A. | 345,535.51 |
| Tioga-Owego | | |
| County Clerk Fee Acct - Tioga | Chemung Canal Trust | 362,067.95 |
| Title Escrow Exchange (Albany Central Office) | | |
| Escrow Title | M&T Bank | No report received |
| Tompkins-Ithaca | | |
| Tompkins County Clerk Fee Acct | Tompkins County Trust | 124,130.42 |
| Travel Advance (Albany Central Office) | | |
| Travel Advance | Bank of America, N.A. | No report received |
| TVB Acct | | |
| TVB Acct | Wells Fargo Bank | 130,261.45 |
| TVB Credit Card (Albany Central Office) | | |
| TVB Credit Card Receipts | JPMorgan Chase Bank, N.A. | 916,039.35 |
| Ulster-Kingston And Mobile | | |
| Motor Vehicle Fee Acct-Ulster | TD Bank | 1,062,821.47 |
| Upstate DO | | |
| Upstate District Offices (ALB, SYD, SYS, UTD) | Wells Fargo Bank | 105,251.87 |
| Utica D.O. | | |
| Exchange Account | Bank of Utica | 3,691.89 |
| Revenue Utica | Bank of Utica | No report received |
| Warren-Lake George | | |
| County Clerk Fee Acct-Warrant | TD Bank | 1,039.83 |
| Washington-Fort Edward | | |
| County Clerk Fee Acct-Washington | TD Bank | No report received |
| Wayne-Lyons | | |
| County Clerk Fee Acct Wayne | Lyons National | 917.23 |
| Wyoming-Warsaw | | |
| Wyoming County Clerk Fee Account | Five Star Bank | 809.14 |
| Yates-Penn Yan | | |
| Fee Acct - Yates | Community Bank | No report received |
| Yonkers-Region 2 | | |
| Safety Sup Automotive FAC INSP | JPMorgan Chase Bank, N.A. | 2,093.00 |
| **25000 - OFFICE OF CHILDREN & FAMILY SERVICES** | | |
| Brentwood Resid Advance | JPMorgan Chase Bank, N.A. | 156.00 |
| Brentwood Resid Center Cash Advance | JPMorgan Chase Bank, N.A. | 96.08 |
| Bronx CMSO Cash Advance #237 | JPMorgan Chase Bank, N.A. | 450.00 |
| Brooklynn Aftercare Wraparound Account | JPMorgan Chase Bank, N.A. | 500.00 |
| Brookwood Cash Advance | Key Bank | 1,292.41 |
| Brookwood Resid Residential Cash | Key Bank | 13,981.30 |
| Buffalo CMSO | M&T Bank | 261.00 |
| Capital District CMSO | Key Bank | 350.00 |
| Check Exchange | Bank of America, N.A. | 721,130.46 |
| CO Independent Living Acct | Bank of America, N.A. | 9,570.00 |
| Co. Training Employment Dev (Youth Stipend) | Bank of America, N.A. | 22,463.05 |
| Columbia Girls Secure Center-Advance Acct | Bank of America, N.A. | 572.44 |
| Columbia Girls Secure Center-Youth Savings | Bank of America, N.A. | 2,451.43 |
| Ella Mcqueen Reception Center For Boys | Bank of America, N.A. | 500.00 |
| Finger Lakes Res Ctr Residents Cash | Tompkins County Trust | 4,284.30 |
| Fingerlakes Res Ctr Cash Advance | Tompkins County Trust | 2,775.34 |
| Goshen Cash Advance | Bank of America, N.A. | 983.97 |
| Goshen Residents Account | Bank of America, N.A. | 15,534.20 |
| Highland Res Ctr Petty Cash Account | Bank of America, N.A. | 1,861.72 |
| Highland Res Ctr Residents Acct | Bank of America, N.A. | 5,988.99 |
| Home Office Care & Maintenance Account | Bank of America, N.A. | 0.00 |
| Industry Advance Account | JPMorgan Chase Bank, N.A. | 1,860.90 |
| Industry Res Account | JPMorgan Chase Bank, N.A. | 3,020.00 |
| MacCormick Cash Advance | Tompkins County Trust | 1,213.29 |
| MacCormick Resid Advance | Tompkins County Trust | 6,787.31 |
| Manhattan CMSO | JPMorgan Chase Bank, N.A. | 250.00 |
| Medicaid Reimbursement Exchange | Bank of America, N.A. | 2,700,382.39 |
| Mid Hudson #236 | Bank of America, N.A. | 500.00 |
| NYS OCFS Advance Acct (Travel & Misc P.C.) | Bank of America, N.A. | 13,038.75 |
| NYS OCFS Salary Advance Account | Bank of America, N.A. | 7,400.00 |
| Queens CMSO Cash Advance | Bank of America, N.A. | 400.00 |
| Queens-Long Island Aftercare | JPMorgan Chase Bank, N.A. | 472.98 |
| Red Hook Res Ctr Resident Cash | Key Bank | 1,068.41 |
| Red Hook Resid Ctr Cash Advance | Key Bank | 275.10 |
| Rochester Aftercare Wraparound Account | JPMorgan Chase Bank, N.A. | 720.00 |
| State Central Register | Bank of America, N.A. | 59,339.00 |
| Taberg Cash Advance Account | M&T Bank | 481.56 |
| Taberg Residents Account | M&T Bank | 454.60 |
| Training Academy Cash Advance | Bank of America, N.A. | 0.00 |

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|---|---|---|
| Youth Leadership Cash Advance | NBT Bank | 471.20 |
| Youth Leadership Resident Cash | NBT Bank | 2,911.97 |
| **27000 - OFFICE OF TEMPORARY & DISABILITY ASSISTANCE** | | |
| Exchange Account | Key Bank | 265.70 |
| Title IV D Of Social Security | Key Bank | 196,687.57 |
| Travel Advance | Key Bank | 10,000.00 |
| **28010 - SUNY ALBANY** | | |
| Fee Account | Key Bank | 385,923.54 |
| Loan Services Center Account | Key Bank | 47,177.44 |
| Petty Cash/Travel Advance | Key Bank | 50,840.00 |
| **28020 - SUNY BINGHAMTON** | | |
| SUNY Binghamton | M&T Bank | 3,757,991.15 |
| SUNY Binghamton - Controlled Disb | M&T Bank | 0.00 |
| SUNY Binghamton - Petty Cash | M&T Bank | 62,510.66 |
| **28030 - SUNY BUFFALO** | | |
| Agency Advance Account | Bank of America, N.A. | 2,400.00 |
| Controlled Disbursement Account | Bank of America, N.A. | 0.00 |
| General Revenue Account | Bank of America, N.A. | 2,765,620.45 |
| Imprest Account | Bank of America, N.A. | 144,221.57 |
| **28050 - SUNY STONY BROOK** | | |
| Central Funding | JPMorgan Chase Bank, N.A. | 1,401,691.56 |
| Controlled Disbursement | JPMorgan Chase Bank, N.A. | 0.00 |
| Fees Depository | JPMorgan Chase Bank, N.A. | 1,473,933.06 |
| LISVH Fees Depository | JPMorgan Chase Bank, N.A. | 460,965.90 |
| LISVH Fees Depository | Sterling Bank | 321,840.79 |
| LISVH Residence Fund | Sterling Bank | 392,953.73 |
| Payroll Advance | JPMorgan Chase Bank, N.A. | 7,639.03 |
| SBU Student Refunds Cont Disb Acct | JPMorgan Chase Bank, N.A. | 0.00 |
| State Consolidated Petty Cash/Travel Advance | JPMorgan Chase Bank, N.A. | 19,563.35 |
| Student ACH Refunds Account | JPMorgan Chase Bank, N.A. | 11,891.61 |
| University Hosp Fees Depository | JPMorgan Chase Bank, N.A. | 7,167,047.74 |
| University Hospital Petty Cash | JPMorgan Chase Bank, N.A. | 1,409.72 |
| **28100 - SUNY HEALTH SCIENCE CENTER AT BROOKLYN** | | |
| Center Revenue | JPMorgan Chase Bank, N.A. | 287,624.67 |
| EFT Federal Deposits Acct | JPMorgan Chase Bank, N.A. | 0.00 |
| Hospital Controlled Disbursement | JPMorgan Chase Bank, N.A. | 0.00 |
| Hospital Revenue | JPMorgan Chase Bank, N.A. | 3,244,264.24 |
| LICH Controlled Disbursement | JPMorgan Chase Bank, N.A. | 0.00 |
| LICH Depository | JPMorgan Chase Bank, N.A. | 234,878.62 |
| Petty Cash | JPMorgan Chase Bank, N.A. | 73,559.09 |
| Student Refunds | JPMorgan Chase Bank, N.A. | 0.00 |
| **28110 - SUNY HEALTH SCIENCE CENTER AT SYRACUSE** | | |
| College Revenue | Key Bank | 363,522.89 |
| Controlled Disbursement | Key Bank | (30.00) |
| Hospital Revenue | Key Bank | 5,136,890.57 |
| Parking | Key Bank | 30,301.85 |
| **28150 - SUNY BROCKPORT** | | |
| Agency Advance | M&T Bank | 15,980.00 |
| Brockport-REOC Account | Key Bank | 332,339.18 |
| Concentration Acct | M&T Bank | 0.00 |
| Controlled Disb | M&T Bank | 6,845.06 |
| **28160 - SUNY BUFFALO STATE COLLEGE** | | |
| Advance Account | M&T Bank | 78,306.13 |
| Controlled Disb | M&T Bank | 0.00 |
| Dept Public Safety | M&T Bank | 0.00 |
| Special Grant Account | M&T Bank | 3,473.14 |
| Students Acct Office | M&T Bank | 362,698.71 |
| **28170 - SUNY CORTLAND** | | |
| General Checking Account | Key Bank | 393,193.74 |
| Petty Cash | Key Bank | 24,778.22 |
| **28180 - SUNY FREDONIA** | | |
| Controlled Disb | M&T Bank | 0.00 |
| Depository Account | M&T Bank | 275,223.59 |
| Petty Cash | M&T Bank | 34,000.00 |
| **28190 - SUNY GENESEO** | | |
| Advance Account | Key Bank | 44,305.98 |
| Controlled Disbursement Account | Key Bank | 0.00 |
| State Fees | Key Bank | 1,494,057.75 |
| **28200 - SUNY OLD WESTBURY** | | |
| Local Depository | JPMorgan Chase Bank, N.A. | 280,816.77 |
| Petty Cash | JPMorgan Chase Bank, N.A. | 11,419.10 |
| **28210 - SUNY NEW PALTZ** | | |
| Disbursement Account | Key Bank | 0.00 |
| Petty Cash | Key Bank | 61,279.44 |

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|---|---|---|
| State Revenue | Key Bank | 234,072.68 |
| **28220 - SUNY ONEONTA** | | |
| Petty Cash Advance Account | NBT Bank | 61,109.00 |
| Revenue Account | NBT Bank | 3,206,656.26 |
| **28230 - SUNY OSWEGO** | | |
| Controlled Disbursement | Key Bank | 0.00 |
| General Revenue | Key Bank | 1,439,911.19 |
| Imprest Account | Key Bank | 50,110.68 |
| **28240 - SUNY PLATTSBURGH** | | |
| General Revenue | TD Bank | 3,550,400.08 |
| Petty Cash | Glens Falls National | 16,909.05 |
| **28250 - SUNY POTSDAM** | | |
| NYS University College At Potsdam | HSBC | 194,975.99 |
| Petty Cash | HSBC | 42,174.00 |
| State Fee Account | Key Bank | 0.00 |
| State Fee Reconciliation Account | HSBC | 482,748.19 |
| **28260 - SUNY PURCHASE** | | |
| General Income Fund | Key Bank | 492,311.67 |
| Petty Cash/Travel | Key Bank | 500.00 |
| SUNY Purchase | Key Bank | 0.00 |
| **28270 - SUNY INSTITUTE OF TECHNOLOGY UTICA/ROME** | | |
| Advance Account | Bank of America, N.A. | 5,674.27 |
| Controlled Disbursement Account | Bank of America, N.A. | 0.00 |
| Revenue | Bank of America, N.A. | 393,812.68 |
| **28280 - SUNY EMPIRE STATE COLLEGE** | | |
| Concentration Account | Key Bank | 340,260.40 |
| Distribution Center Account | Key Bank | 66,127.69 |
| Zero Balance Controlled Disbursement Account | Key Bank | 0.00 |
| **28350 - SUNY COLLEGE OF TECHNOLOGY AT ALFRED** | | |
| Fees Account | Community Bank | 797,051.94 |
| Petty Cash Account | Community Bank | 33,185.00 |
| **28360 - SUNY COLLEGE OF TECHNOLOGY AT CANTON** | | |
| Consolidated Advance | Key Bank | 30,000.00 |
| Income Fund | Key Bank | 29,568.65 |
| International Program Account | Key Bank | 0.00 |
| **28370 - SUNY AGRICULTURAL & TECHNICAL COLLEGE AT COBLESKILL** | | |
| Agency Advance | Key Bank | 23,415.00 |
| Income Fund | Key Bank | 83,880.22 |
| **28380 - SUNY COLLEGE OF TECHNOLOGY AT DELHI** | | |
| General Revenue | Delaware National Bank | 235,751.05 |
| Petty Cash Fund | Delaware National Bank | 21,283.99 |
| **28390 - SUNY COLLEGE OF TECHNOLOGY AT FARMINGDALE** | | |
| Advance Account | Citibank | 16,837.46 |
| Income Fund | Citibank | 965,089.61 |
| **28400 - SUNY AGRICULTURAL & TECHNICAL COLLEGE AT MORRISVILLE** | | |
| Income Fund | Key Bank | 926,619.79 |
| Revenue Account | NBT Bank | 28,278.51 |
| **28550 - SUNY COLLEGE OF ENVIRONMENTAL SCIENCE & FORESTRY** | | |
| Advance Account | M&T Bank | 0.00 |
| Agency Advance | Key Bank | 21,353.87 |
| Controlled Disb | Key Bank | 0.00 |
| Controlled Disb | M&T Bank | 0.00 |
| Forestry | Community Bank | 258.72 |
| Regular Account | Key Bank | 261,309.21 |
| Revenue Account | M&T Bank | 106,727.61 |
| Student Government | Key Bank | 169,133.14 |
| **28559 - SUNY COLLEGE OF ENVIRONMENTAL SCIENCE & FORESTRY-CURRENT** | | |
| NYS College Of Environmental | HSBC | 0.00 |
| **28570 - SUNY MARITIME COLLEGE** | | |
| Controlled Disbursement Account | JPMorgan Chase Bank, N.A. | 0.00 |
| Cruise Account | JPMorgan Chase Bank, N.A. | 0.00 |
| Petty Cash Account | JPMorgan Chase Bank, N.A. | 9,293.70 |
| Revenue Deposit Account | JPMorgan Chase Bank, N.A. | 1,184,000.38 |
| Revenue EFT Account | JPMorgan Chase Bank, N.A. | 9,851.73 |
| **28580 - SUNY COLLEGE OF OPTOMETRY** | | |
| Consolidated Advance | JPMorgan Chase Bank, N.A. | 3,300.00 |
| General Revenue | JPMorgan Chase Bank, N.A. | 343,317.72 |
| Medical Transportation | JPMorgan Chase Bank, N.A. | 759.88 |
| **28650 - SUNY CENTRAL SYSTEM ADMINISTRATION** | | |
| ASC | Key Bank | 10,000.00 |
| NYS Iso | Key Bank | 2,648,315.66 |
| Petty Cash | Key Bank | 4,750.00 |
| Revenue | Key Bank | 154,175.69 |
| **37000 - DEPARTMENT OF FINANCIAL SERVICES** | | |

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|---|---|---|
| Advance for Travel | Key Bank | 50,000.00 |
| Fire Tax Account (Main) | Key Bank | 55,310.96 |
| General Assessment Account | JPMorgan Chase Bank, N.A. | 108,183.66 |
| General Fund | Key Bank | 368,651.41 |
| Market Stabilization Pool Account | Key Bank | 93,873,585.52 |
| Miscellaneous Account | JPMorgan Chase Bank, N.A. | 70,186.97 |
| Petty Cash | Key Bank | 3,884.37 |
| Workers Comp Insurance Sec Fund Pymnt | JPMorgan Chase Bank, N.A. | 100,024.92 |
| **49010 - SARATOGA-CAPITAL DISTRICT STATE PARK COMMISSION** | | |
| Contractors Bid (SA) | Bank of America, N.A. | 48,245.68 |
| Revenue (SA) | Glens Falls National | 3,858.71 |
| **49020 - LONG ISLAND STATE PARK COMMISSION** | | |
| Contractors Bid (LI) | JPMorgan Chase Bank, N.A. | 4,631.93 |
| Regional Account (LI) | Bank of America, N.A. | 1.00 |
| Regional Account 2 (LI) | JPMorgan Chase Bank, N.A. | 178,091.15 |
| Revenue (LI) | Suffolk County National | 3,495.96 |
| **49030 - GENESEE STATE PARK COMMISSION** | | |
| Contractors Bid (GE) | Bank of Castile | 51,275.03 |
| Revenue (GE) | Bank of Castile | 331,830.18 |
| **49040 - NIAGARA FRONTIER STATE PARK COMMISSION** | | |
| Contractors Bid (NIA) | Key Bank | 4,821.88 |
| Revenue (NIA) | Evans National Bank | 0.00 |
| **49050 - PALISADES INTERSTATE STATE PARK COMMISSION** | | |
| Contractors Bid (PA) | JPMorgan Chase Bank, N.A. | 681.91 |
| **49070 - OFFICE OF PARKS & RECREATION** | | |
| Main Office - Change Fund | Key Bank | 102,781.30 |
| Main Office - Travel | Key Bank | 3,000.00 |
| Main Office Account (ALB) | Key Bank | 1,185.00 |
| OPRHP Concentration Account | First Niagara Bank | 76,676.70 |
| Petty Cash (ALB) | Key Bank | 164,085.53 |
| Revenue (NI, GE, AL, CE, TA) | M&T Bank | 11,436.61 |
| Revenue (NYC, CE, LI, PA, TA) | JPMorgan Chase Bank, N.A. | 102,639.55 |
| Revenue (SA, LI, GE, NI, CE, TA) | Bank of America, N.A. | 131,482.08 |
| Revenue (SA, NI, PA, CE, TA, TI) | Key Bank | 50,875.71 |
| Revenue (various) | Wells Fargo Bank | 62,855.70 |
| Statewide Campsite/Cabin Revenue | JPMorgan Chase Bank, N.A. | 1,425.49 |
| Statewide Credit Card Revenue, Revenue (ALB, FL, LI, PA, TI) | First Niagara Bank | 108,998.11 |
| Statewide Housing Security Deposits | Key Bank | 162,444.10 |
| **49090 - FINGER LAKES STATE PARK COMMISSION** | | |
| Contractors Bid (FL) | Tompkins County Trust | 6,343.78 |
| Revenue (FL) | Savannah Bank | 16,583.89 |
| Revenue (FL-Ganondagan, Honeoye) | Canandaigua National Bank | 0.00 |
| Revenue (FL-Multi) | Community Bank | 632.44 |
| Revenue (FL-Multi-Facilities) | Tompkins County Trust | 212,616.45 |
| **49100 - ALLEGANY STATE PARK COMMISSION** | | |
| Contractors Bid (AL) | Five Star Bank | 3,680.00 |
| Regional Account (AL) | Five Star Bank | 99,634.00 |
| Revenue (AL) | Five Star Bank | 90,734.23 |
| **49120 - CENTRAL NEW YORK STATE PARK COMMISSION** | | |
| Contractors Bid (CE) | JPMorgan Chase Bank, N.A. | 23,912.10 |
| Revenue (CE, SA, TI) | NBT Bank | 26,758.83 |
| **49130 - TACONIC STATE PARK COMMISSION** | | |
| Contractors Bid (TA) | M&T Bank | 3,467.84 |
| **49140 - THOUSAND ISLANDS STATE PARK COMMISSION** | | |
| Revenue (TI -Long Point River) | Citizens Bank | 14,976.97 |
| Revenue (TI) | Citizens Bank | 305.55 |
| Revenue (TI-Multi) | Community Bank | 3,352.30 |
| **50000 - OFFICE OF MENTAL HEALTH** | | |
| Consolidated Advance | Bank of America, N.A. | 4,000.20 |
| Iterim Assistance Agreement | Bank of America, N.A. | No report received |
| OMH Med Grant Cont Disb Acct | Bank of America, N.A. | No report received |
| OMH Medication Grant Program Acct | Bank of America, N.A. | No report received |
| Petty Cash Manufacturing | Bank of America, N.A. | 300.00 |
| Reimbursement Account | Bank of America, N.A. | No report received |
| **50010 - GREATER BINGHAMTON HEALTH CENTER** | | |
| Agency Advance Account | JPMorgan Chase Bank, N.A. | 20,372.00 |
| Facility Holding Account | JPMorgan Chase Bank, N.A. | 30,258.79 |
| Patient Cash Funds | JPMorgan Chase Bank, N.A. | 445,171.31 |
| Patients Cash Account | JPMorgan Chase Bank, N.A. | 92,731.09 |
| Security Deposit | JPMorgan Chase Bank, N.A. | 4,289.55 |
| **50020 - KINGSBORO PSYCHIATRIC CENTER** | | |
| Advance Account | Banco Popular | 51,958.96 |
| Family Care | Banco Popular | 13,923.86 |
| Holding Account | Banco Popular | 131,788.14 |

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|---|---|---|
| Medicaid Outpatient Travel | Banco Popular | 8,032.75 |
| Patient Cash Acct (MM) | Banco Popular | 445,335.55 |
| Patient Checking Account | Citibank | 142,036.43 |
| Patient Savings Account | Banco Popular | 331,506.07 |
| Security Deposit | Banco Popular | 2,487.79 |
| Urban Oasis/EBT | Banco Popular | 1,357.88 |
| **50030 - BUFFALO PSYCHIATRIC CENTER** | | |
| Advance Account | M&T Bank | 30,093.73 |
| Employee Building & Donation | M&T Bank | 19,730.64 |
| Facility Holding | M&T Bank | 802.50 |
| Patient Cash Checking | M&T Bank | 155,650.97 |
| **50060 - HUDSON RIVER PSYCHIATRIC CENTER** | | |
| Patients Cash | JPMorgan Chase Bank, N.A. | (12,614.62) |
| **50080 - MANHATTAN PSYCHIATRIC CENTER** | | |
| Advance Account | Hudson Valley National Bank | 30,838.77 |
| CD | Hudson Valley National Bank | 425,038.94 |
| General Fund Checking | Hudson Valley National Bank | 17,752.35 |
| Patient Cash Checking | Hudson Valley National Bank | 449,025.13 |
| Patients Money Market | Hudson Valley National Bank | 72,660.07 |
| Social Service Tokens | Hudson Valley National Bank | 37,907.21 |
| **50110 - ROCHESTER PSYCHIATRIC CENTER** | | |
| Agency Advance | Key Bank | 26,235.48 |
| Facility Holding | Key Bank | 285,300.04 |
| Patients Cash Account | Key Bank | 248,154.54 |
| Patients Fund Savings | Key Bank | 243,480.15 |
| **50120 - ST LAWRENCE PSYCHIATRIC CENTER** | | |
| Facility Advance Account | Community Bank | 29,337.48 |
| Facility Holding Account | Community Bank | 22,981.39 |
| Patients Cash Account | Community Bank | 21,569.65 |
| Patients Cash Savings | Community Bank | 298,213.72 |
| **50150 - CREEDMOOR PSYCHIATRIC CENTER** | | |
| Advance Account | HSBC | 49,942.88 |
| Certificate Of Deposit | HSBC | 150,000.00 |
| Certificate Of Deposit | HSBC | 250,000.00 |
| Holding Account | HSBC | 25,368.03 |
| Medicaid Travel Account | HSBC | 44,728.30 |
| Money Management Account | HSBC | 938,624.26 |
| Patient Cash Account | HSBC | 86,941.93 |
| Rent Holding Account | HSBC | 0.00 |
| **50170 - ROCKLAND PSYCHIATRIC CENTER** | | |
| Advance Account | JPMorgan Chase Bank, N.A. | 33,466.87 |
| Exchange Account | JPMorgan Chase Bank, N.A. | 100,353.48 |
| Holding Account | JPMorgan Chase Bank, N.A. | 23,108.83 |
| Investment CD | Provident Bank | 100,086.63 |
| Investment CD | Provident Bank | 100,043.03 |
| Investment CD | Provident Bank | 100,063.58 |
| Investment CD | Provident Bank | 100,063.58 |
| Investment CD | Provident Bank | 100,043.03 |
| Investment CD | Provident Bank | 100,058.03 |
| Patient Cash Account | JPMorgan Chase Bank, N.A. | 50,000.00 |
| Patient Cash Checking Account | JPMorgan Chase Bank, N.A. | 220,890.95 |
| Patient Cash Savings Account | JPMorgan Chase Bank, N.A. | 825,074.99 |
| **50180 - NYS PSYCHIATRIC INSTITUTE** | | |
| Donation & Gift Acct/Patient Fund Acct | JPMorgan Chase Bank, N.A. | 3,220.93 |
| General | JPMorgan Chase Bank, N.A. | 12,668.97 |
| Petty Cash | JPMorgan Chase Bank, N.A. | 1,351.47 |
| **50190 - RICHARD H HUTCHINGS PSYCHIATRIC CENTER** | | |
| Advance Account | Key Bank | 12,563.20 |
| Clients Count | Key Bank | 225,102.81 |
| Holding Account | Key Bank | 12,106.04 |
| **50200 - PILGRIM PSYCHIATRIC CENTER** | | |
| Facility Advance Account | JPMorgan Chase Bank, N.A. | 84,435.58 |
| Facility Holding Acct | JPMorgan Chase Bank, N.A. | 126,366.58 |
| Family Care Advance Account | JPMorgan Chase Bank, N.A. | 16,448.32 |
| Patient Cash | JPMorgan Chase Bank, N.A. | 860,222.35 |
| **50210 - MOHAWK VALLEY PSYCHIATRIC CENTER** | | |
| Advance Fund | First Niagara Bank | 14,478.69 |
| Facility Holding | First Niagara Bank | 3,105.68 |
| Patient Cash Checking | Bank of America, N.A. | 63.77 |
| Patient Cash Checking | First Niagara Bank | 3,767.84 |
| Patient Cash Savings | First Niagara Bank | 82,405.66 |
| Security Deposit | First Niagara Bank | 5,377.17 |
| **50310 - BRONX PSYCHIATRIC CENTER** | | |
| CD | JPMorgan Chase Bank, N.A. | 250,000.00 |

| | | |
|---|---|---|
| Consolidated Advance | JPMorgan Chase Bank, N.A. | 17,002.69 |
| Misc. Receipts | JPMorgan Chase Bank, N.A. | 29,676.60 |
| Patients Cash MM | JPMorgan Chase Bank, N.A. | 84,347.04 |
| Patients Checking Acct | JPMorgan Chase Bank, N.A. | 829,162.27 |
| **50340 - NATHAN KLINE INSTITUTE** | | |
| Petty Cash Account | JPMorgan Chase Bank, N.A. | 1,222.60 |
| **50350 - KIRBY FORENSIC PSYCHIATRIC CENTER** | | |
| Consolidated Advance Account | Hudson Valley National Bank | 3,743.12 |
| Holding Account | Hudson Valley National Bank | 33,134.21 |
| Patient Cash Account | Hudson Valley National Bank | 63,809.65 |
| **50390 - CENTRAL NY PSYCHIATRIC CENTER** | | |
| Agency Advance Account | First Niagara Bank | 2,578.91 |
| General Fund | First Niagara Bank | 17,342.65 |
| Patient Checking | First Niagara Bank | 20,519.49 |
| Patient Savings | First Niagara Bank | 220,729.66 |
| Security Deposit | First Niagara Bank | 1,581.48 |
| **50440 - MID-HUDSON FORENSIC PSYCHIATRIC CENTER** | | |
| Facility Advance Account | Key Bank | 10,193.04 |
| Facility Holding Account | Key Bank | 1,500.41 |
| Patients Account | Key Bank | 89,252.72 |
| **50520 - BROOKLYN CHILDRENS PSYCHIATRIC CENTER** | | |
| Petty Cash Advance Account | Banco Popular | 6,709.01 |
| **50790 - SOUTH BEACH PSYCHIATRIC CENTER** | | |
| Agency Advance Checking | JPMorgan Chase Bank, N.A. | 12,503.13 |
| Facility Holding Checking | JPMorgan Chase Bank, N.A. | 155,695.70 |
| Family Care Checking | JPMorgan Chase Bank, N.A. | 1,020.00 |
| Patients Cash Checking | JPMorgan Chase Bank, N.A. | 683,547.63 |
| **50800 - BRONX CHILDRENS PSYCHIATRIC CENTER** | | |
| General Fund | JPMorgan Chase Bank, N.A. | 19,440.83 |
| **50810 - WESTERN NY CHILDRENS PSYCHIATRIC CENTER** | | |
| Agency Advance | M&T Bank | 2,317.37 |
| Exchange Account | M&T Bank | 1,888.93 |
| Patients Cash Acct | M&T Bank | 98.01 |
| **50850 - SAGAMORE CHILDRENS PSYCHIATRIC CENTER** | | |
| Sagamore Patient Personal Acct | JPMorgan Chase Bank, N.A. | 35,840.52 |
| Sagamore Petty Cash Account | JPMorgan Chase Bank, N.A. | 12,964.39 |
| **50860 - ROCKLAND CHILDRENS PSYCHIATRIC CENTER** | | |
| Advance Account | JPMorgan Chase Bank, N.A. | 6,552.22 |
| **50870 - QUEENS CHILDRENS PSYCHIATRIC CENTER** | | |
| Money Management Account | HSBC | 79,652.90 |
| Queens Adv Acct | HSBC | 5,135.90 |
| Queens Childrens Account | HSBC | 16,401.38 |
| **50920 - ELMIRA PSYCHIATRIC CENTER** | | |
| Certificate of Deposit | Chemung Canal Trust | 100,000.00 |
| Certificate of Deposit | Chemung Canal Trust | 100,000.00 |
| Certificate of Deposit | Chemung Canal Trust | 100,000.00 |
| Facility Advance Account | Chemung Canal Trust | 8,326.97 |
| General Fund Account | Chemung Canal Trust | 6,612.90 |
| IMMA | Chemung Canal Trust | 42,627.63 |
| Patients Fund Account | Chemung Canal Trust | 101,776.40 |
| **50980 - CAPITAL DISTRICT PSYCHIATRIC CENTER** | | |
| Facility Advance Account | Key Bank | 4,685.13 |
| Facility Holding Account | Key Bank | 75,510.99 |
| Parking Garage Account | Key Bank | 180,845.75 |
| Patients Cash Checking Account | Key Bank | 126,075.85 |
| Patients Cash Savings Account | Key Bank | 375,914.08 |
| **51000 - OFFICE OF MENTAL RETARDATION & DEVELOPMENTAL DISABILITIES** | | |
| DIS Funded Depreciation Acct | Bank of America, N.A. | No report received |
| MMIS Intercept Debt Serv Acct | Bank of America, N.A. | No report received |
| Petty Cash Acct | Bank of America, N.A. | No report received |
| Revenue Account | Bank of America, N.A. | No report received |
| Travel Advance Account | Bank of America, N.A. | No report received |
| **51210 - HUDSON VALLEY DDSO** | | |
| EBT Checking | JPMorgan Chase Bank, N.A. | No report received |
| Exchange Account | JPMorgan Chase Bank, N.A. | No report received |
| General Fund | JPMorgan Chase Bank, N.A. | No report received |
| Investor's Choice Savings | JPMorgan Chase Bank, N.A. | No report received |
| Petty Cash | JPMorgan Chase Bank, N.A. | No report received |
| PTS Cash Checking | JPMorgan Chase Bank, N.A. | No report received |
| **51240 - CENTRAL NY DDSO** | | |
| Advance Account | M&T Bank | 14,522.02 |
| Advance Accounts | Key Bank | 10,443.01 |
| Clients Account | Key Bank | 170,889.59 |
| Consumer Cash - Checking | M&T Bank | 250,533.89 |

| | | |
|---|---|---|
| Consumer Cash - Savings | Bank of America, N.A. | 4,416.29 |
| Consumer Cash - Savings | Key Bank | 1,733,682.14 |
| Consumer Cash - Savings | M&T Bank | 2,380,564.24 |
| EBT Checking Account | Key Bank | 393,049.26 |
| Exchange | Bank of America, N.A. | 0.00 |
| Exchange Account | Key Bank | 4,290.31 |
| **51250 - TACONIC DDSO** | | |
| Agency Advance Account | M&T Bank | 49,177.12 |
| Electronic Benefits Transfer | M&T Bank | 169,811.49 |
| General Fund | M&T Bank | 15,986.31 |
| Patients Cash Checking | M&T Bank | 249,929.56 |
| Patients Fund Savings | M&T Bank | 2,756,860.92 |
| **51270 - STATEN ISLAND DDSO** | | |
| Clients Cash Account | JPMorgan Chase Bank, N.A. | 438,897.91 |
| General Fund Account | JPMorgan Chase Bank, N.A. | 0.00 |
| Money Market Account | JPMorgan Chase Bank, N.A. | 274,647.69 |
| Petty Cash Account | JPMorgan Chase Bank, N.A. | 11,642.74 |
| Staten Island DDSO EBT Checking Acct | JPMorgan Chase Bank, N.A. | 0.00 |
| **51290 - CAPITAL DISTRICT DDSO** | | |
| Agency Advance Account | Key Bank | No report received |
| Agency Advance Account | The Adirondack Trust Company | No report received |
| Consumer EBT Fund / Fiduciary Account | Key Bank | No report received |
| Consumers Fund / Fiduciary Account | Key Bank | No report received |
| Patients Account Direct Deposit / Fiduciary Acct | The Adirondack Trust Company | No report received |
| Patients Fund Operating Acct / Fiduciary Acct | The Adirondack Trust Company | No report received |
| Summer Camp - Fiduciary Acct | The Adirondack Trust Company | No report received |
| **51330 - WESTERN NY DDSO** | | |
| Agency Advance Account | M&T Bank | No report received |
| CD-Patient Property Funds | Key Bank | No report received |
| Exchange Account | M&T Bank | No report received |
| Food Stamp Account | M&T Bank | No report received |
| General Account | Community Bank | No report received |
| Patient Property Funds | M&T Bank | No report received |
| WNY DDSO Perrysburg Client Cash | M&T Bank | No report received |
| **51350 - LONG ISLAND DDSO** | | |
| Consolidated Advance | JPMorgan Chase Bank, N.A. | No report received |
| EBT Checking Account | JPMorgan Chase Bank, N.A. | No report received |
| General Fund | JPMorgan Chase Bank, N.A. | No report received |
| Patient Cash | JPMorgan Chase Bank, N.A. | No report received |
| **51380 - BROOKLYN DDSO** | | |
| CD | Banco Popular | No report received |
| Consumers Fund | JPMorgan Chase Bank, N.A. | No report received |
| Consumers Money Management | JPMorgan Chase Bank, N.A. | No report received |
| Food Stamps Benefits | JPMorgan Chase Bank, N.A. | No report received |
| Miscellaneous Receipts | JPMorgan Chase Bank, N.A. | No report received |
| Petty Cash - Degraw Street | JPMorgan Chase Bank, N.A. | No report received |
| Petty Cash - Mental Hygiene Brooklyn | JPMorgan Chase Bank, N.A. | No report received |
| Thomas Shirtz Community Service | JPMorgan Chase Bank, N.A. | No report received |
| **51420 - SUNMOUNT DDSO** | | |
| Certificate of Deposit | Community Bank | 850,000.00 |
| Community Store Fund | Community Bank | 9,367.35 |
| Exchange Fund | Community Bank | 2,818.99 |
| Residents Fund | Community Bank | No report received |
| Sunmount Advance Account | Community Bank | 16,477.82 |
| Sunmount EBT Checking Account | Community Bank | 155,110.07 |
| **51430 - INSTITUTE FOR BASIC RESEARCH IN DEVELOPMENTAL DISABILITIES** | | |
| Petty Cash | Citibank | No report received |
| **51450 - METRO NY DDSO** | | |
| Consolidated Acct | JPMorgan Chase Bank, N.A. | No report received |
| Manhattan DDSO Client Cash | JPMorgan Chase Bank, N.A. | No report received |
| Metro DDSO Client Personal Allowance | JPMorgan Chase Bank, N.A. | No report received |
| Metro NY DDSO Food Stamp Acct | JPMorgan Chase Bank, N.A. | No report received |
| Patients Cash Account | JPMorgan Chase Bank, N.A. | No report received |
| Patients Money Market Account | JPMorgan Chase Bank, N.A. | No report received |
| Petty Cash | JPMorgan Chase Bank, N.A. | No report received |
| **51470 - BERNARD M FINESON DDSO** | | |
| Bernard Fineson DDSO Food Stamp Acct | JPMorgan Chase Bank, N.A. | 67,815.00 |
| Money Market Account | JPMorgan Chase Bank, N.A. | 303,177.85 |
| Patient Fund Account | JPMorgan Chase Bank, N.A. | 652,158.81 |
| Petty Cash Fund | JPMorgan Chase Bank, N.A. | 23,150.01 |
| **51780 - FINGER LAKES DDSO** | | |
| Advance Account | JPMorgan Chase Bank, N.A. | 91,188.18 |
| F.L. Newark Resident Checking | Community Bank | 48,850.86 |
| Finger Lakes Geneseo CD | Key Bank | 1,000,000.00 |

| | | |
|---|---|---|
| Finger Lakes Monroe CD | Key Bank | 800,000.00 |
| Finger Lakes Newark CD | Key Bank | 1,850,000.00 |
| Finger Lakes Resident Checking | JPMorgan Chase Bank, N.A. | 360,017.42 |
| General Account | JPMorgan Chase Bank, N.A. | 11,950.76 |
| Geneseo Client Cash | Bank of America, N.A. | 11,163.11 |
| Kelsey Trust Fund | Bank of America, N.A. | 5,000.00 |
| Mary Moore Trust Fund | Bank of America, N.A. | 20,000.00 |
| Monroe Resident Checking | JPMorgan Chase Bank, N.A. | 103,736.99 |
| Monroe Resident Savings | JPMorgan Chase Bank, N.A. | 237,302.95 |
| Patient Food Stamp Account | JPMorgan Chase Bank, N.A. | 1,339,044.82 |
| **51940 - BROOME DDSO** | | |
| Broome DDSO | M&T Bank | 6,898.55 |
| Broome DDSO - Advance Account | M&T Bank | 34,616.50 |
| Broome DDSO - General Fund | M&T Bank | 16,283.58 |
| Disabled Individuals Savings | First Niagara Bank | 2,039,643.19 |
| Disabled Individuals Savings | M&T Bank | 32,807.58 |
| OMRDD Broome DDSO EBT Checking | M&T Bank | 74,496.96 |
| **53000 - OFFICE OF ALCOHOLISM & SUBSTANCE ABUSE SERVICES** | | |
| Agency Advance Acct | Key Bank | 2,346.16 |
| Patient Fees | Bank of America, N.A. | 351,561.82 |
| Revenue Account | Bank of America, N.A. | 13,524.60 |
| **53020 - KINGSBORO ALCOHOLISM TREATMENT CENTER** | | |
| Petty Cash Advance Account | Bank of America, N.A. | 821.91 |
| **55630 - NYS FOUNDATION FOR SCIENCE, TECHNOLOGY & INNOVATION** | | |
| Administrative Monies Account | Key Bank | No report received |
| Federal Monies Account | Key Bank | No report received |
| NYS Foundation For Science Technology & Innovation | Key Bank | No report received |
| **70000 - CUNY UNIVERSITY MANAGEMENT & PROGRAM BOARD OF HIGHER EDUCATION** | | |
| CUNY Admin Financial Assistance | JPMorgan Chase Bank, N.A. | No report received |
| CUNY Admin Imprest Cash Account | Citibank | No report received |
| CUNY Admin UAO Travel Advance | Citibank | No report received |
| CUNY Admin UAO Travel Advance | JPMorgan Chase Bank, N.A. | No report received |
| CUNY Admin. Fin. Assist. Direct Deposit | JPMorgan Chase Bank, N.A. | No report received |
| CUNY Admin. Imprest Cash Account | JPMorgan Chase Bank, N.A. | No report received |
| **70010 - CUNY BROOKLYN COLLEGE** | | |
| Brooklyn College Imprest Fund | HSBC | No report received |
| **70020 - CUNY CITY COLLEGE** | | |
| The City College of New York - The City College | Citibank | No report received |
| **70030 - CUNY HUNTER COLLEGE** | | |
| Travel Petty Cash Account | Citibank | No report received |
| **70060 - CUNY JOHN JAY COLLEGE** | | |
| CUNY JOHN JAY COLLEGE IMPREST FUND | Citibank | No report received |
| John Jay College Petty Cash | JPMorgan Chase Bank, N.A. | No report received |
| **70070 - CUNY LEHMAN COLLEGE** | | |
| Lehman College | Citibank | No report received |
| **70080 - CUNY YORK COLLEGE** | | |
| York College Imprest Fund | JPMorgan Chase Bank, N.A. | No report received |
| York College Imprest Funds | Citibank | No report received |
| York College Travel Advance Fund | Citibank | No report received |
| York College Travel Allowance | JPMorgan Chase Bank, N.A. | No report received |
| **70090 - CUNY GRADUATE SCHOOL** | | |
| Graduate Center Imprest Fund | TD Bank | No report received |
| **70100 - CUNY COLLEGE OF STATEN ISLAND** | | |
| CSI Imprest Cash | TD Bank | No report received |
| **70120 - CUNY NYC COLLEGE OF TECHNOLOGY** | | |
| NY City College Of Technology College Travel Fund | Popular Community Bank | No report received |
| NY City College Of Technology Technical College Imprest Fund | Popular Community Bank | No report received |
| **70150 - CUNY SCHOOL OF LAW** | | |
| CUNY School Of Law | TD Bank | No report received |

The above balances represent funds deposited in various banking institutions as reported by the State department and agencies, and published in accordance with Section 107 of the State Finance Law.

*Division of the Treasury, Department of Taxation and Finance*
**AIDA M. BREWER** - *Treasurer*

**FUNDS OF THE DIVISION OF THE TREASURY OF WHICH THE COMMISSIONER OF TAXATION AND FINANCE IS THE SOLE CUSTODIAN WITH BALANCES AS OF 12/31/2014**

| ACCOUNT DESCRIPTION | | DEPOSITORY | BALANCE AS OF 12/31/2014 |
|---|---|---|---|
| **COMMUNITY COLLEGE TUITION AND INSTRUCTIONAL INCOME FUND** | | | |
| 0224 | Upstate Community Colleges, Series 1999A | Key Bank | 0.00 |
| 0226 | Upstate Community Colleges, FIT Series 2000A | Key Bank | 1,927.35 |
| 0227 | Upstate Community Colleges, Series 2001A | Key Bank | 0.00 |
| 0228 | Upstate Community Colleges, Series 2002A | Key Bank | 0.00 |
| 0229 | Upstate Community Colleges, Series 2004 | Key Bank | 0.00 |
| 0230 | Upstate Community Colleges, Series 2004B | Key Bank | 0.00 |
| 0231 | Upstate Community Colleges, Series 2005A | Key Bank | 96,228.28 |
| 0232 | Upstate Community Colleges, Series 2005B | Key Bank | 88,566.36 |
| 0233 | Upstate Community Colleges, Series 2005C | Key Bank | 86,358.96 |
| **DORMITORY AUTHORITY OF THE STATE OF NEW YORK** | | | |
| 0039 | Mental Hygiene Facilities Improvement Fund Income Account | Bank of America, N.A. | 18,251,309.82 |
| 0070 | Hospital and Nursing Home Project Operating Fund | Key Bank | 29,764.33 |
| 0104 | Lincoln Medical and Mental Health Center Project Construction Account | Key Bank | 6,826.31 |
| 0105 | Greenpoint Medical and Mental Health Center Project Construction Account | Key Bank | 82,754.91 |
| 0149 | State Advances Repayment Account | Bank of America, N.A. | 53.09 |
| 1202 | DA DFRF MAC #1202 Biinghamton | Key Bank | 20,127,839.86 |
| 1203 | DA DFRF MAC #1203 Oneonta | Key Bank | 4,498,485.31 |
| 1205 | DA DFRF MAC #1205 Delhi | Key Bank | 550,514.09 |
| 1206 | DA DFRF MAC #1206 Buffalo Univ | Key Bank | 5,582,801.85 |
| 1207 | DA DFRF MAC #1207 Buffalo College | Key Bank | 1,734,936.16 |
| 1208 | DA DFRF MAC #1208 Alfred | Key Bank | 621,870.05 |
| 1209 | DA DFRF Mac #1209 Fredonia | Key Bank | 1,289,380.46 |
| 1211 | DA DFRF Mac #1211 Upstate Medical | Key Bank | 2,010,239.18 |
| 1212 | DA DFRF Mac #1212 Oswego | Key Bank | 4,520,965.72 |
| 1214 | DA DFRF Mac #1214 Cortland | Key Bank | 4,615,348.18 |
| 1215 | DA DFRF MAC #1215 Stony Brook | Key Bank | 15,255,449.99 |
| 1216 | DA DFRF MAC #1216 Old Westbury | Key Bank | 1,773,158.32 |
| 1217 | DA DFRF MAC #1217 Farmingdale | Key Bank | 1,036,759.54 |
| 1218 | DA DFRF MAC #1218 Downstate Med | Key Bank | 31,889.85 |
| 1219 | DA DFRF MAC #1219 Maritime | Key Bank | 1,590,928.35 |
| 1221 | DA DFRF MAC #1221 Brockport | Key Bank | 3,772,363.41 |
| 1222 | DA DFRF MAC #1222 Geneseo | Key Bank | 4,643,011.54 |
| 1223 | DA DFRF MAC #1223 Purchase | Key Bank | 2,571,135.64 |
| 1224 | DA DFRF MAC #1224 New Paltz | Key Bank | 4,151,428.77 |
| 1225 | DA DFRF MAC #1225 Canton | Key Bank | 295,274.56 |
| 1226 | DA DFRF MAC #1226 Plattsburgh | Key Bank | 2,041,975.32 |
| 1227 | DA DFRF MAC #1227 Potsdam | Key Bank | 2,712,784.07 |
| 1228 | DA DFRF MAC #1228 Morrisville | Key Bank | 717,201.03 |
| 1229 | DA DFRF MAC #1229 SUNYIT | Key Bank | 1,495,275.10 |
| 1230 | DA DFRF MAC #1230 Cobleskill | Key Bank | 246,618.00 |
| 1239 | DA DFRF MAC #1239 Albany | Key Bank | 7,231,519.12 |
| 1240 | Dormitory Authority Collection Account - Mac 1240 | Key Bank | 0.00 |
| 2202 | DA OMRR MAC #2202 Binghamton | Key Bank | 366.39 |
| 2203 | DA OMRR MAC #2203 Oneonta | Key Bank | 122.27 |
| 2205 | DA OMRR MAC #2205 Delhi | Key Bank | 500,191.60 |
| 2206 | DA OMRR MAC #2206 Buffalo Univ | Key Bank | 1,616,460.38 |
| 2207 | DA OMRR MAC #2207 Buffalo College | Key Bank | 574,891.31 |
| 2208 | DA OMRR MAC #2208 Alfred | Key Bank | 109.45 |
| 2209 | DA OMRR MAC #2209 Fredonia | Key Bank | 262.03 |
| 2211 | DA OMRR MAC #2211 Upstate Medical | Key Bank | 4.57 |
| 2212 | DA OMRR MAC #2212 Oswego | Key Bank | 112.65 |
| 2214 | DA OMRR MAC #2214 Cortland | Key Bank | 2,995,274.77 |
| 2215 | DA OMRR MAC #2215 Stony Brook | Key Bank | 758.55 |
| 2216 | DA OMRR MAC #2216 Old Westbury | Key Bank | 953,042.55 |
| 2217 | DA OMRR MAC #2217 Farmingdale | Key Bank | 173,228.26 |
| 2218 | DA OMRR MAC #2218 Downstate Med | Key Bank | 46.41 |
| 2219 | DA OMRR MAC #2219 Maritime | Key Bank | 2,179,884.07 |
| 2221 | DA OMRR MAC #2221 Brockport | Key Bank | 75.06 |
| 2222 | DA OMRR MAC #2222 Geneseo | Key Bank | 1,754,369.14 |
| 2223 | DA OMRR MAC #2223 Purchase | Key Bank | 89.19 |
| 2224 | DA OMRR MAC #2224 New Paltz | Key Bank | 318.93 |
| 2225 | DA OMRR MAC #2225 Canton | Key Bank | 117.98 |
| 2226 | DA OMRR MAC #2226 Plattsburgh | Key Bank | 208.65 |
| 2227 | DA OMRR MAC #2227 Potsdam | Key Bank | 110.97 |
| 2228 | DA OMRR MAC #2228 Morrisville | Key Bank | 490,472.97 |
| 2229 | DA OMRR MAC #2229 SUNYIT | Key Bank | 204,232.89 |
| 2230 | DA OMRR MAC #2230 Cobleskill | Key Bank | 343,155.27 |

| | | | |
|---|---|---|---|
| 2239 | DA OMRR MAC #2239 Albany | Key Bank | 546.35 |
| 2240 | DA UNALLOCATED FD MAC #2240 System Admin | Key Bank | 10,057,611.47 |
| **HOMELESS HOUSING ASSISTANCE CORPORATION** | | | |
| 0320 | Social Services Homeless Housing and Assistance Corporation Operating Account | Key Bank | 17,914,173.95 |
| **NELSON A. ROCKEFELLER EMPIRE STATE PLAZA PERFORMING ARTS CENTER CORPORATION** | | | |
| 0315 | Nelson A. Rockefeller Empire State Plaza Performing Arts Center Corporation | Key Bank | 21,546.12 |
| **NEW YORK CONVENTION CENTER** | | | |
| 0300 | Operating Fund | JPMorgan Chase Bank, N.A. | 5,996,179.22 |
| **NEW YORK JOB DEVELOPMENT AUTHORITY** | | | |
| 0036 | Special Purpose Fund | Bank of America, N.A. | 635,147.93 |
| 0371 | Series H Commercial Paper | Bank of America, N.A. | 521,681.15 |
| 0389 | Daily Demand Special Purpose Bonds Series 1992A-B | JPMorgan Chase Bank, N.A. | 79,319.15 |
| 0421 | Escrow Account for Package Fulfillment Center Inc. | Key Bank | 30,851.46 |
| 0423 | Escrow Account for USA Industries Inc. | Key Bank | 37,253.70 |
| 0424 | Escrow Account for Pluritec USA Inc. | Key Bank | 19,771.25 |
| **NYS AFFORDABLE HOUSING CORPORATION** | | | |
| 0491 | Disbursement Account | JPMorgan Chase Bank, N.A. | 204,221.17 |
| 0520 | Development Account | Key Bank | 89,964.12 |
| 0521 | Development Account II | Key Bank | 286,797.06 |
| 0522 | Repayment Account | Key Bank | 914,801.06 |
| 0523 | Recapture Account | Key Bank | 121,210.84 |
| 0880 | Payroll Account | JPMorgan Chase Bank, N.A. | 0.00 |
| **NYS DEPARTMENT OF TAXATION AND FINANCE** | | | |
| 0510 | Excelsior Linked Deposit Fund | Key Bank | 0.00 |
| 0600 | World Trade Center Memorial Foundation Fund Account | Bank of America, N.A. | 63,056.54 |
| 0778 | PIT/STAR Rebate Exchange Account | JPMorgan Chase Bank, N.A. | 0.00 |
| 0827 | Stock Transfer Incentive Fund | Key Bank | 856,512.32 |
| 0847 | Pari-Mutuel Revenue Transfer Account | Key Bank | 0.00 |
| 0848 | Off-Track Bet Tax Revenue Transfer Account | Key Bank | 0.00 |
| **NYS ENERGY RESEARCH & DEVELOPMENT AUTHORITY** | | | |
| 0028 | Green Jobs - Green New York Fund | Bank of America, N.A. | 49,466.81 |
| 0030 | NYS Energy Research and Development Authority | Bank of America, N.A. | 45,246,933.61 |
| **NYS HOUSING FINANCE AGENCY** | | | |
| 0032 | Operating Fund | Key Bank | 0.00 |
| 0044 | Non-Profit Housing Operating Fund | Key Bank | 0.00 |
| 0251 | Housing Project Repair Fund | Key Bank | 31,772.47 |
| 0252 | Energy Conservation/Tenant Health & Safety Improvement Account | JPMorgan Chase Bank, N.A. | 28,309.37 |
| 0254 | Agency Assisted Housing Operation Fund | JPMorgan Chase Bank, N.A. | 553,112.36 |
| 0255 | Residual Indebtedness Program Operating Fund | JPMorgan Chase Bank, N.A. | 101,901.16 |
| 0266 | Community Related Programs Operating Account | Key Bank | 204,900.45 |
| 0267 | Neighborhood Stabilization Program - Round 1 | JPMorgan Chase Bank, N.A. | 277.31 |
| 0268 | Neighborhood Stabilization Program 3 | JPMorgan Chase Bank, N.A. | 32.77 |
| 0270 | Claims Repayment Account | Key Bank | 94,143.68 |
| 0271 | Pre-Bond Revenue Account | Key Bank | 675,030.34 |
| 0272 | TCAP Account | Key Bank | 213.90 |
| 0274 | NYSHFA Special Reserve Fund | JPMorgan Chase Bank, N.A. | 100,626.15 |
| 0277 | Amalgamated Warbasse Houses Construction Defect Repair Fund | JPMorgan Chase Bank, N.A. | 2.40 |
| 0283 | Small Owner's Assistance Program Account | Key Bank | 19,495.56 |
| 0285 | Public Purpose Account | Key Bank | 636,625.52 |
| 0286 | Disbursement Account | Key Bank | 2,515,571.69 |
| 0287 | Infrastructure Development Fund | Key Bank | 17,191.57 |
| 0288 | Mobile Home Cooperative Fund | Key Bank | 18,084.96 |
| 0290 | Low Rent Lease Account | Key Bank | 236,845.07 |
| 0292 | Homeless Housing Initiatives | Key Bank | 139,144.32 |
| 0295 | Castleton Park Escrow | Key Bank | 31,612.09 |
| 0296 | NYC Contribution PHHF | Key Bank | 34,427.61 |
| 0879 | Payroll Account | JPMorgan Chase Bank, N.A. | 125,000.00 |
| **NYS HOUSING TRUST FUND CORPORATION** | | | |
| 0458 | Section 8 Housing Assistance Payment Account | JPMorgan Chase Bank, N.A. | 123,142.02 |
| 0460 | Escrow Account | M&T Bank | 1,509,383.56 |
| 0461 | Housing Modernization Account | M&T Bank | 1,826,033.11 |
| 0462 | General Custodial Account | M&T Bank | 2,289,341.53 |
| 0463 | General Administrative Account | M&T Bank | 3,925,230.22 |
| 0464 | Turnkey Account | M&T Bank | 45,885.76 |
| 0465 | Home Program Account | M&T Bank | 1,747,599.91 |
| 0466 | Homes for Working Families Account | M&T Bank | 1,618,231.43 |
| 0467 | Section 8 Administrative Account | M&T Bank | 3,105,547.70 |
| 0468 | Small Cities Administrative Account | M&T Bank | 1,416,746.69 |

| | | | |
|---|---|---|---|
| 0469 | OCR Community Miscellaneous Programs Account | M&T Bank | 351,284.77 |
| 0470 | HCV Main Account | Bank of America, N.A. | 2,466,123.00 |
| 0471 | Empire State Relief Fund | M&T Bank | 1,623,222.86 |
| 0472 | Master Escrow Account | Bank of America, N.A. | 0.00 |
| 0473 | Family Self-Sufficiency Account | Bank of America, N.A. | 3,625,245.84 |
| 0474 | Moderate Rehabilitation Account | Bank of America, N.A. | 0.00 |
| 0475 | Reserve Account | Bank of America, N.A. | 2,321,395.88 |
| 0476 | Voucher Fee Account | Bank of America, N.A. | 35,834.24 |
| 0477 | Five-Year Mainstream Account | Bank of America, N.A. | 623,665.99 |
| 0480 | OHP Miscellaneous Programs Account | Bank of America, N.A. | 564,102.66 |
| 0891 | Small Cities Community Development Block Grant Program | M&T Bank | 160,890.66 |
| 0892 | Disaster Recovery Initiative Account | M&T Bank | 5,667,225.45 |
| 0893 | Payroll Account for Small Cities CDBG Program | M&T Bank | 137.06 |
| 0895 | HTFC Storm Recovery Payment | M&T Bank | 17,681,456.22 |
| **NYS INSURANCE DEPARTMENT** | | | |
| 0001 | Property/Casualty Insurance Security Fund | Key Bank | 141,730.02 |
| 0002 | Public Motor Vehicle Security Fund | JPMorgan Chase Bank, N.A. | 153,324.96 |
| 0003 | Workers' Compensation Security Fund | JPMorgan Chase Bank, N.A. | 1,196,935.03 |
| 0004 | Medical Indemnity Fund | JPMorgan Chase Bank, N.A. | 676,108.97 |
| **NYS TEACHERS RETIREMENT SYSTEM** | | | |
| 0052 | Master Funding Account | State Street Bank & Trust Co. | 0.00 |
| 0052 | Main Account | JPMorgan Chase Bank, N.A. | 5,467,343.87 |
| 0853 | Excess Benefit Fund | JPMorgan Chase Bank, N.A. | 2,816,697.91 |
| 0854 | NYSTRS Electronic Value Transfer System | JPMorgan Chase Bank, N.A. | 0.00 |
| **STATE INSURANCE FUND** | | | |
| 0053 | State Insurance Fund | JPMorgan Chase Bank, N.A. | 0.00 |
| 0053 | State Insurance Fund | Bank of America, N.A. | 115,122,207.33 |
| 0054 | State Insurance Fund | Bank of America, N.A. | 1,517,547.94 |
| 0054 | Disability Benefits Fund | JPMorgan Chase Bank, N.A. | 0.00 |
| 0055 | Aggregate Trust Fund | JPMorgan Chase Bank, N.A. | 0.00 |
| 0055 | State Insurance Fund | Bank of America, N.A. | 1,500,488.34 |
| 0861 | Disability Benefits Fund Tax Escrow Account | Bank of America, N.A. | 37,227.00 |
| **STATE UNIVERSITY CONSTRUCTION FUND** | | | |
| 0034 | Income Fund | Key Bank | 355,827.53 |
| 0075 | Educational Facilities Revenue Bonds Debt Service Account | Key Bank | 29,133.05 |
| 0870 | Deductions Account | Key Bank | 345,016.74 |
| 0871 | Bio-Tech Incubator at Farmingdale | Key Bank | 23,504.85 |
| **WORKERS COMPENSATION BOARD** | | | |
| 0006 | Fund for Reopened Cases | Bank of America, N.A. | 9,093,155.23 |
| 0007 | Special Disability Fund | Bank of America, N.A. | 282,714,154.35 |
| 0008 | Special Fund for Disability Benefits | Bank of America, N.A. | 161,087.33 |
| 0008 | Special Fund for Disability Benefits | Key Bank | 221,704.02 |
| 0009 | Special Disability Fund Assessments Receipt | Bank of America, N.A. | 0.00 |
| 0010 | Special Disability Fund Clearing | Bank of America, N.A. | 0.00 |
| 0011 | Uninsured Employers Fund | Bank of America, N.A. | 606,943.39 |
| 0012 | WCB Asset Transfer Account - Mac 12 | Bank of America, N.A. | 100,050.77 |
| 0013 | WCB Assessment Revenue Clearing | Bank of America, N.A. | 128,921,383.43 |

The above balances represent funds deposited in various banking institutions per the records of the Department of Taxation and Finance, Division of Treasury, and published in accordance with Section 107 of the State Finance Law.

*Division of the Treasury, Department of Taxation and Finance*
**AIDA M. BREWER** - *Treasurer*

**STATE OF NEW YORK**
**OFFICE OF THE STATE COMPTROLLER**
**OFFICE OF OPERATIONS**
**DIVISION OF PAYROLL, ACCOUNTING, AND REVENUE SERVICES**
**BUREAU OF FINANCIAL REPORTING AND OIL SPILL REMEDIATION**

Comptroller's Monthly Report
On State Funds Cash Basis of Accounting
(Pursuant to Section 8(9-a) of the State Finance Law)

# December 2014

**THOMAS P. DiNAPOLI**
STATE COMPTROLLER

STATE OF NEW YORK
OFFICE OF OPERATIONS
DIVISION OF PAYROLL, ACCOUNTING AND REVENUE SERVICES
BUREAU OF FINANCIAL REPORTING AND OIL SPILL REMEDIATION

THOMAS P. DiNAPOLI
STATE COMPTROLLER

**COMPTROLLER'S MONTHLY REPORT TO THE LEGISLATURE ON STATE FUNDS - CASH BASIS OF ACCOUNTING**
**December 31, 2014**

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**STATE OF NEW YORK**
**GOVERNMENTAL FUNDS**
**COMBINED STATEMENT OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES**
**(Amounts in millions)**

**EXHIBIT A**

| | | GENERAL | | SPECIAL REVENUE | | DEBT SERVICE | | CAPITAL PROJECTS | | TOTAL GOVERNMENTAL FUNDS | | YEAR OVER YEAR | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | MONTH OF DEC. 2014 | 9 MOS. ENDED DEC. 31, 2014 | MONTH OF DEC. 2014 | 9 MOS. ENDED DEC. 31, 2014 | MONTH OF DEC. 2014 | 9 MOS. ENDED DEC. 31, 2014 | MONTH OF DEC. 2014 | 9 MOS. ENDED DEC. 31, 2014 | MONTH OF DEC. 2014 | 9 MOS. ENDED DEC. 31, 2014 | MONTH OF DEC. 2013 | 9 MOS. ENDED DEC. 31, 2013 | $ Increase/ (Decrease) | % Increase/ Decrease |
| **RECEIPTS:** | | | | | | | | | | | | | | | |
| Personal Income Tax | (5) | $ 3,598.7 | $ 21,849.3 | $ 124.1 | $ 781.3 | $ 1,240.9 | $ 7,543.5 | $ - | $ - | $ 4,963.7 | $ 30,174.1 | $ 4,037.2 | $ 29,836.9 | $ 337.2 | 1.1% |
| Consumption/Use Taxes | | 660.6 | 5,092.5 | 193.4 | 1,613.4 | 612.4 | 4,595.0 | 62.9 | 465.0 | 1,529.3 | 11,765.9 | 1,504.7 | 11,522.9 | 243.0 | 2.1% |
| Business Taxes | | 916.5 | 3,729.5 | 210.5 | 1,062.0 | - | - | 51.7 | 497.0 | 1,178.7 | 5,288.5 | 1,203.8 | 5,180.5 | 108.0 | 2.1% |
| Other Taxes | | 98.2 | 868.2 | 110.0 | 867.7 | 80.4 | 692.6 | 11.9 | 83.4 | 300.5 | 2,511.9 | 259.5 | 2,485.6 | 26.3 | 1.1% |
| Miscellaneous Receipts | | 396.5 | 6,798.7 | 1,377.2 | 12,058.1 | 44.1 | 377.5 | 158.6 | 2,180.4 | 1,976.4 | 21,414.7 | 2,248.9 | 18,040.5 | 3,374.2 | 18.7% |
| Federal Receipts | | - | 0.8 | 4,671.0 | 33,364.0 | - | 36.6 | 198.2 | 1,472.0 | 4,869.2 | 34,873.4 | 3,941.5 | 32,478.4 | 2,395.0 | 7.4% |
| **Total Receipts** | | **5,670.5** | **38,339.0** | **6,686.2** | **49,746.5** | **1,977.8** | **13,245.2** | **483.3** | **4,697.8** | **14,817.8** | **106,028.5** | **13,195.6** | **99,544.8** | **6,483.7** | **6.5%** |
| **DISBURSEMENTS:** | | | | | | | | | | | | | | | |
| Local Assistance Grants: | (3) | | | | | | | | | | | | | | |
| Education | | 2,004.0 | 14,408.0 | 494.6 | 5,931.6 | - | - | 0.4 | 16.8 | 2,499.0 | 20,356.4 | 2,231.4 | 19,006.8 | 1,349.6 | 7.1% |
| Environment and Recreation | | 0.2 | 4.2 | 1.5 | 3.7 | - | - | 15.6 | 63.2 | 17.3 | 71.1 | 5.5 | 227.6 | (156.5) | -68.8% |
| General Government | | 191.3 | 928.6 | 24.8 | 201.1 | - | - | 49.5 | 82.3 | 265.6 | 1,212.0 | 212.7 | 1,232.5 | (20.5) | -1.7% |
| Public Health: | | | | | | | | | | | | | | | |
| Medicaid | | 1,186.3 | 9,618.6 | 3,347.5 | 25,356.6 | - | - | - | - | 4,533.8 | 34,975.2 | 3,499.1 | 31,207.9 | 3,767.3 | 12.1% |
| Other Public Health | | 91.2 | 606.5 | 461.9 | 3,025.1 | - | - | 3.7 | 72.3 | 556.8 | 3,703.9 | 593.0 | 3,875.6 | (171.7) | -4.4% |
| Public Safety | | 25.2 | 125.8 | 193.6 | 2,106.2 | - | - | - | - | 218.8 | 2,232.0 | 195.7 | 1,742.7 | 489.3 | 28.1% |
| Public Welfare | | 332.9 | 1,989.2 | 415.5 | 3,418.3 | - | - | 34.4 | 81.6 | 782.8 | 5,489.1 | 912.6 | 5,873.7 | (384.6) | -6.5% |
| Support and Regulate Business | | 3.9 | 60.5 | 1.0 | 216.8 | - | - | 105.1 | 204.4 | 110.0 | 481.7 | 32.8 | 601.5 | (119.8) | -19.9% |
| Transportation | | 13.0 | 85.0 | 848.2 | 4,028.9 | - | - | 299.9 | 785.3 | 1,161.1 | 4,899.2 | 882.1 | 4,680.8 | 218.4 | 4.7% |
| **Total Local Assistance Grants** | | **3,848.0** | **27,826.4** | **5,788.6** | **44,288.3** | **-** | **-** | **508.6** | **1,305.9** | **10,145.2** | **73,420.6** | **8,564.9** | **68,449.1** | **4,971.5** | **7.3%** |
| Departmental Operations: | | | | | | | | | | | | | | | |
| Personal Service | | 590.9 | 4,495.1 | 780.8 | 5,661.6 | - | - | - | - | 1,371.7 | 10,156.7 | 1,327.2 | 10,026.9 | 129.8 | 1.3% |
| Non-Personal Service | | 133.2 | 1,231.1 | 423.0 | 3,538.9 | 1.4 | 24.4 | - | - | 557.6 | 4,794.4 | 562.2 | 4,711.8 | 82.6 | 1.8% |
| General State Charges | | 305.4 | 4,341.1 | 153.3 | 1,682.3 | - | - | - | - | 458.7 | 6,023.4 | 646.5 | 5,352.6 | 670.8 | 12.5% |
| Debt Service, Including Payments on Financing Agreements | | - | - | - | - | 622.3 | 2,767.7 | - | - | 622.3 | 2,767.7 | 968.6 | 3,450.7 | (683.0) | -19.8% |
| Capital Projects | (1) | - | - | - | 1.1 | - | - | 535.6 | 4,147.5 | 535.6 | 4,148.6 | 500.6 | 4,241.8 | (93.2) | -2.2% |
| **Total Disbursements** | | **4,877.5** | **37,893.7** | **7,145.7** | **55,172.2** | **623.7** | **2,792.1** | **1,044.2** | **5,453.4** | **13,691.1** | **101,311.4** | **12,570.0** | **96,232.9** | **5,078.5** | **5.3%** |
| **Excess (Deficiency) of Receipts over Disbursements** | | **793.0** | **445.3** | **(459.5)** | **(5,425.7)** | **1,354.1** | **10,453.1** | **(560.9)** | **(755.6)** | **1,126.7** | **4,717.1** | **625.6** | **3,311.9** | **1,405.2** | **42.4%** |
| **OTHER FINANCING SOURCES (USES):** | | | | | | | | | | | | | | | |
| Bond Proceeds (net) | | - | - | - | - | - | - | - | - | - | - | - | - | - | 0.0% |
| Transfers from Other Funds | (2) | 1,909.9 | 11,942.4 | 643.9 | 5,877.0 | 200.8 | 2,567.7 | 560.7 | 1,201.8 | 3,315.3 | 21,588.9 | 2,890.1 | 21,961.9 | (373.0) | -1.7% |
| Transfers to Other Funds | (2) | (1,008.2) | (6,369.3) | (191.5) | (1,655.6) | (2,009.3) | (12,712.9) | (78.2) | (904.0) | (3,287.2) | (21,641.8) | (2,891.3) | (22,003.6) | (361.8) | -1.6% |
| **Total Other Financing Sources (Uses)** | | **901.7** | **5,573.1** | **452.4** | **4,221.4** | **(1,808.5)** | **(10,145.2)** | **482.5** | **297.8** | **28.1** | **(52.9)** | **(1.2)** | **(41.7)** | **(11.2)** | **-26.9%** |
| **Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses** | | **1,694.7** | **6,018.4** | **(7.1)** | **(1,204.3)** | **(454.4)** | **307.9** | **(78.4)** | **(457.8)** | **1,154.8** | **4,664.2** | **624.4** | **3,270.2** | **1,394.0** | **42.6%** |
| **Beginning Fund Balances (Deficits)** | (4) | **6,558.9** | **2,235.2** | **1,165.7** | **2,362.9** | **827.4** | **65.1** | **(1,008.1)** | **(628.7)** | **7,543.9** | **4,034.5** | **6,522.2** | **3,876.4** | **158.1** | **4.1%** |
| **Ending Fund Balances (Deficits)** | | **$ 8,253.6** | **$ 8,253.6** | **$ 1,158.6** | **$ 1,158.6** | **$ 373.0** | **$ 373.0** | **$ (1,086.5)** | **$ (1,086.5)** | **$ 8,698.7** | **$ 8,698.7** | **$ 7,146.6** | **$ 7,146.6** | **$ 1,552.1** | **21.7%** |

**STATE OF NEW YORK**
**GOVERNMENTAL FUNDS-STATE OPERATING (*)**
**COMBINED STATEMENT OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES**
**(Amounts in millions)**

**EXHIBIT A**
**SUPPLEMENTAL**

| | | GENERAL | | STATE SPECIAL REVENUE (**) | | DEBT SERVICE | | TOTAL STATE OPERATING FUNDS | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | MONTH OF DEC. 2014 | 9 MOS. ENDED DEC. 31, 2014 | MONTH OF DEC. 2014 | 9 MOS. ENDED DEC. 31, 2014 | MONTH OF DEC. 2014 | 9 MOS. ENDED DEC. 31, 2014 | MONTH OF DEC. 2014 | 9 MOS. ENDED DEC. 31, 2014 | MONTH OF DEC. 2013 | 9 MOS. ENDED DEC. 31, 2013 | $ Increase/ (Decrease) | % Increase/ Decrease |
| **RECEIPTS:** | | | | | | | | | | | | | |
| Personal Income Tax | (5) | $ 3,598.7 | $ 21,849.3 | $ 124.1 | $ 781.3 | $ 1,240.9 | $ 7,543.5 | $ 4,963.7 | $ 30,174.1 | $ 4,037.2 | $ 29,836.9 | $ 337.2 | 1.1% |
| Consumption/Use Taxes | | 660.6 | 5,092.5 | 193.4 | 1,613.4 | 612.4 | 4,595.0 | 1,466.4 | 11,300.9 | 1,447.0 | 11,071.1 | 229.8 | 2.1% |
| Business Taxes | | 916.5 | 3,729.5 | 210.5 | 1,062.0 | - | - | 1,127.0 | 4,791.5 | 1,147.9 | 4,682.3 | 109.2 | 2.3% |
| Other Taxes | | 98.2 | 868.2 | 110.0 | 867.7 | 80.4 | 692.6 | 288.6 | 2,428.5 | 247.6 | 2,402.2 | 26.3 | 1.1% |
| Miscellaneous Receipts | | 396.5 | 6,798.7 | 1,366.4 | 11,912.3 | 44.1 | 377.5 | 1,807.0 | 19,088.5 | 1,725.9 | 14,992.8 | 4,095.7 | 27.3% |
| Federal Receipts | | - | 0.8 | - | - | - | 36.6 | - | 37.4 | 0.1 | 34.7 | 2.7 | 7.8% |
| **Total Receipts** | | **5,670.5** | **38,339.0** | **2,004.4** | **16,236.7** | **1,977.8** | **13,245.2** | **9,652.7** | **67,820.9** | **8,605.7** | **63,020.0** | **4,800.9** | **7.6%** |
| **DISBURSEMENTS:** | | | | | | | | | | | | | |
| Local Assistance Grants: | (3) | | | | | | | | | | | | |
| Education | | 2,004.0 | 14,408.0 | 269.2 | 3,579.6 | - | - | 2,273.2 | 17,987.6 | 1,957.7 | 16,106.7 | 1,880.9 | 11.7% |
| Environment and Recreation | | 0.2 | 4.2 | 1.0 | 2.6 | - | - | 1.2 | 6.8 | 0.1 | 6.5 | 0.3 | 4.6% |
| General Government | | 191.3 | 928.6 | 11.7 | 149.6 | - | - | 203.0 | 1,078.2 | 189.5 | 1,126.0 | (47.8) | -4.2% |
| Public Health: | | | | | | | | | | | | | |
| Medicaid | | 1,186.3 | 9,618.6 | 547.2 | 3,851.9 | - | - | 1,733.5 | 13,470.5 | 1,586.6 | 13,145.9 | 324.6 | 2.5% |
| Other Public Health | | 91.2 | 606.5 | 343.0 | 1,781.1 | - | - | 434.2 | 2,387.6 | 421.2 | 2,430.4 | (42.8) | -1.8% |
| Public Safety | | 25.2 | 125.8 | 13.8 | 102.1 | - | - | 39.0 | 227.9 | 98.6 | 278.5 | (50.6) | -18.2% |
| Public Welfare | | 332.9 | 1,989.2 | 1.0 | 4.2 | - | - | 333.9 | 1,993.4 | 238.6 | 2,008.0 | (14.6) | -0.7% |
| Support and Regulate Business | | 3.9 | 60.5 | 1.0 | 213.4 | - | - | 4.9 | 273.9 | 10.9 | 311.4 | (37.5) | -12.0% |
| Transportation | | 13.0 | 85.0 | 839.6 | 3,985.0 | - | - | 852.6 | 4,070.0 | 809.9 | 4,030.9 | 39.1 | 1.0% |
| **Total Local Assistance Grants** | | **3,848.0** | **27,826.4** | **2,027.5** | **13,669.5** | **-** | **-** | **5,875.5** | **41,495.9** | **5,313.1** | **39,444.3** | **2,051.6** | **5.2%** |
| Departmental Operations: | | | | | | | | | | | | | |
| Personal Service | | 590.9 | 4,495.1 | 712.3 | 5,194.8 | - | - | 1,303.2 | 9,689.9 | 1,253.8 | 9,555.2 | 134.7 | 1.4% |
| Non-Personal Service | | 133.2 | 1,231.1 | 302.7 | 2,616.8 | 1.4 | 24.4 | 437.3 | 3,872.3 | 475.5 | 3,965.7 | (93.4) | -2.4% |
| General State Charges | | 305.4 | 4,341.1 | 107.8 | 1,475.8 | - | - | 413.2 | 5,816.9 | 575.4 | 5,123.8 | 693.1 | 13.5% |
| Debt Service, Including Payments on Financing Agreements | | - | - | - | - | 622.3 | 2,767.7 | 622.3 | 2,767.7 | 968.6 | 3,450.7 | (683.0) | -19.8% |
| Capital Projects | (1) | - | - | - | 1.1 | - | - | - | 1.1 | (3.5) | 1.6 | (0.5) | -31.3% |
| **Total Disbursements** | | **4,877.5** | **37,893.7** | **3,150.3** | **22,958.0** | **623.7** | **2,792.1** | **8,651.5** | **63,643.8** | **8,582.9** | **61,541.3** | **2,102.5** | **3.4%** |
| **Excess (Deficiency) of Receipts over Disbursements** | | **793.0** | **445.3** | **(1,145.9)** | **(6,721.3)** | **1,354.1** | **10,453.1** | **1,001.2** | **4,177.1** | **22.8** | **1,478.7** | **2,698.4** | **182.5%** |
| **OTHER FINANCING SOURCES (USES):** | | | | | | | | | | | | | |
| Transfers from Other Funds | (2) | 1,909.9 | 11,942.4 | 672.1 | 6,256.1 | 200.8 | 2,567.7 | 2,782.8 | 20,766.2 | 2,893.2 | 21,736.5 | (970.3) | -4.5% |
| Transfers to Other Funds | (2) | (1,008.2) | (6,369.3) | (68.0) | (388.5) | (2,009.3) | (12,712.9) | (3,085.5) | (19,470.7) | (2,601.1) | (19,438.3) | 32.4 | 0.2% |
| **Total Other Financing Sources (Uses)** | | **901.7** | **5,573.1** | **604.1** | **5,867.6** | **(1,808.5)** | **(10,145.2)** | **(302.7)** | **1,295.5** | **292.1** | **2,298.2** | **(1,002.7)** | **-43.6%** |
| **Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses** | | **1,694.7** | **6,018.4** | **(541.8)** | **(853.7)** | **(454.4)** | **307.9** | **698.5** | **5,472.6** | **314.9** | **3,776.9** | **1,695.7** | **44.9%** |
| **Beginning Fund Balances (Deficits)** | (4) | **6,558.9** | **2,235.2** | **2,176.9** | **2,488.8** | **827.4** | **65.1** | **9,563.2** | **4,789.1** | **7,821.5** | **4,359.5** | **429.6** | **9.9%** |
| **Ending Fund Balances (Deficits)** | | **$ 8,253.6** | **$ 8,253.6** | **$ 1,635.1** | **$ 1,635.1** | **$ 373.0** | **$ 373.0** | **$ 10,261.7** | **$ 10,261.7** | **$ 8,136.4** | **$ 8,136.4** | **$ 2,125.3** | **26.1%** |

(*) State Operating Funds are comprised of the General Fund, State Special Revenue Funds supported by activities from dedicated revenue sources (including operating transfers from Federal Funds) and Debt Service Funds.
(**) Eliminations between Special Revenue - State and Federal Funds are not included.

**GOVERNMENTAL FUNDS FOOTNOTES**

**EXHIBIT A NOTES**
**December 2014**

1. Certain disbursements from Capital Projects funds are financed by operating transfers from other funds, proceeds of State bonds and notes, and reimbursements received from Public Authorities and the Federal Government. The amounts shown below represent disbursements to be reimbursed in future months from the sources indicated:

| | | |
|---|---|---|
| Urban Development Corporation (Correctional Facilities) | $34.8 | million |
| Urban Development Corporation (Youth Facilities) | 4.2 | |
| Housing Finance Agency (HFA) | 97.2 | |
| Housing Assistance Fund | 14.0 | |
| Dormitory Authority (Mental Hygiene) | 417.6 | |
| Dormitory Authority and State University Income Fund | 477.6 | |
| Federal Capital Projects | 166.2 | |
| State bond and note proceeds | 90.7 | |

2. Operating Transfers constitute legally authorized transfers from a fund receiving revenues to a fund through which disbursements will ultimately be made. The more significant transfers include:

**General Fund** "Transfers to Other Funds" are as follows:

| | | |
|---|---|---|
| State Capital Projects Fund | $1,049.1 | million |
| General Debt Service Fund | 477.6 | |
| Alcohol Beverage Control | 14.9 | |
| Banking Services Account | 23.2 | |
| Centralized Technical Services | 7.0 | |
| Certificates of Participation | 15.3 | |
| Court Facilities Incentive Aid Fund | 89.1 | |
| Dedicated Highway & Bridge Trust Fund | 49.5 | |
| Dedicated Mass Transportation - Non MTA | 3.8 | |
| Financial Crimes Revenue Account | 14.3 | |
| Housing Debt Service Fund | 4.3 | |
| Indigent Legal Services Fund | 33.4 | |
| Mental Hygiene Patient Income Account | 787.7 | |
| Mental Hygiene Program Fund | 1,071.2 | |
| MTA Financial Assistance Fund | 326.2 | |
| MTA Operating Assistance Fund | 39.9 | |
| NYC County Courts Operating Fund | 5.4 | |
| Railroad Account | 6.6 | |
| SUNY - Hospital IFR | 58.5 | |
| SUNY - Income Fund | 980.2 | |
| Tax Revenue Arrearage Account | 3.0 | |
| Transit Authority Fund | 36.7 | |

Also included in the General Fund are transfers representing payments for patients residing in State-operated Health, Mental Hygiene and State University facilities to Debt Service funds ($12.3m), the State University Income Fund ($194.7m), the Mental Hygiene Program Account ($1,065.4m) and Miscellaneous State Special Revenue Account ($0.1m).

§72(4)(b) was added to the State Finance Law in 2010 to permit the State's General Debt Service Fund to maintain a cash reserve for the payment of debt service, and related expenses, during the current fiscal quarter. As of December 31, 2014 - pursuant to a certification of the Budget Director - payment obligations were met out of these reserves and future payment amounts were scheduled for transfer at the commencement of the succeeding month.

**Special Revenue Funds** "Transfers To Other Funds" includes transfers to Debt Service funds of ($1,138.7m) representing the federal share of Medicaid payments for patients residing in State-operated Health and Mental Hygiene facilities.

Also included in Special Revenue funds are transfers to the General Fund from the following:

| | | |
|---|---|---|
| Business & Licensing Services Account | $32.9 | million |
| Dept of Labor - Fee & Penalty Account | 8.4 | |
| Federal Dept of Health & Human Services Fund | 103.7 | |
| Federal Education Fund | 0.7 | |
| Federal USDA/Food and Nutrition Services Fund | 24.0 | |
| Legal Services Assistance Account | 2.0 | |
| MTA Financial Assistance Account | 0.6 | |
| Professional Education Services Account | 2.8 | |
| Quality of Care Account | 53.0 | |
| Revenue Arrearage Account | 22.9 | |
| State Police Motor Vehicle Law Fund | 20.0 | |
| State Miscellaneous Special Revenue Fund | 7.2 | |
| Surplus Property Account | 3.0 | |
| SUNY Income Fund | 38.9 | |
| Tribal State Compact Fund | 15.0 | |
| Unemployment Insurance - Interest & Penalty Account | 3.2 | |
| Vital Records Management Fund | 2.3 | |
| Youth Facilities Per Diem Account | 2.6 | |

**Debt Service Funds** "Transfers To Other Funds" includes transfers to the General Fund from the following:

| | | |
|---|---|---|
| Revenue Bond Tax Fund | $6,495.0 | million |
| Local Government Assistance Tax Fund | 2,238.7 | |
| Sales Tax Revenue Bond Tax Fund | 2,210.5 | |
| Clean Water/Clean Air Fund | 636.2 | |

Also included in Debt Service funds are transfers to Special Revenue funds representing receipts in excess of lease-purchase obligations that are used to finance a portion of the operating expenses for Departments of Health ($109.5m) and Mental Hygiene ($1,023.0m).

**Capital Projects Funds** "Transfers To Other Funds" includes transfers to the General Fund ($15.4m), the General Debt Service Fund ($765.0m) and the Revenue Bond Tax Fund ($110.4m).

3. The State receives moneys that represent refunds, pharmacy rebates, reimbursements, or disallowances of medical assistance payments previously made from appropriated State and Federal funds. These monies are initially credited to an agency escrow account and shortly after receipt are allocated and refunded to State or Federal fund appropriations from which the medical assistance payments were originally made.

At month end, the following balances remained in agency escrow accounts. For accounting purposes, adjustments have been made to reduce medical assistance spending and count these monies as financial resources of the General Fund and the Special Revenue Federal Fund.

| | Allocation of Month-End Balances | |
|---|---|---|
| | General Fund | Special Revenue - Federal |
| Medicaid Recoveries - Health Facilities | $ - | $ 935,930 |
| Medicaid Recoveries -Audit | - | 7,080,758 |
| Medicaid Recoveries - Third Parties | - | 35,144,443 |
| Pharmacy Rebates | - | 1,141,304 |
| Medicare Catastrophic Recovery | - | - |
| Medicaid "Windfall" Recovery | - | - |
| Total | $ - | $44,302,434 |

4. Pursuant to Section 70 of the State Finance Law, the SUNY Dormitory Fund (40350-40399) has been reclassified from a Debt Service Fund to a Special Revenue Fund. For the current fiscal year, all the activity will be presented in a Special Revenue Fund using the same fund numbers. The beginning fund balances have been modified to reflect this change.

5. A portion of Personal Income Tax receipts is transferred to the State Special Revenue School Tax Relief (STAR) Fund to be used to reimburse school districts for the STAR property tax exemptions for homeowners and payments to homeowners for the STAR Property Rebate Program. Local Assistance Education grant payments were ($424.2m) in June, ($203.3m) in September, ($4.5m) in October, ($25.2m) in November and ($124.1m) for the month of December.

STATE OF NEW YORK
PROPRIETARY FUNDS
COMBINED STATEMENT OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
(Amounts in millions)

EXHIBIT B

| | ENTERPRISE | | INTERNAL SERVICE | | TOTAL PROPRIETARY FUNDS | | | | YEAR OVER YEAR | |
|---|---|---|---|---|---|---|---|---|---|---|
| | MONTH OF DEC. 2014 | 9 MOS. ENDED DEC. 31, 2014 | MONTH OF DEC. 2014 | 9 MOS. ENDED DEC. 31, 2014 | MONTH OF DEC. 2014 | 9 MOS. ENDED DEC. 31, 2014 | MONTH OF DEC. 2013 | 9 MOS. ENDED DEC. 31, 2013 | $ Increase/ (Decrease) | % Increase/ Decrease |
| **RECEIPTS:** | | | | | | | | | | |
| Miscellaneous Receipts | $ 4.0 | $ 89.8 | $ 35.7 | $ 320.6 | $ 39.7 | $ 410.4 | $ 42.2 | $ 451.9 | $ (41.5) | -9.2% |
| Federal Receipts | 3.6 | 36.2 | - | - | 3.6 | 36.2 | 147.4 | 1,399.1 | (1,362.9) | -97.4% |
| Unemployment Taxes | 234.4 | 1,760.6 | - | - | 234.4 | 1,760.6 | 257.2 | 2,167.8 | (407.2) | -18.8% |
| **Total Receipts** | **242.0** | **1,886.6** | **35.7** | **320.6** | **277.7** | **2,207.2** | **446.8** | **4,018.8** | **(1,811.6)** | **-45.1%** |
| **DISBURSEMENTS:** | | | | | | | | | | |
| Departmental Operations: | | | | | | | | | | |
| Personal Service | 0.5 | 5.4 | 9.0 | 67.5 | 9.5 | 72.9 | 12.4 | 89.5 | (16.6) | -18.5% |
| Non-Personal Service | 3.7 | 101.5 | 52.1 | 411.5 | 55.8 | 513.0 | 53.3 | 478.8 | 34.2 | 7.1% |
| General State Charges | - | 0.8 | 1.9 | 38.5 | 1.9 | 39.3 | 7.8 | 44.4 | (5.1) | -11.5% |
| Unemployment Benefits | 245.4 | 1,774.5 | - | - | 245.4 | 1,774.5 | 451.1 | 3,615.7 | (1,841.2) | -50.9% |
| **Total Disbursements** | **249.6** | **1,882.2** | **63.0** | **517.5** | **312.6** | **2,399.7** | **524.6** | **4,228.4** | **(1,828.7)** | **-43.2%** |
| **Excess (Deficiency) of Receipts Over Disbursements** | **(7.6)** | **4.4** | **(27.3)** | **(196.9)** | **(34.9)** | **(192.5)** | **(77.8)** | **(209.6)** | **17.1** | **8.2%** |
| **OTHER FINANCING SOURCES (USES):** | | | | | | | | | | |
| Transfers from Other Funds | - | - | 1.8 | 45.4 | 1.8 | 45.4 | 13.2 | 60.0 | (14.6) | -24.3% |
| Transfers to Other Funds | - | (0.3) | (0.2) | (17.7) | (0.2) | (18.0) | (11.7) | (18.1) | (0.1) | -0.6% |
| **Total Other Financing Sources (Uses)** | **-** | **(0.3)** | **1.6** | **27.7** | **1.6** | **27.4** | **1.5** | **41.9** | **(14.5)** | **-34.6%** |
| **Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses** | **(7.6)** | **4.1** | **(25.7)** | **(169.2)** | **(33.3)** | **(165.1)** | **(76.3)** | **(167.7)** | **2.6** | **1.6%** |
| **Beginning Fund Balances (Deficits)** | **74.2** | **62.5** | **(216.2)** | **(72.7)** | **(142.0)** | **(10.2)** | **(14.1)** | **77.3** | **(87.5)** | **-113.2%** |
| **Ending Fund Balances (Deficits)** | **$ 66.6** | **$ 66.6** | **$ (241.9)** | **$ (241.9)** | **$ (175.3)** | **$ (175.3)** | **$ (90.4)** | **$ (90.4)** | **$ (84.9)** | **-93.9%** |

**STATE OF NEW YORK**
**TRUST FUNDS**
**COMBINED STATEMENT OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES**
**(Amounts in millions)**

**EXHIBIT C**

| | PENSION | | PRIVATE PURPOSE | | TOTAL TRUST FUNDS | | | | YEAR OVER YEAR | |
|---|---|---|---|---|---|---|---|---|---|---|
| | MONTH OF DEC. 2014 | 9 MOS. ENDED DEC. 31, 2014 | MONTH OF DEC. 2014 | 9 MOS. ENDED DEC. 31, 2014 | MONTH OF DEC. 2014 | 9 MOS. ENDED DEC. 31, 2014 | MONTH OF DEC. 2013 | 9 MOS. ENDED DEC. 31, 2013 | $ Increase/ (Decrease) | % Increase Decrease |
| **RECEIPTS:** | | | | | | | | | | |
| Miscellaneous Receipts | $ 6.8 | $ 77.9 | $ - | $ 0.8 | $ 6.8 | $ 78.7 | $ 9.6 | $ 83.8 | $ (5.1) | -6.1% |
| **Total Receipts** | **6.8** | **77.9** | **-** | **0.8** | **6.8** | **78.7** | **9.6** | **83.8** | **(5.1)** | **-6.1%** |
| **DISBURSEMENTS:** | | | | | | | | | | |
| Departmental Operations: | | | | | | | | | | |
| Personal Service | 3.3 | 42.1 | 0.1 | 0.2 | 3.4 | 42.3 | 6.5 | 43.7 | (1.4) | -3.2% |
| Non-Personal Service | 1.1 | 12.2 | - | - | 1.1 | 12.2 | 5.8 | 15.3 | (3.1) | -20.3% |
| General State Charges | (0.1) | 21.7 | - | 0.1 | (0.1) | 21.8 | - | 23.5 | (1.7) | -7.2% |
| **Total Disbursements** | **4.3** | **76.0** | **0.1** | **0.3** | **4.4** | **76.3** | **12.3** | **82.5** | **(6.2)** | **-7.5%** |
| **Excess (Deficiency) of Receipts Over Disbursements** | **2.5** | **1.9** | **(0.1)** | **0.5** | **2.4** | **2.4** | **(2.7)** | **1.3** | **1.1** | **84.6%** |
| **OTHER FINANCING SOURCES (USES):** | | | | | | | | | | |
| Transfers from Other Funds | - | - | - | - | - | - | - | - | - | 0.0% |
| Transfers to Other Funds | - | - | - | - | - | - | - | - | - | 0.0% |
| **Total Other Financing Sources (Uses)** | **-** | **-** | **-** | **-** | **-** | **-** | **-** | **-** | **-** | **0.0%** |
| **Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses** | **2.5** | **1.9** | **(0.1)** | **0.5** | **2.4** | **2.4** | **(2.7)** | **1.3** | **1.1** | **84.6%** |
| **Beginning Fund Balances (Deficits)** | **(4.5)** | **(3.9)** | **11.5** | **10.9** | **7.0** | **7.0** | **10.6** | **6.6** | **0.4** | **6.1%** |
| **Ending Fund Balances (Deficits)** | **$ (2.0)** | **$ (2.0)** | **$ 11.4** | **$ 11.4** | **$ 9.4** | **$ 9.4** | **$ 7.9** | **$ 7.9** | **$ 1.5** | **19.0%** |

**STATE OF NEW YORK**
**BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL**
**STATE FISCAL YEAR ENDED MARCH 31, 2015**
**FOR NINE MONTHS ENDED DECEMBER 31, 2014**
**(Amounts in millions)**

**EXHIBIT D**

| | ALL GOVERNMENTAL FUNDS | | | | |
|---|---|---|---|---|---|
| | Enacted Financial Plan (*) | Updated Financial Plan (**) | Actual | Actual Over/ (Under) Enacted Financial Plan | Actual Over/ (Under) Updated Financial Plan |
| **RECEIPTS:** | | | | | |
| Taxes: | | | | | |
| Personal Income | $ 29,207.0 | $ 29,589.0 | $ 30,174.1 | $ 967.1 | $ 585.1 |
| Consumption/Use | 11,676.0 | 11,681.0 | 11,765.9 | 89.9 | 84.9 |
| Business | 4,758.0 | 5,265.0 | 5,288.5 | 530.5 | 23.5 |
| Other | 2,499.0 | 2,489.0 | 2,511.9 | 12.9 | 22.9 |
| Miscellaneous Receipts | 18,236.0 | 21,526.0 | 21,414.7 | 3,178.7 | (111.3) |
| Federal Receipts | 34,016.0 | 34,191.0 | 34,873.4 | 857.4 | 682.4 |
| **Total Receipts** | **100,392.0** | **104,741.0** | **106,028.5** | **5,636.5** | **1,287.5** |
| **DISBURSEMENTS:** | | | | | |
| Local Assistance Grants | 71,912.0 | 72,730.0 | 73,420.6 | 1,508.6 | 690.6 |
| Departmental Operations | 15,162.0 | 15,143.0 | 14,951.1 | (210.9) | (191.9) |
| General State Charges | 6,064.0 | 6,029.0 | 6,023.4 | (40.6) | (5.6) |
| Debt Service | 2,788.0 | 2,770.0 | 2,767.7 | (20.3) | (2.3) |
| Capital Projects | 4,378.0 | 4,104.0 | 4,148.6 | (229.4) | 44.6 |
| **Total Disbursements** | **100,304.0** | **100,776.0** | **101,311.4** | **1,007.4** | **535.4** |
| **Excess (Deficiency) of Receipts over Disbursements** | **88.0** | **3,965.0** | **4,717.1** | **4,629.1** | **752.1** |
| **OTHER FINANCING SOURCES (USES):** | | | | | |
| Bond and Note Proceeds, net | - | - | - | - | - |
| Transfers from Other Funds | 21,424.0 | 21,941.0 | 21,588.9 | 164.9 | (352.1) |
| Transfers to Other Funds | (21,506.0) | (22,052.0) | (21,641.8) | 135.8 | (410.2) |
| **Total Other Financing Sources (Uses)** | **(82.0)** | **(111.0)** | **(52.9)** | **29.1** | **58.1** |
| **Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses** | **6.0** | **3,854.0** | **4,664.2** | **4,658.2** | **810.2** |
| **Fund Balances (Deficits) at April 1** | **4,035.0** | **4,035.0** | **4,034.5** | **(0.5)** | **(0.5)** |
| **Fund Balances (Deficits) at December 31, 2014** | **$ 4,041.0** | **$ 7,889.0** | **$ 8,698.7** | **$ 4,657.7** | **$ 809.7** |

(*) Source: 2014-15 Enacted Budget dated March 31, 2014.
(**) Source: 2014-15 Financial Plan Mid-Year Update dated November 10, 2014.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
STATE FISCAL YEAR ENDED MARCH 31, 2015
FOR NINE MONTHS ENDED DECEMBER 31, 2014
(Amounts in millions)

EXHIBIT D
(continued)

| | STATE OPERATING FUNDS (***) | | | | |
|---|---|---|---|---|---|
| | Enacted Financial Plan (*) | Updated Financial Plan (**) | Actual | Actual Over/ (Under) Enacted Financial Plan | Actual Over/ (Under) Updated Financial Plan |
| **RECEIPTS:** | | | | | |
| Taxes: | | | | | |
| Personal Income | $ 29,207.0 | $ 29,589.0 | $ 30,174.1 | $ 967.1 | $ 585.1 |
| Consumption/Use | 11,219.0 | 11,213.0 | 11,300.9 | 81.9 | 87.9 |
| Business | 4,259.0 | 4,766.0 | 4,791.5 | 532.5 | 25.5 |
| Other | 2,415.0 | 2,405.0 | 2,428.5 | 13.5 | 23.5 |
| Miscellaneous Receipts | 14,694.0 | 19,085.0 | 19,088.5 | 4,394.5 | 3.5 |
| Federal Receipts | 37.0 | 38.0 | 37.4 | 0.4 | (0.6) |
| **Total Receipts** | **61,831.0** | **67,096.0** | **67,820.9** | **5,989.9** | **724.9** |
| **DISBURSEMENTS:** | | | | | |
| Local Assistance Grants | 41,476.0 | 41,888.0 | 41,495.9 | 19.9 | (392.1) |
| Departmental Operations | 13,804.0 | 13,751.0 | 13,562.2 | (241.8) | (188.8) |
| General State Charges | 5,837.0 | 5,809.0 | 5,816.9 | (20.1) | 7.9 |
| Debt Service | 2,788.0 | 2,770.0 | 2,767.7 | (20.3) | (2.3) |
| Capital Projects | - | (1.0) | 1.1 | 1.1 | 2.1 |
| **Total Disbursements** | **63,905.0** | **64,217.0** | **63,643.8** | **(261.2)** | **(573.2)** |
| **Excess (Deficiency) of Receipts over Disbursements** | **(2,074.0)** | **2,879.0** | **4,177.1** | **6,251.1** | **1,298.1** |
| **OTHER FINANCING SOURCES (USES):** | | | | | |
| Transfers from Other Funds | 20,916.0 | 20,752.0 | 20,766.2 (****) | (149.8) | 14.2 |
| Transfers to Other Funds | (18,545.0) | (19,459.0) | (19,470.7) (****) | 925.7 | 11.7 |
| **Total Other Financing Sources (Uses)** | **2,371.0** | **1,293.0** | **1,295.5** | **(1,075.5)** | **2.5** |
| **Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses** | **297.0** | **4,172.0** | **5,472.6** | **5,175.6** | **1,300.6** |
| **Fund Balances (Deficits) at April 1** | **4,789.0** | **4,789.0** | **4,789.1** | **0.1** | **0.1** |
| **Fund Balances (Deficits) at December 31, 2014** | **$ 5,086.0** | **$ 8,961.0** | **$ 10,261.7** | **$ 5,175.7** | **$ 1,300.7** |

(*) Source: 2014-15 Enacted Budget dated March 31, 2014.
(**) Source: 2014-15 Financial Plan Mid-Year Update dated November 10, 2014.
(***) State Operating Funds are comprised of the General Fund, State Special Revenue Funds supported by activities from dedicated revenue sources (including operating transfers from Federal Funds) and Debt Service Funds.
(****) Eliminations between Special Revenue - State and Federal Funds are not included.

**STATE OF NEW YORK**
**BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL**
**STATE FISCAL YEAR ENDED MARCH 31, 2015**
**FOR NINE MONTHS ENDED DECEMBER 31, 2014**
**(Amounts in millions)**

**EXHIBIT D**
**(continued)**

| | GENERAL FUND | | | | |
|---|---|---|---|---|---|
| | Enacted Financial Plan (*) | Updated Financial Plan (**) | Actual | Actual Over/ (Under) Enacted Financial Plan | Actual Over/ (Under) Updated Financial Plan |
| **RECEIPTS:** | | | | | |
| Taxes: | | | | | |
| Personal Income | $ 21,092.0 | $ 21,381.0 | $ 21,849.3 | $ 757.3 | $ 468.3 |
| Consumption/Use | 5,014.0 | 5,032.0 | 5,092.5 | 78.5 | 60.5 |
| Business | 3,231.0 | 3,692.0 | 3,729.5 | 498.5 | 37.5 |
| Other | 896.0 | 889.0 | 868.2 | (27.8) | (20.8) |
| Miscellaneous Receipts | 2,593.0 | 6,322.0 | 6,798.7 | 4,205.7 | 476.7 |
| Federal Receipts | - | 1.0 | 0.8 | 0.8 | (0.2) |
| Transfers From: | | | | | |
| PIT in excess of Revenue Bond Debt Service | 6,234.0 | 6,348.0 | 6,495.0 | 261.0 | 147.0 |
| Sales Tax in excess of LGAC / STRBF Debt Service | 4,416.0 | 4,408.0 | 4,449.2 | 33.2 | 41.2 |
| Real Estate Taxes in excess of CW/CA Debt Service | 597.0 | 601.0 | 636.2 | 39.2 | 35.2 |
| All Other | 461.0 | 387.0 | 362.0 | (99.0) | (25.0) |
| **Total Receipts and Other Financing Sources** | **44,534.0** | **49,061.0** | **50,281.4** | **5,747.4** | **1,220.4** |
| **DISBURSEMENTS:** | | | | | |
| Local Assistance Grants | 28,055.0 | 28,392.0 | 27,826.4 | (228.6) | (565.6) |
| Departmental Operations | 5,843.0 | 5,890.0 | 5,726.2 | (116.8) | (163.8) |
| General State Charges | 4,284.0 | 4,260.0 | 4,341.1 | 57.1 | 81.1 |
| Transfers To: | | | | | |
| Debt Service | 477.0 | 480.0 | 477.6 | 0.6 | (2.4) |
| Capital Projects | 201.0 | 987.0 | 1,049.1 | 848.1 | 62.1 |
| State Share Medicaid | 1,280.0 | 1,213.0 | 1,272.5 (***) | (7.5) | 59.5 |
| SUNY Operations | 978.0 | 977.0 | 980.2 | 2.2 | 3.2 |
| Other Purposes | 2,622.0 | 2,860.0 | 2,589.9 | (32.1) | (270.1) |
| **Total Disbursements and Other Financing Uses** | **43,740.0** | **45,059.0** | **44,263.0** | **523.0** | **(796.0)** |
| **Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses** | **794.0** | **4,002.0** | **6,018.4** | **5,224.4** | **2,016.4** |
| **Fund Balances (Deficits) at April 1** | **2,235.0** | **2,235.0** | **2,235.2** | **0.2** | **0.2** |
| **Fund Balances (Deficits) at December 31, 2014** | **$ 3,029.0** | **$ 6,237.0** | **$ 8,253.6** | **$ 5,224.6** | **$ 2,016.6** |

(*) Source: 2014-15 Enacted Budget dated March 31, 2014.
(**) Source: 2014-15 Financial Plan Mid-Year Update dated November 10, 2014.
(***) Includes transfers to the Department of Health Income Fund, the State University Income Fund and the Mental Hygiene Program Account representing payments for patients residing in State-Operated Health, Mental Hygiene and State University facilities.

**STATE OF NEW YORK**
**BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL**
**STATE FISCAL YEAR ENDED MARCH 31, 2015**
**FOR NINE MONTHS ENDED DECEMBER 31, 2014**
**(Amounts in millions)**

**EXHIBIT D**
**(continued)**

| | SPECIAL REVENUE FUNDS | | | | |
|---|---|---|---|---|---|
| | Enacted Financial Plan (*) | Updated Financial Plan (**) | Actual | Actual Over/ (Under) Enacted Financial Plan | Actual Over/ (Under) Updated Financial Plan |
| **RECEIPTS:** | | | | | |
| Taxes: | | | | | |
| Personal Income | $ 813.0 | $ 810.0 | $ 781.3 | $ (31.7) | $ (28.7) |
| Consumption/Use | 1,640.0 | 1,624.0 | 1,613.4 | (26.6) | (10.6) |
| Business | 1,028.0 | 1,074.0 | 1,062.0 | 34.0 | (12.0) |
| Other | 863.0 | 858.0 | 867.7 | 4.7 | 9.7 |
| Miscellaneous Receipts | 11,815.0 | 12,549.0 | 12,058.1 | 243.1 | (490.9) |
| Federal Receipts | 32,352.0 | 32,578.0 | 33,364.0 | 1,012.0 | 786.0 |
| Transfers from Other Funds(***) | 6,399.0 | 6,409.0 | 5,877.0 | (522.0) | (532.0) |
| **Total Receipts and Other Financing Sources** | **54,910.0** | **55,902.0** | **55,623.5** | **713.5** | **(278.5)** |
| **DISBURSEMENTS:** | | | | | |
| Local Assistance Grants | 42,292.0 | 43,099.0 | 44,288.3 | 1,996.3 | 1,189.3 |
| Departmental Operations | 9,291.0 | 9,228.0 | 9,200.5 | (90.5) | (27.5) |
| General State Charges | 1,780.0 | 1,769.0 | 1,682.3 | (97.7) | (86.7) |
| Capital Projects | - | (1.0) | 1.1 | 1.1 | 2.1 |
| Transfers to Other Funds(***) | 2,200.0 | 2,029.0 | 1,655.6 | (544.4) | (373.4) |
| **Total Disbursements and Other Financing Uses** | **55,563.0** | **56,124.0** | **56,827.8** | **1,264.8** | **703.8** |
| **Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses** | **(653.0)** | **(222.0)** | **(1,204.3)** | **(551.3)** | **(982.3)** |
| **Fund Balances (Deficits) at April 1** | **2,364.0** | **2,364.0** | **2,362.9** | **(1.1)** | **(1.1)** |
| **Fund Balances (Deficits) at December 31, 2014** | **$ 1,711.0** | **$ 2,142.0** | **$ 1,158.6** | **$ (552.4)** | **$ (983.4)** |

(*) Source: 2014-15 Enacted Budget dated March 31, 2014.
(**) Source: 2014-15 Financial Plan Mid-Year Update dated November 10, 2014.
(***) Actual reported transfer amounts include eliminations between Special Revenue -State and Federal Funds. The Financial Plan reported transfer amounts that do not include eliminations.

**STATE OF NEW YORK**
**BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL**
**STATE FISCAL YEAR ENDED MARCH 31, 2015**
**FOR NINE MONTHS ENDED DECEMBER 31, 2014**
**(Amounts in millions)**

**EXHIBIT D**
**(continued)**

| | STATE SPECIAL REVENUE FUNDS | | | | | FEDERAL SPECIAL REVENUE FUNDS | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Enacted Financial Plan (*) | Updated Financial Plan (**) | Actual | Actual Over/ (Under) Enacted Financial Plan | Actual Over/ (Under) Updated Financial Plan | Enacted Financial Plan (*) | Updated Financial Plan (**) | Actual | Actual Over/ (Under) Enacted Financial Plan | Actual Over/ (Under) Updated Financial Plan |
| **RECEIPTS:** | | | | | | | | | | |
| Taxes: | | | | | | | | | | |
| Personal Income | $ 813.0 | $ 810.0 | $ 781.3 | $ (31.7) | $ (28.7) | $ - | $ - | $ - | $ - | $ - |
| Consumption/Use | 1,640.0 | 1,624.0 | 1,613.4 | (26.6) | (10.6) | - | - | - | - | - |
| Business | 1,028.0 | 1,074.0 | 1,062.0 | 34.0 | (12.0) | - | - | - | - | - |
| Other | 863.0 | 858.0 | 867.7 | 4.7 | 9.7 | - | - | - | - | - |
| Miscellaneous Receipts | 11,788.0 | 12,408.0 | 11,912.3 | 124.3 | (495.7) | 27.0 | 141.0 | 145.8 | 118.8 | 4.8 |
| Federal Receipts | - | - | - | - | - | 32,352.0 | 32,578.0 | 33,364.0 | 1,012.0 | 786.0 |
| Transfers from Other Funds(***) | 6,399.0 | 6,409.0 | 5,877.0 | (522.0) | (532.0) | - | - | - | - | - |
| **Total Receipts and Other Financing Sources** | **22,531.0** | **23,183.0** | **22,113.7** | **(417.3)** | **(1,069.3)** | **32,379.0** | **32,719.0** | **33,509.8** | **1,130.8** | **790.8** |
| **DISBURSEMENTS:** | | | | | | | | | | |
| Local Assistance Grants | 13,421.0 | 13,496.0 | 13,669.5 | 248.5 | 173.5 | 28,871.0 | 29,603.0 | 30,618.8 | 1,747.8 | 1,015.8 |
| Departmental Operations | 7,933.0 | 7,836.0 | 7,811.6 | (121.4) | (24.4) | 1,358.0 | 1,392.0 | 1,388.9 | 30.9 | (3.1) |
| General State Charges | 1,553.0 | 1,549.0 | 1,475.8 | (77.2) | (73.2) | 227.0 | 220.0 | 206.5 | (20.5) | (13.5) |
| Capital Projects | - | (1.0) | 1.1 | 1.1 | 2.1 | - | - | - | - | - |
| Transfers to Other Funds(***) | 386.0 | 376.0 | 388.5 | 2.5 | 12.5 | 1,814.0 | 1,653.0 | 1,267.1 | (546.9) | (385.9) |
| **Total Disbursements and Other Financing Uses** | **23,293.0** | **23,256.0** | **23,346.5** | **53.5** | **90.5** | **32,270.0** | **32,868.0** | **33,481.3** | **1,211.3** | **613.3** |
| **Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses** | **(762.0)** | **(73.0)** | **(1,232.8)** | **(470.8)** | **(1,159.8)** | **109.0** | **(149.0)** | **28.5** | **(80.5)** | **177.5** |
| **Fund Balances (Deficits) at April 1** | **2,489.0** | **2,489.0** | **2,488.8** | **(0.2)** | **(0.2)** | **(125.0)** | **(125.0)** | **(125.9)** | **(0.9)** | **(0.9)** |
| **Fund Balances (Deficits) at December 31, 2014** | **$ 1,727.0** | **$ 2,416.0** | **$ 1,256.0** | **$ (471.0)** | **$ (1,160.0)** | **$ (16.0)** | **$ (274.0)** | **$ (97.4)** | **$ (81.4)** | **$ 176.6** |

(*) Source: 2014-15 Enacted Budget dated March 31, 2014.
(**) Source: 2014-15 Financial Plan Mid-Year Update dated November 10, 2014.
(***) Actual reported transfer amounts include eliminations between Special Revenue -State and Federal Funds. The Financial Plan reported transfer amounts do not include eliminations.

**STATE OF NEW YORK**
**BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL**
**STATE FISCAL YEAR ENDED MARCH 31, 2015**
**FOR NINE MONTHS ENDED DECEMBER 31, 2014**
**(Amounts in millions)**

**EXHIBIT D**
**(continued)**

| | DEBT SERVICE FUNDS | | | | |
|---|---|---|---|---|---|
| | Enacted Financial Plan (*) | Updated Financial Plan (**) | Actual | Actual Over/ (Under) Enacted Financial Plan | Actual Over/ (Under) Updated Financial Plan |
| **RECEIPTS:** | | | | | |
| Taxes: | | | | | |
| Personal Income | $ 7,302.0 | $ 7,398.0 | $ 7,543.5 | $ 241.5 | $ 145.5 |
| Consumption/Use | 4,565.0 | 4,557.0 | 4,595.0 | 30.0 | 38.0 |
| Other | 656.0 | 658.0 | 692.6 | 36.6 | 34.6 |
| Miscellaneous Receipts | 313.0 | 355.0 | 377.5 | 64.5 | 22.5 |
| Federal Receipts | 37.0 | 37.0 | 36.6 | (0.4) | (0.4) |
| Transfers from Other Funds | 2,809.0 | 2,599.0 | 2,567.7 | (241.3) | (31.3) |
| **Total Receipts and Other Financing Sources** | **15,682.0** | **15,604.0** | **15,812.9** | **130.9** | **208.9** |
| **DISBURSEMENTS:** | | | | | |
| Departmental Operations | 28.0 | 25.0 | 24.4 | (3.6) | (0.6) |
| Debt Service | 2,788.0 | 2,770.0 | 2,767.7 | (20.3) | (2.3) |
| Transfers to Other Funds | 12,601.0 | 12,566.0 | 12,712.9 | 111.9 | 146.9 |
| **Total Disbursements and Other Financing Uses** | **15,417.0** | **15,361.0** | **15,505.0** | **88.0** | **144.0** |
| **Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses** | **265.0** | **243.0** | **307.9** | **42.9** | **64.9** |
| **Fund Balances (Deficits) at April 1** | **65.0** | **65.0** | **65.1** | **0.1** | **0.1** |
| **Fund Balances (Deficits) at December 31, 2014** | **$ 330.0** | **$ 308.0** | **$ 373.0** | **$ 43.0** | **$ 65.0** |

(*) Source: 2014-15 Enacted Budget dated March 31, 2014.
(**) Source: 2014-15 Financial Plan Mid-Year Update dated November 10, 2014.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
STATE FISCAL YEAR ENDED MARCH 31, 2015
FOR NINE MONTHS ENDED DECEMBER 31, 2014
(Amounts in millions)

EXHIBIT D
(continued)

| | CAPITAL PROJECTS FUNDS | | | | |
|---|---|---|---|---|---|
| | Enacted Financial Plan (*) | Updated Financial Plan (**) | Actual | Actual Over/ (Under) Enacted Financial Plan | Actual Over/ (Under) Updated Financial Plan |
| **RECEIPTS:** | | | | | |
| Taxes: | | | | | |
| Consumption/Use | $ 457.0 | $ 468.0 | $ 465.0 | $ 8.0 | $ (3.0) |
| Business | 499.0 | 499.0 | 497.0 | (2.0) | (2.0) |
| Other | 84.0 | 84.0 | 83.4 | (0.6) | (0.6) |
| Miscellaneous Receipts | 3,515.0 | 2,300.0 | 2,180.4 | (1,334.6) | (119.6) |
| Federal Receipts | 1,627.0 | 1,575.0 | 1,472.0 | (155.0) | (103.0) |
| Bond and Note Proceeds, net | - | - | - | - | - |
| Transfers from Other Funds(***) | 508.0 | 1,189.0 | 1,201.8 | 693.8 | 12.8 |
| **Total Receipts and Other Financing Sources** | **6,690.0** | **6,115.0** | **5,899.6** | **(790.4)** | **(215.4)** |
| **DISBURSEMENTS:** | | | | | |
| Local Assistance Grants | 1,565.0 | 1,239.0 | 1,305.9 | (259.1) | 66.9 |
| Capital Projects | 4,378.0 | 4,105.0 | 4,147.5 | (230.5) | 42.5 |
| Transfers to Other Funds(***) | 1,147.0 | 940.0 | 904.0 | (243.0) | (36.0) |
| **Total Disbursements and Other Financing Uses** | **7,090.0** | **6,284.0** | **6,357.4** | **(732.6)** | **73.4** |
| **Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses** | **(400.0)** | **(169.0)** | **(457.8)** | **(57.8)** | **(288.8)** |
| **Fund Balances (Deficits) at April 1** | **(629.0)** | **(629.0)** | **(628.7)** | **0.3** | **0.3** |
| **Fund Balances (Deficits) at December 31, 2014** | **$ (1,029.0)** | **$ (798.0)** | **$ (1,086.5)** | **$ (57.5)** | **$ (288.5)** |

(*) Source: 2014-15 Enacted Budget dated March 31, 2014.
(**) Source: 2014-15 Financial Plan Mid-Year Update dated November 10, 2014.
(***) Actual reported transfer amounts include eliminations between Capital Projects -State and Federal Funds. The Financial Plan reported transfer amounts do not include eliminations.

**STATE OF NEW YORK**
**BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL**
**STATE FISCAL YEAR ENDED MARCH 31, 2015**
**FOR NINE MONTHS ENDED DECEMBER 31, 2014**
**(Amounts in millions)**

**EXHIBIT D**
**(continued)**

| | STATE CAPITAL PROJECTS FUNDS | | | | | FEDERAL CAPITAL PROJECTS FUNDS | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Enacted Financial Plan (*) | Updated Financial Plan (**) | Actual | Actual Over/ (Under) Enacted Financial Plan | Actual Over/ (Under) Updated Financial Plan | Enacted Financial Plan (*) | Updated Financial Plan (**) | Actual | Actual Over/ (Under) Enacted Financial Plan | Actual Over/ (Under) Updated Financial Plan |
| **RECEIPTS:** | | | | | | | | | | |
| Taxes: | | | | | | | | | | |
| Consumption/Use | $ 457.0 | $ 468.0 | $ 465.0 | $ 8.0 | $ (3.0) | $ - | $ - | $ - | $ - | $ - |
| Business | 499.0 | 499.0 | 497.0 | (2.0) | (2.0) | - | - | - | - | - |
| Other | 84.0 | 84.0 | 83.4 | (0.6) | (0.6) | - | - | - | - | - |
| Miscellaneous Receipts | 3,515.0 | 2,300.0 | 2,179.4 | (1,335.6) | (120.6) | - | - | 1.0 | 1.0 | 1.0 |
| Federal Receipts | 2.0 | 4.0 | 2.5 | 0.5 | (1.5) | 1,625.0 | 1,571.0 | 1,469.5 | (155.5) | (101.5) |
| Bond and Note Proceeds, net | - | - | - | - | - | - | - | - | - | - |
| Transfers from Other Funds(***) | 508.0 | 1,189.0 | 1,201.8 | 693.8 | 12.8 | - | - | - | - | - |
| **Total Receipts and Other Financing Sources** | **5,065.0** | **4,544.0** | **4,429.1** | **(635.9)** | **(114.9)** | **1,625.0** | **1,571.0** | **1,470.5** | **(154.5)** | **(100.5)** |
| **DISBURSEMENTS:** | | | | | | | | | | |
| Local Assistance Grants | 1,073.0 | 809.0 | 897.9 | (175.1) | 88.9 | 492.0 | 430.0 | 408.0 | (84.0) | (22.0) |
| Capital Projects | 3,537.0 | 3,267.0 | 3,219.6 | (317.4) | (47.4) | 841.0 | 838.0 | 927.9 | 86.9 | 89.9 |
| Transfers to Other Funds(***) | 894.0 | 824.0 | 890.8 | (3.2) | 66.8 | 253.0 | 116.0 | 13.2 | (239.8) | (102.8) |
| **Total Disbursements and Other Financing Uses** | **5,504.0** | **4,900.0** | **5,008.3** | **(495.7)** | **108.3** | **1,586.0** | **1,384.0** | **1,349.1** | **(236.9)** | **(34.9)** |
| **Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses** | **(439.0)** | **(356.0)** | **(579.2)** | **(140.2)** | **(223.2)** | **39.0** | **187.0** | **121.4** | **82.4** | **(65.6)** |
| **Fund Balances (Deficits) at April 1** | **(420.0)** | **(420.0)** | **(444.3)** | **(24.3)** | **(24.3)** | **(209.0)** | **(209.0)** | **(184.4)** | **24.6** | **24.6** |
| **Fund Balances (Deficits) at December 31, 2014** | **$ (859.0)** | **$ (776.0)** | **$ (1,023.5)** | **$ (164.5)** | **$ (247.5)** | **$ (170.0)** | **$ (22.0)** | **$ (63.0)** | **$ 107.0** | **$ (41.0)** |

(*) Source: 2014-15 Enacted Budget dated March 31, 2014.
(**) Source: 2014-15 Financial Plan Mid-Year Update dated November 10, 2014.
(***) Actual reported transfer amounts include eliminations between Capital Projects -State and Federal Funds. The Financial Plan reported transfer amounts do not include eliminations.

STATE OF NEW YORK
GOVERNMENTAL FUNDS
COMPARATIVE SCHEDULE OF TAX RECEIPTS
(Amounts in millions)

EXHIBIT E

| | GENERAL | | SPECIAL REVENUE | | DEBT SERVICE | | CAPITAL PROJECTS | | TOTAL GOVERNMENTAL FUNDS | | | | YEAR OVER YEAR | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | MONTH OF DEC. 2014 | 9 MOS. ENDED DEC. 31, 2014 | MONTH OF DEC. 2014 | 9 MOS. ENDED DEC. 31, 2014 | MONTH OF DEC. 2014 | 9 MOS. ENDED DEC. 31, 2014 | MONTH OF DEC. 2014 | 9 MOS. ENDED DEC. 31, 2014 | MONTH OF DEC. 2014 | 9 MOS. ENDED DEC. 31, 2014 | MONTH OF DEC. 2013 | 9 MOS. ENDED DEC. 31, 2013 | $ Increase/ (Decrease) | % Increase/ Decrease |
| **PERSONAL INCOME TAX** | | | | | | | | | | | | | | |
| Withholding | $ 3,664.0 | $ 23,385.9 | $ - | $ - | $ - | $ - | $ - | $ - | $ 3,664.0 | $ 23,385.9 | $ 3,225.7 | $ 22,045.3 | $ 1,340.6 | 6.1% |
| Estimated Payments | 1,336.9 | 10,006.7 | - | - | - | - | - | - | 1,336.9 | 10,006.7 | 908.5 | 11,018.0 | (1,011.3) | -9.2% |
| Returns | 34.3 | 2,050.4 | - | - | - | - | - | - | 34.3 | 2,050.4 | 16.7 | 2,213.8 | (163.4) | -7.4% |
| State/City Offsets | (15.4) | (518.0) | - | - | - | - | - | - | (15.4) | (518.0) | (79.6) | (561.1) | (43.1) | -7.7% |
| Other (Assessments/LLC) | 100.9 | 836.8 | - | - | - | - | - | - | 100.9 | 836.8 | 111.7 | 782.1 | 54.7 | 7.0% |
| **Gross Receipts** | **5,120.7** | **35,761.8** | **-** | **-** | **-** | **-** | **-** | **-** | **5,120.7** | **35,761.8** | **4,183.0** | **35,498.1** | **263.7** | **0.7%** |
| Transfers to School Tax Relief Fund | (124.1) | (781.3) | 124.1 | 781.3 | - | - | - | - | - | - | - | - | - | 0.0% |
| Transfers to Revenue Bond Tax Fund | (1,240.9) | (7,543.5) | - | - | 1,240.9 | 7,543.5 | - | - | - | - | - | - | - | 0.0% |
| Less: Refunds Issued | (157.0) | (5,587.7) | - | - | - | - | - | - | (157.0) | (5,587.7) | (145.8) | (5,661.2) | (73.5) | -1.3% |
| **Total** | **3,598.7** | **21,849.3** | **124.1** | **781.3** | **1,240.9** | **7,543.5** | **-** | **-** | **4,963.7** | **30,174.1** | **4,037.2** | **29,836.9** | **337.2** | **1.1%** |
| **CONSUMPTION/USE TAXES** | | | | | | | | | | | | | | |
| Sales and Use | 612.6 | 4,619.8 | 84.8 | 673.7 | 612.4 | 4,595.0 | - | - | 1,309.8 | 9,888.5 | 1,272.2 | 9,552.8 | 335.7 | 3.5% |
| Auto Rental | - | - | 11.1 | 37.5 | - | - | 18.2 | 61.8 | 29.3 | 99.3 | 29.4 | 94.7 | 4.6 | 4.9% |
| Cigarette/Tobacco Products | 28.3 | 283.9 | 89.0 | 761.6 | - | - | - | - | 117.3 | 1,045.5 | 129.4 | 1,153.9 | (108.4) | -9.4% |
| Motor Fuel | - | - | 8.3 | 78.0 | - | - | 31.0 | 295.0 | 39.3 | 373.0 | 34.3 | 362.5 | 10.5 | 2.9% |
| Alcoholic Beverage | 19.7 | 188.8 | - | - | - | - | - | - | 19.7 | 188.8 | 25.8 | 188.8 | - | 0.0% |
| Highway Use | - | - | - | - | - | - | 13.7 | 108.2 | 13.7 | 108.2 | 12.9 | 106.7 | 1.5 | 1.4% |
| Metropolitan Commuter Trans. Taxicab Trip | - | - | 0.2 | 62.6 | - | - | - | - | 0.2 | 62.6 | 0.7 | 63.5 | (0.9) | -1.4% |
| **Total** | **660.6** | **5,092.5** | **193.4** | **1,613.4** | **612.4** | **4,595.0** | **62.9** | **465.0** | **1,529.3** | **11,765.9** | **1,504.7** | **11,522.9** | **243.0** | **2.1%** |
| **BUSINESS TAXES** | | | | | | | | | | | | | | |
| Corporation Franchise | 328.4 | 1,454.4 | 69.9 | 314.2 | - | - | - | - | 398.3 | 1,768.6 | 473.3 | 2,234.4 | (465.8) | -20.8% |
| Corporation and Utilities | 139.9 | 376.4 | 26.2 | 93.0 | - | - | 1.3 | 6.1 | 167.4 | 475.5 | 191.9 | 485.8 | (10.3) | -2.1% |
| Insurance | 261.5 | 802.8 | 34.3 | 95.8 | - | - | - | - | 295.8 | 898.6 | 255.2 | 852.2 | 46.4 | 5.4% |
| Bank | 186.7 | 1,095.9 | 39.8 | 166.7 | - | - | - | - | 226.5 | 1,262.6 | 185.8 | 721.3 | 541.3 | 75.0% |
| Petroleum Business | - | - | 40.3 | 392.3 | - | - | 50.4 | 490.9 | 90.7 | 883.2 | 97.6 | 886.8 | (3.6) | -0.4% |
| **Total** | **916.5** | **3,729.5** | **210.5** | **1,062.0** | **-** | **-** | **51.7** | **497.0** | **1,178.7** | **5,288.5** | **1,203.8** | **5,180.5** | **108.0** | **2.1%** |
| **OTHER TAXES** | | | | | | | | | | | | | | |
| Real Property Gains | - | - | - | - | - | - | - | - | - | - | - | (0.2) | 0.2 | 100.0% |
| Estate and Gift | 97.0 | 852.5 | - | - | - | - | - | - | 97.0 | 852.5 | 86.3 | 972.6 | (120.1) | -12.3% |
| Pari-Mutuel | 1.1 | 15.0 | - | - | - | - | - | - | 1.1 | 15.0 | 1.1 | 13.4 | 1.6 | 11.9% |
| Real Estate Transfer | - | - | - | - | 80.4 | 692.6 | 11.9 | 83.4 | 92.3 | 776.0 | 81.2 | 682.2 | 93.8 | 13.7% |
| Racing and Exhibitions | 0.1 | 0.7 | - | - | - | - | - | - | 0.1 | 0.7 | 0.1 | 0.9 | (0.2) | -22.2% |
| Metropolitan Commuter Trans. Mobility | - | - | 110.0 | 867.7 | - | - | - | - | 110.0 | 867.7 | 90.8 | 816.7 | 51.0 | 6.2% |
| **Total** | **98.2** | **868.2** | **110.0** | **867.7** | **80.4** | **692.6** | **11.9** | **83.4** | **300.5** | **2,511.9** | **259.5** | **2,485.6** | **26.3** | **1.1%** |
| **Total Tax Receipts** | **$ 5,274.0** | **$ 31,539.5** | **$ 638.0** | **$ 4,324.4** | **$ 1,933.7** | **$ 12,831.1** | **$ 126.5** | **$ 1,045.4** | **$ 7,972.2** | **$ 49,740.4** | **$ 7,005.2** | **$ 49,025.9** | **$ 714.5** | **1.5%** |

**STATE OF NEW YORK**
**GOVERNMENTAL FUNDS (*)**
**STATEMENT OF CASH FLOW**
**FISCAL YEAR 2014-2015**
**(Amounts in millions)**

| | 2014 APRIL | MAY | JUNE | JULY | AUGUST | SEPTEMBER | OCTOBER | NOVEMBER | DECEMBER | 2015 JANUARY | FEBRUARY | MARCH | 9 Months Ended December 31 2014 | 2013 | $ Increase/ (Decrease) | % Increase/ Decrease |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Beginning Fund Balance** | **$ 4,034.5** | **$ 7,574.6** | **$ 7,114.1** | **$ 7,739.2** | **$ 9,848.3** | **$ 9,668.0** | **$ 9,214.6** | **$ 9,125.4** | **$ 7,543.9** | | | | **$ 4,034.5** | **$ 3,876.4** | **$ 158.1** | **4.1%** |
| **RECEIPTS:** | | | | | | | | | | | | | | | | |
| **Taxes:** | | | | | | | | | | | | | | | | |
| Personal Income Tax : | | | | | | | | | | | | | | | | |
| Withholdings | 2,760.5 | 2,421.3 | 2,361.2 | 2,563.1 | 2,371.0 | 2,392.4 | 2,525.4 | 2,327.0 | 3,664.0 | | | | 23,385.9 | 22,045.3 | 1,340.6 | 6.1% |
| Estimated payments | 4,040.4 | 112.1 | 1,891.6 | 95.3 | 72.7 | 2,228.8 | 153.1 | 75.8 | 1,336.9 | | | | 10,006.7 | 11,018.0 | (1,011.3) | -9.2% |
| Returns | 1,433.5 | 57.4 | 38.6 | 38.6 | 29.9 | 53.8 | 335.3 | 29.0 | 34.3 | | | | 2,050.4 | 2,213.8 | (163.4) | -7.4% |
| State/City Offsets | (124.1) | (26.9) | (13.2) | (10.4) | (10.9) | (33.9) | (210.0) | (73.2) | (15.4) | | | | (518.0) | (561.1) | (43.1) | -7.7% |
| Other (Assessments/LLC) | 112.2 | 126.9 | 93.9 | 85.7 | 64.1 | 76.8 | 85.5 | 90.8 | 100.9 | | | | 836.8 | 782.1 | 54.7 | 7.0% |
| **Gross Receipts** | **8,222.5** | **2,690.8** | **4,372.1** | **2,772.3** | **2,526.8** | **4,717.9** | **2,889.3** | **2,449.4** | **5,120.7** | **-** | **-** | **-** | **35,761.8** | **35,498.1** | **263.7** | **0.7%** |
| Transfers to School Tax Relief Fund | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Transfers to Revenue Bond Tax Fund | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Refunds issued | (2,869.2) | (588.9) | (127.3) | (206.8) | (136.4) | (487.5) | (401.9) | (612.7) | (157.0) | | | | (5,587.7) | (5,661.2) | (73.5) | -1.3% |
| **Total Personal Income Tax** | **5,353.3** | **2,101.9** | **4,244.8** | **2,565.5** | **2,390.4** | **4,230.4** | **2,487.4** | **1,836.7** | **4,963.7** | **-** | **-** | **-** | **30,174.1** | **29,836.9** | **337.2** | **1.1%** |
| Consumption/Use Taxes: | | | | | | | | | | | | | | | | |
| Sales and Use | 986.5 | 977.1 | 1,285.9 | 1,002.7 | 995.5 | 1,323.4 | 996.8 | 1,010.8 | 1,309.8 | | | | 9,888.5 | 9,552.8 | 335.7 | 3.5% |
| Auto Rental | 4.0 | - | 26.2 | 1.6 | 0.4 | 37.7 | - | 0.1 | 29.3 | | | | 99.3 | 94.7 | 4.6 | 4.9% |
| Cigarette/Tobacco Products | 119.7 | 111.0 | 112.4 | 124.1 | 120.5 | 119.3 | 116.9 | 104.3 | 117.3 | | | | 1,045.5 | 1,153.9 | (108.4) | -9.4% |
| Motor Fuel | 41.0 | 46.3 | 37.0 | 40.7 | 49.3 | 41.5 | 41.7 | 36.2 | 39.3 | | | | 373.0 | 362.5 | 10.5 | 2.9% |
| Alcoholic Beverage | 19.4 | 19.0 | 22.4 | 26.8 | 18.7 | 22.1 | 18.9 | 21.8 | 19.7 | | | | 188.8 | 188.8 | - | 0.0% |
| Highway Use | 12.9 | 10.5 | 11.2 | 13.3 | 10.1 | 12.6 | 13.7 | 10.2 | 13.7 | | | | 108.2 | 106.7 | 1.5 | 1.4% |
| Metropolitan Commuter Trans. Taxicab Trip | 20.9 | 0.3 | 0.4 | 20.4 | 0.7 | 0.5 | 18.8 | 0.4 | 0.2 | | | | 62.6 | 63.5 | (0.9) | -1.4% |
| **Total Consumption/Use Taxes** | **1,204.4** | **1,164.2** | **1,495.5** | **1,229.6** | **1,195.2** | **1,557.1** | **1,206.8** | **1,183.8** | **1,529.3** | **-** | **-** | **-** | **11,765.9** | **11,522.9** | **243.0** | **2.1%** |
| Business Taxes: | | | | | | | | | | | | | | | | |
| Corporation Franchise | 138.7 | 52.7 | 491.2 | 94.6 | 25.6 | 461.0 | 81.1 | 25.4 | 398.3 | | | | 1,768.6 | 2,234.4 | (465.8) | -20.8% |
| Corporation and Utilities | 1.7 | 3.4 | 142.7 | 1.7 | (0.6) | 153.6 | 3.8 | 1.8 | 167.4 | | | | 475.5 | 485.8 | (10.3) | -2.1% |
| Insurance | 4.7 | 3.4 | 278.4 | 2.6 | 3.9 | 304.2 | (2.5) | 8.1 | 295.8 | | | | 898.6 | 852.2 | 46.4 | 5.4% |
| Bank | 29.3 | 363.3 | 526.2 | 38.5 | (85.9) | 179.3 | 0.3 | (14.9) | 226.5 | | | | 1,262.6 | 721.3 | 541.3 | 75.0% |
| Petroleum Business | 98.8 | 92.3 | 109.1 | 94.5 | 114.3 | 103.8 | 94.7 | 85.0 | 90.7 | | | | 883.2 | 886.8 | (3.6) | -0.4% |
| **Total Business Taxes** | **273.2** | **515.1** | **1,547.6** | **231.9** | **57.3** | **1,201.9** | **177.4** | **105.4** | **1,178.7** | **-** | **-** | **-** | **5,288.5** | **5,180.5** | **108.0** | **2.1%** |
| Other Taxes: | | | | | | | | | | | | | | | | |
| Real Property Gains | - | - | - | - | - | - | - | - | - | | | | - | (0.2) | 0.2 | 100.0% |
| Estate and Gift | 83.7 | 119.4 | 67.8 | 96.7 | 89.0 | 104.9 | 104.4 | 89.6 | 97.0 | | | | 852.5 | 972.6 | (120.1) | -12.3% |
| Pari-Mutuel | 1.0 | 1.5 | 2.1 | 1.4 | 2.7 | 2.3 | 1.4 | 1.5 | 1.1 | | | | 15.0 | 13.4 | 1.6 | 11.9% |
| Real Estate Transfer | 73.3 | 72.9 | 90.0 | 81.3 | 95.9 | 87.0 | 92.8 | 90.5 | 92.3 | | | | 776.0 | 682.2 | 93.8 | 13.7% |
| Racing and Exhibitions | 0.1 | - | - | 0.2 | 0.2 | - | 0.1 | - | 0.1 | | | | 0.7 | 0.9 | (0.2) | -22.2% |
| Metropolitan Commuter Trans. Mobility | 128.8 | 96.2 | 79.9 | 98.2 | 85.1 | 81.8 | 101.6 | 86.1 | 110.0 | | | | 867.7 | 816.7 | 51.0 | 6.2% |
| **Total Other Taxes** | **286.9** | **290.0** | **239.8** | **277.8** | **272.9** | **276.0** | **300.3** | **267.7** | **300.5** | **-** | **-** | **-** | **2,511.9** | **2,485.6** | **26.3** | **1.1%** |
| **Total Taxes** | **7,117.8** | **4,071.2** | **7,527.7** | **4,304.8** | **3,915.8** | **7,265.4** | **4,171.9** | **3,393.6** | **7,972.2** | **-** | **-** | **-** | **49,740.4** | **49,025.9** | **714.5** | **1.5%** |
| **Miscellaneous Receipts:** | | | | | | | | | | | | | | | | |
| Abandoned Property: | | | | | | | | | | | | | | | | |
| Abandoned Property | 1.5 | 1.1 | 0.9 | 1.4 | 0.7 | 1.0 | 95.0 | 136.0 | 21.0 | | | | 258.6 | 232.3 | 26.3 | 11.3% |
| Bottle Bill | 0.1 | - | 29.5 | 0.1 | 0.2 | 30.5 | 0.3 | - | 20.6 | | | | 81.3 | 88.2 | (6.9) | -7.8% |
| Assessments: | | | | | | | | | | | | | | | | |
| Business | 73.2 | 1,099.5 | 156.8 | 17.5 | 69.1 | 145.7 | 28.6 | 37.1 | 106.0 | | | | 1,733.5 | 911.3 | 822.2 | 90.2% |
| Medical Care | 391.5 | 379.9 | 365.5 | 450.7 | 444.5 | 468.1 | 428.4 | 405.9 | 448.1 | | | | 3,782.6 | 3,657.0 | 125.6 | 3.4% |
| Public Utilities | 0.5 | - | 0.3 | - | 0.4 | 213.2 | 0.9 | 0.5 | 0.5 | | | | 216.3 | 259.7 | (43.4) | -16.7% |
| Other | 16.5 | 17.2 | 17.6 | 17.5 | 18.2 | 16.8 | 17.6 | 17.9 | 15.7 | | | | 155.0 | 155.9 | (0.9) | -0.6% |
| Fees, Licenses and Permits: | | | | | | | | | | | | | | | | |
| Alcohol Beverage Control Licensing | 6.5 | 4.9 | 4.7 | 5.5 | 4.1 | 4.9 | 5.8 | 4.7 | 4.8 | | | | 45.9 | 49.8 | (3.9) | -7.8% |
| Business/Professional: | 65.1 | 70.0 | 124.0 | 68.3 | 99.3 | 221.6 | 111.8 | 88.6 | 149.6 | | | | 998.3 | 1,037.5 | (39.2) | -3.8% |
| Civil | 22.9 | 17.6 | 24.8 | 19.8 | 4.5 | 18.9 | 31.9 | 15.8 | 25.8 | | | | 182.0 | 210.9 | (28.9) | -13.7% |
| Criminal | 0.1 | 1.3 | 0.8 | 0.4 | 0.1 | 2.1 | 0.4 | 1.3 | 0.8 | | | | 7.3 | 7.9 | (0.6) | -7.6% |
| Motor Vehicle | 128.5 | 127.1 | 108.8 | 114.8 | 100.8 | 105.8 | 100.0 | 97.4 | 101.1 | | | | 984.3 | 990.2 | (5.9) | -0.6% |
| Recreational/Consumer | 13.8 | 21.9 | 23.0 | 31.3 | 26.6 | 29.4 | 38.1 | 17.7 | 15.8 | | | | 217.6 | 172.0 | 45.6 | 26.5% |
| Fines, Penalties and Forfeitures | 18.6 | 764.2 | 35.9 | 2,270.4 | 127.6 | 372.8 | 29.6 | 389.9 | 268.1 | | | | 4,277.1 | 678.5 | 3,598.6 | 530.4% |
| Gaming: | | | | | | | | | | | | | | | | |
| Casino | 4.0 | 1.7 | 0.5 | 48.9 | - | 0.8 | 51.2 | - | 41.3 | | | | 148.4 | 495.5 | (347.1) | -70.1% |
| Lottery | 220.6 | 181.9 | 172.5 | 217.2 | 173.4 | 172.4 | 218.6 | 196.2 | 193.5 | | | | 1,746.3 | 1,807.1 | (60.8) | -3.4% |
| Video Lottery | 91.5 | 71.7 | 70.1 | 87.3 | 71.1 | 71.3 | 86.7 | 66.0 | 83.8 | | | | 699.5 | 692.5 | 7.0 | 1.0% |
| Interest Earnings | 2.5 | 2.4 | 2.6 | 3.2 | 2.0 | 3.4 | 2.5 | 2.0 | 2.6 | | | | 23.2 | 20.9 | 2.3 | 11.0% |
| Receipts from Public Authorities: | | | | | | | | | | | | | | | | |
| Bond Proceeds | 134.6 | 48.2 | 132.6 | 547.3 | 2.8 | 124.9 | 38.2 | 335.9 | 93.1 | | | | 1,457.6 | 2,254.9 | (797.3) | -35.4% |
| Cost Recovery Assessments | - | 22.6 | 4.7 | - | - | - | 5.9 | - | - | | | | 33.2 | 34.3 | (1.1) | -3.2% |
| Issuance Fees | 13.8 | 0.8 | 2.4 | 15.8 | 2.3 | 3.3 | 9.9 | 4.9 | 19.5 | | | | 72.7 | 94.1 | (21.4) | -22.7% |
| Non Bond Related | 0.3 | 6.8 | 0.6 | 9.2 | 0.7 | (4.8) | 3.2 | 0.1 | 0.3 | | | | 16.4 | 161.9 | (145.5) | -89.9% |
| Receipts from Municipalities | 34.6 | 6.6 | 8.7 | 6.2 | 5.2 | 7.5 | 6.4 | 5.2 | 15.1 | | | | 95.5 | 89.7 | 5.8 | 6.5% |

**STATE OF NEW YORK**
**GOVERNMENTAL FUNDS (*)**
**STATEMENT OF CASH FLOW**
**FISCAL YEAR 2014-2015**
**(Amounts in millions)**

| | 2014 APRIL | MAY | JUNE | JULY | AUGUST | SEPTEMBER | OCTOBER | NOVEMBER | DECEMBER | 2015 JANUARY | FEBRUARY | MARCH | 9 Months Ended December 31 2014 | 2013 | $ Increase/ (Decrease) | % Increase/ Decrease |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Rentals | 27.5 | 34.9 | 29.9 | 24.2 | 8.7 | 2.1 | (5.6) | 69.8 | 37.0 | | | | 228.5 | 160.8 | 67.7 | 42.1% |
| Revenues of State Departments: | | | | | | | | | | | | | | | | |
| Administrative Recoveries | 0.9 | 8.2 | 32.5 | 9.4 | 8.4 | 34.3 | 8.7 | 9.8 | 29.9 | | | | 142.1 | 143.5 | (1.4) | -1.0% |
| Commissions | 0.2 | 4.3 | 0.2 | 0.1 | - | 0.5 | 0.3 | 0.8 | 0.6 | | | | 7.0 | 6.0 | 1.0 | 16.7% |
| Gifts, Grants and Donations | 0.8 | 0.5 | 0.1 | 0.2 | 0.5 | 14.0 | 0.7 | 0.6 | 0.1 | | | | 17.5 | 4.6 | 12.9 | 280.4% |
| Indirect Cost Recoveries | 2.0 | 9.2 | 17.1 | 3.0 | 19.7 | 6.2 | 5.3 | 18.2 | 10.5 | | | | 91.2 | 99.1 | (7.9) | -8.0% |
| Patient/Client Care Reimbursement | 203.2 | 249.3 | 173.5 | 218.5 | 229.2 | 104.6 | 288.6 | 142.9 | 204.8 | | | | 1,814.6 | 1,943.7 | (129.1) | -6.6% |
| Rebates | 9.3 | 9.1 | 9.8 | 26.3 | 9.2 | 10.5 | 12.2 | 13.9 | 14.7 | | | | 115.0 | 102.1 | 12.9 | 12.6% |
| Restitution and Settlements | 9.6 | 14.2 | (4.0) | (13.0) | (13.5) | (9.7) | 306.0 | 4.3 | (31.7) | | | | 262.2 | 29.0 | 233.2 | 804.1% |
| Student Loans | 6.2 | 4.5 | 13.5 | 7.1 | 12.2 | 7.1 | 2.6 | 1.9 | 7.6 | | | | 62.7 | 73.1 | (10.4) | -14.2% |
| All Other | 7.7 | 5.1 | 7.6 | 1.5 | 5.5 | 20.8 | (3.4) | 1.1 | (4.9) | | | | 41.0 | 80.5 | (39.5) | -49.1% |
| Sales | 5.1 | (3.0) | 1.5 | 1.8 | 3.1 | 11.4 | 2.6 | 2.2 | 2.0 | | | | 26.7 | 19.5 | 7.2 | 36.9% |
| Tuition | 72.0 | 72.8 | 111.6 | 105.0 | 222.5 | 424.7 | 201.9 | 84.4 | 78.7 | | | | 1,373.6 | 1,276.5 | 97.1 | 7.6% |
| **Total Miscellaneous Receipts** | **1,585.2** | **3,256.5** | **1,680.6** | **4,316.9** | **1,659.1** | **2,636.1** | **2,130.9** | **2,173.0** | **1,976.4** | **-** | **-** | **-** | **21,414.7** | **18,040.5** | **3,374.2** | **18.7%** |
| Federal Receipts | 2,978.0 | 3,968.6 | 4,030.0 | 3,450.5 | 4,221.8 | 4,088.2 | 3,783.5 | 3,483.6 | 4,869.2 | | | | 34,873.4 | 32,478.4 | 2,395.0 | 7.4% |
| **Total Receipts** | **11,681.0** | **11,296.3** | **13,238.3** | **12,072.2** | **9,796.7** | **13,989.7** | **10,086.3** | **9,050.2** | **14,817.8** | **-** | **-** | **-** | **106,028.5** | **99,544.8** | **6,483.7** | **6.5%** |
| **DISBURSEMENTS:** | | | | | | | | | | | | | | | | |
| Local Assistance Grants: | | | | | | | | | | | | | | | | |
| Education | 763.8 | 3,474.8 | 3,405.5 | 1,129.6 | 1,034.1 | 4,612.7 | 1,638.6 | 1,798.3 | 2,499.0 | | | | 20,356.4 | 19,006.8 | 1,349.6 | 7.1% |
| Environment and Recreation | 2.6 | 4.3 | 7.5 | 11.2 | 5.7 | 6.4 | 8.8 | 7.3 | 17.3 | | | | 71.1 | 227.6 | (156.5) | -68.8% |
| General Government | 17.6 | 24.3 | 581.7 | 32.7 | 63.0 | 158.0 | 39.1 | 30.0 | 265.6 | | | | 1,212.0 | 1,232.5 | (20.5) | -1.7% |
| Public Health: | | | | | | | | | | | | | | | | |
| Medicaid | 3,623.6 | 3,615.8 | 4,032.0 | 3,838.2 | 3,749.3 | 3,442.6 | 4,121.0 | 4,018.9 | 4,533.8 | | | | 34,975.2 | 31,207.9 | 3,767.3 | 12.1% |
| Other Public Health | 230.2 | 334.3 | 467.2 | 479.6 | 489.5 | 418.4 | 433.8 | 294.1 | 556.8 | | | | 3,703.9 | 3,875.6 | (171.7) | -4.4% |
| Public Safety | 69.8 | 180.2 | 57.6 | 88.3 | 592.7 | 68.9 | 46.6 | 909.1 | 218.8 | | | | 2,232.0 | 1,742.7 | 489.3 | 28.1% |
| Public Welfare | 491.9 | 469.1 | 725.1 | 620.9 | 472.0 | 1,019.5 | 496.3 | 411.5 | 782.8 | | | | 5,489.1 | 5,873.7 | (384.6) | -6.5% |
| Support and Regulate Business | 12.0 | 10.3 | 16.6 | 244.5 | 11.8 | 19.0 | 28.8 | 28.7 | 110.0 | | | | 481.7 | 601.5 | (119.8) | -19.9% |
| Transportation | 213.1 | 602.2 | 448.4 | 388.3 | 512.8 | 553.4 | 393.6 | 626.3 | 1,161.1 | | | | 4,899.2 | 4,680.8 | 218.4 | 4.7% |
| Total Local Assistance Grants | **5,424.6** | **8,715.3** | **9,741.6** | **6,833.3** | **6,930.9** | **10,298.9** | **7,206.6** | **8,124.2** | **10,145.2** | **-** | **-** | **-** | **73,420.6** | **68,449.1** | **4,971.5** | **7.3%** |
| Departmental Operations: | | | | | | | | | | | | | | | | |
| Personal Service | 1,053.3 | 1,180.3 | 1,002.9 | 1,337.6 | 1,008.0 | 1,016.9 | 1,176.4 | 1,009.6 | 1,371.7 | | | | 10,156.7 | 10,026.9 | 129.8 | 1.3% |
| Non-Personal Service | 444.0 | 459.6 | 531.4 | 489.4 | 542.7 | 655.5 | 648.8 | 465.4 | 557.6 | | | | 4,794.4 | 4,711.8 | 82.6 | 1.8% |
| General State Charges | 688.4 | 842.6 | 518.7 | 742.5 | 590.5 | 1,178.1 | 510.7 | 493.2 | 458.7 | | | | 6,023.4 | 5,352.6 | 670.8 | 12.5% |
| Debt Service, Including Payments on Financing Agreements | 173.2 | 216.8 | 290.8 | 77.7 | 396.9 | 752.3 | 144.6 | 93.1 | 622.3 | | | | 2,767.7 | 3,450.7 | (683.0) | -19.8% |
| Capital Projects | 295.8 | 340.7 | 523.2 | 475.2 | 490.5 | 538.1 | 477.3 | 472.2 | 535.6 | | | | 4,148.6 | 4,241.8 | (93.2) | -2.2% |
| **Total Disbursements** | **8,079.3** | **11,755.3** | **12,608.6** | **9,955.7** | **9,959.5** | **14,439.8** | **10,164.4** | **10,657.7** | **13,691.1** | **-** | **-** | **-** | **101,311.4** | **96,232.9** | **5,078.5** | **5.3%** |
| **Excess (Deficiency) of Receipts over Disbursements** | **3,601.7** | **(459.0)** | **629.7** | **2,116.5** | **(162.8)** | **(450.1)** | **(78.1)** | **(1,607.5)** | **1,126.7** | **-** | **-** | **-** | **4,717.1** | **3,311.9** | **1,405.2** | **42.4%** |
| **OTHER FINANCING SOURCES (USES):** | | | | | | | | | | | | | | | | |
| Bond Proceeds (net) | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Transfers from Other Funds | 3,186.7 | 1,552.5 | 2,991.5 | 1,412.6 | 2,038.0 | 3,285.7 | 2,014.9 | 1,791.7 | 3,315.3 | | | | 21,588.9 | 21,961.9 | (373.0) | -1.7% |
| Transfers to Other Funds | (3,248.3) | (1,554.0) | (2,996.1) | (1,420.0) | (2,055.5) | (3,289.0) | (2,026.0) | (1,765.7) | (3,287.2) | | | | (21,641.8) | (22,003.6) | (361.8) | -1.6% |
| **Total Other Financing Sources (Uses)** | **(61.6)** | **(1.5)** | **(4.6)** | **(7.4)** | **(17.5)** | **(3.3)** | **(11.1)** | **26.0** | **28.1** | **-** | **-** | **-** | **(52.9)** | **(41.7)** | **(11.2)** | **-26.9%** |
| **Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses** | **3,540.1** | **(460.5)** | **625.1** | **2,109.1** | **(180.3)** | **(453.4)** | **(89.2)** | **(1,581.5)** | **1,154.8** | **-** | **-** | **-** | **4,664.2** | **3,270.2** | **1,394.0** | **42.6%** |
| **Ending Fund Balance** | **$ 7,574.6** | **$ 7,114.1** | **$ 7,739.2** | **$ 9,848.3** | **$ 9,668.0** | **$ 9,214.6** | **$ 9,125.4** | **$ 7,543.9** | **$ 8,698.7** | **$ -** | **$ -** | **$ -** | **$ 8,698.7** | **$ 7,146.6** | **$ 1,552.1** | **21.7%** |

(*) Governmental Funds includes General, Special Revenue, Debt Service and Capital Projects Funds combined.

**STATE OF NEW YORK**
**GOVERNMENTAL FUNDS**
**STATEMENT OF CASH FLOW - STATE OPERATING (*)**
**FISCAL YEAR 2014-2015**
**(Amounts in millions)**

| | 2014 APRIL | MAY | JUNE | JULY | AUGUST | SEPTEMBER | OCTOBER | NOVEMBER | DECEMBER | 2015 JANUARY | FEBRUARY | MARCH | 9 Months Ended December 31 2014 | 2013 | $ Increase/ (Decrease) | % Increase/ Decrease |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Beginning Fund Balance** | **$ 4,789.1** | **$ 9,035.8** | **$ 8,094.3** | **$ 8,739.7** | **$ 10,815.1** | **$ 11,121.3** | **$ 10,526.4** | **$ 10,507.0** | **$ 9,563.2** | | | | **$ 4,789.1** | **$ 4,359.5** | **$ 429.6** | **9.9%** |
| **RECEIPTS:** | | | | | | | | | | | | | | | | |
| **Taxes:** | | | | | | | | | | | | | | | | |
| Personal Income Tax: | | | | | | | | | | | | | | | | |
| Withholdings | 2,760.5 | 2,421.3 | 2,361.2 | 2,563.1 | 2,371.0 | 2,392.4 | 2,525.4 | 2,327.0 | 3,664.0 | | | | 23,385.9 | 22,045.3 | 1,340.6 | 6.1% |
| Estimated payments | 4,040.4 | 112.1 | 1,891.6 | 95.3 | 72.7 | 2,228.8 | 153.1 | 75.8 | 1,336.9 | | | | 10,006.7 | 11,018.0 | (1,011.3) | -9.2% |
| Returns | 1,433.5 | 57.4 | 38.6 | 38.6 | 29.9 | 53.8 | 335.3 | 29.0 | 34.3 | | | | 2,050.4 | 2,213.8 | (163.4) | -7.4% |
| State/City Offsets | (124.1) | (26.9) | (13.2) | (10.4) | (10.9) | (33.9) | (210.0) | (73.2) | (15.4) | | | | (518.0) | (561.1) | (43.1) | -7.7% |
| Other (Assessments/LLC) | 112.2 | 126.9 | 93.9 | 85.7 | 64.1 | 76.8 | 85.5 | 90.8 | 100.9 | | | | 836.8 | 782.1 | 54.7 | 7.0% |
| **Gross Receipts** | **8,222.5** | **2,690.8** | **4,372.1** | **2,772.3** | **2,526.8** | **4,717.9** | **2,889.3** | **2,449.4** | **5,120.7** | **-** | **-** | **-** | **35,761.8** | **35,498.1** | **263.7** | **0.7%** |
| Transfers to School Tax Relief Fund | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Transfers to Revenue Bond Tax Fund | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Refunds issued | (2,869.2) | (588.9) | (127.3) | (206.8) | (136.4) | (487.5) | (401.9) | (612.7) | (157.0) | | | | (5,587.7) | (5,661.2) | (73.5) | -1.3% |
| **Total Personal Income Tax** | **5,353.3** | **2,101.9** | **4,244.8** | **2,565.5** | **2,390.4** | **4,230.4** | **2,487.4** | **1,836.7** | **4,963.7** | **-** | **-** | **-** | **30,174.1** | **29,836.9** | **337.2** | **1.1%** |
| Consumption/Use Taxes: | | | | | | | | | | | | | | | | |
| Sales and Use | 986.5 | 977.1 | 1,285.9 | 1,002.7 | 995.5 | 1,323.4 | 996.8 | 1,010.8 | 1,309.8 | | | | 9,888.5 | 9,552.8 | 335.7 | 3.5% |
| Auto Rental | 1.7 | - | 9.9 | 0.6 | - | 14.2 | - | - | 11.1 | | | | 37.5 | 35.9 | 1.6 | 4.5% |
| Cigarette/Tobacco Products | 119.7 | 111.0 | 112.4 | 124.1 | 120.5 | 119.3 | 116.9 | 104.3 | 117.3 | | | | 1,045.5 | 1,153.9 | (108.4) | -9.4% |
| Motor Fuel | 8.4 | 10.1 | 7.7 | 8.5 | 9.9 | 8.9 | 9.2 | 7.0 | 8.3 | | | | 78.0 | 76.2 | 1.8 | 2.4% |
| Alcoholic Beverage | 19.4 | 19.0 | 22.4 | 26.8 | 18.7 | 22.1 | 18.9 | 21.8 | 19.7 | | | | 188.8 | 188.8 | - | 0.0% |
| Highway Use | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Metropolitan Commuter Trans. Taxicab Trip | 20.9 | 0.3 | 0.4 | 20.4 | 0.7 | 0.5 | 18.8 | 0.4 | 0.2 | | | | 62.6 | 63.5 | (0.9) | -1.4% |
| **Total Consumption/Use Taxes** | **1,156.6** | **1,117.5** | **1,438.7** | **1,183.1** | **1,145.3** | **1,488.4** | **1,160.6** | **1,144.3** | **1,466.4** | **-** | **-** | **-** | **11,300.9** | **11,071.1** | **229.8** | **2.1%** |
| Business Taxes: | | | | | | | | | | | | | | | | |
| Corporation Franchise | 138.7 | 52.7 | 491.2 | 94.6 | 25.6 | 461.0 | 81.1 | 25.4 | 398.3 | | | | 1,768.6 | 2,234.4 | (465.8) | -20.8% |
| Corporation and Utilities | 1.6 | 3.5 | 140.6 | 1.6 | (0.6) | 151.2 | 3.7 | 1.7 | 166.1 | | | | 469.4 | 479.7 | (10.3) | -2.1% |
| Insurance | 4.7 | 3.4 | 278.4 | 2.6 | 3.9 | 304.2 | (2.5) | 8.1 | 295.8 | | | | 898.6 | 852.2 | 46.4 | 5.4% |
| Bank | 29.3 | 363.3 | 526.2 | 38.5 | (85.9) | 179.3 | 0.3 | (14.9) | 226.5 | | | | 1,262.6 | 721.3 | 541.3 | 75.0% |
| Petroleum Business | 44.1 | 40.9 | 48.4 | 41.9 | 51.1 | 46.0 | 41.8 | 37.8 | 40.3 | | | | 392.3 | 394.7 | (2.4) | -0.6% |
| **Total Business Taxes** | **218.4** | **463.8** | **1,484.8** | **179.2** | **(5.9)** | **1,141.7** | **124.4** | **58.1** | **1,127.0** | **-** | **-** | **-** | **4,791.5** | **4,682.3** | **109.2** | **2.3%** |
| Other Taxes: | | | | | | | | | | | | | | | | |
| Real Property Gains | - | - | - | - | - | - | - | - | - | | | | - | (0.2) | 0.2 | 100.0% |
| Estate and Gift | 83.7 | 119.4 | 67.8 | 96.7 | 89.0 | 104.9 | 104.4 | 89.6 | 97.0 | | | | 852.5 | 972.6 | (120.1) | -12.3% |
| Pari-Mutuel | 1.0 | 1.5 | 2.1 | 1.4 | 2.7 | 2.3 | 1.4 | 1.5 | 1.1 | | | | 15.0 | 13.4 | 1.6 | 11.9% |
| Real Estate Transfer | 73.3 | 72.9 | 78.1 | 69.4 | 84.0 | 75.1 | 80.8 | 78.6 | 80.4 | | | | 692.6 | 598.8 | 93.8 | 15.7% |
| Racing and Exhibitions | 0.1 | - | - | 0.2 | 0.2 | - | 0.1 | - | 0.1 | | | | 0.7 | 0.9 | (0.2) | -22.2% |
| Metropolitan Commuter Trans. Mobility | 128.8 | 96.2 | 79.9 | 98.2 | 85.1 | 81.8 | 101.6 | 86.1 | 110.0 | | | | 867.7 | 816.7 | 51.0 | 6.2% |
| **Total Other Taxes** | **286.9** | **290.0** | **227.9** | **265.9** | **261.0** | **264.1** | **288.3** | **255.8** | **288.6** | **-** | **-** | **-** | **2,428.5** | **2,402.2** | **26.3** | **1.1%** |
| **Total Taxes** | **7,015.2** | **3,973.2** | **7,396.2** | **4,193.7** | **3,790.8** | **7,124.6** | **4,060.7** | **3,294.9** | **7,845.7** | **-** | **-** | **-** | **48,695.0** | **47,992.5** | **702.5** | **1.5%** |
| **Miscellaneous Receipts:** | | | | | | | | | | | | | | | | |
| Abandoned Property: | | | | | | | | | | | | | | | | |
| Abandoned Property | 1.5 | 1.1 | 0.9 | 1.4 | 0.7 | 1.0 | 95.0 | 136.0 | 21.0 | | | | 258.6 | 232.3 | 26.3 | 11.3% |
| Bottle Bill | 0.1 | - | 14.5 | (7.9) | 0.2 | 30.5 | 0.3 | - | 20.6 | | | | 58.3 | 73.2 | (14.9) | -20.4% |
| Assessments: | | | | | | | | | | | | | | | | |
| Business | 61.0 | 1,060.7 | 148.7 | 7.4 | 52.2 | 137.4 | 20.3 | 22.9 | 99.0 | | | | 1,609.6 | 835.4 | 774.2 | 92.7% |
| Medical Care | 391.5 | 379.9 | 365.5 | 450.7 | 444.5 | 468.1 | 428.4 | 405.9 | 448.1 | | | | 3,782.6 | 3,657.0 | 125.6 | 3.4% |
| Public Utilities | 0.5 | - | 0.3 | - | 0.4 | 213.2 | 0.9 | 0.5 | 0.5 | | | | 216.3 | 259.7 | (43.4) | -16.7% |
| Other | 16.5 | 17.2 | 17.6 | 17.5 | 18.2 | 16.8 | 17.6 | 17.9 | 15.7 | | | | 155.0 | 155.9 | (0.9) | -0.6% |
| Fees, Licenses and Permits: | | | | | | | | | | | | | | | | |
| Alcohol Beverage Control Licensing | 6.5 | 4.9 | 4.7 | 5.5 | 4.1 | 4.9 | 5.8 | 4.7 | 4.8 | | | | 45.9 | 49.8 | (3.9) | -7.8% |
| Business/Professional | 62.8 | 62.6 | 117.1 | 64.7 | 93.5 | 216.7 | 108.0 | 81.7 | 146.5 | | | | 953.6 | 1,003.6 | (50.0) | -5.0% |
| Civil | 22.9 | 17.6 | 24.8 | 19.8 | 4.5 | 18.9 | 31.9 | 15.8 | 25.8 | | | | 182.0 | 210.9 | (28.9) | -13.7% |
| Criminal | 0.1 | 1.3 | 0.8 | 0.4 | 0.1 | 2.1 | 0.4 | 1.3 | 0.8 | | | | 7.3 | 7.9 | (0.6) | -7.6% |
| Motor Vehicle | 73.4 | 65.4 | 45.8 | 59.6 | 46.6 | 49.4 | 51.0 | 47.4 | 54.2 | | | | 492.8 | 471.7 | 21.1 | 4.5% |
| Recreational/Consumer | 13.8 | 21.9 | 23.0 | 31.3 | 23.8 | 24.7 | 38.1 | 11.2 | 15.8 | | | | 203.6 | 152.6 | 51.0 | 33.4% |
| Fines, Penalties and Forfeitures | 15.0 | 761.2 | 33.5 | 2,267.3 | 124.2 | 371.1 | 27.5 | 387.3 | 266.7 | | | | 4,253.8 | 671.7 | 3,582.1 | 533.3% |
| Gaming: | | | | | | | | | | | | | | | | |
| Casino | 4.0 | 1.7 | 0.5 | 48.9 | - | 0.8 | 51.2 | - | 41.3 | | | | 148.4 | 495.5 | (347.1) | -70.1% |
| Lottery | 220.6 | 181.9 | 172.5 | 217.2 | 173.4 | 172.4 | 218.6 | 196.2 | 193.5 | | | | 1,746.3 | 1,807.1 | (60.8) | -3.4% |
| Video Lottery | 91.5 | 71.7 | 70.1 | 87.3 | 71.1 | 71.3 | 86.7 | 66.0 | 83.8 | | | | 699.5 | 692.5 | 7.0 | 1.0% |
| Interest Earnings | 2.5 | 2.3 | 2.5 | 3.1 | 2.0 | 2.8 | 2.5 | 2.0 | 2.5 | | | | 22.2 | 20.4 | 1.8 | 8.8% |
| Receipts from Public Authorities: | | | | | | | | | | | | | | | | |
| Bond Proceeds | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Cost Recovery Assessments | - | 22.6 | 4.7 | - | - | - | 5.9 | - | - | | | | 33.2 | 34.3 | (1.1) | -3.2% |
| Issuance Fees | 13.8 | 0.8 | 2.4 | 15.8 | 2.3 | 3.3 | 9.9 | 4.9 | 19.5 | | | | 72.7 | 94.1 | (21.4) | -22.7% |
| Non Bond Related | 0.2 | 1.8 | 0.6 | 0.2 | 0.7 | 0.2 | 3.2 | 0.1 | - | | | | 7.0 | 154.4 | (147.4) | -95.5% |

**GOVERNMENTAL FUNDS**
**STATEMENT OF CASH FLOW - STATE OPERATING (*)**
**FISCAL YEAR 2014-2015**
**(Amounts in millions)**

| | 2014 APRIL | MAY | JUNE | JULY | AUGUST | SEPTEMBER | OCTOBER | NOVEMBER | DECEMBER | 2015 JANUARY | FEBRUARY | MARCH | 9 Months Ended December 31 2014 | 2013 | $ Increase/ (Decrease) | % Increase/ Decrease |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Receipts from Municipalities | 34.5 | 5.9 | 8.7 | 6.1 | 5.2 | 7.5 | 6.2 | 4.9 | 10.1 | | | | 89.1 | 87.2 | 1.9 | 2.2% |
| Rentals | 27.3 | 33.8 | 29.3 | 23.8 | 8.3 | 1.6 | (6.9) | 69.1 | 36.5 | | | | 222.8 | 152.3 | 70.5 | 46.3% |
| Revenues of State Departments: | | | | | | | | | | | | | | | | |
| Administrative Recoveries | 0.9 | 8.2 | 32.4 | 9.4 | 8.4 | 34.3 | 8.6 | 9.8 | 29.9 | | | | 141.9 | 141.7 | 0.2 | 0.1% |
| Commissions | 0.2 | 4.3 | 0.2 | 0.1 | - | 0.5 | 0.3 | 0.8 | 0.6 | | | | 7.0 | 6.0 | 1.0 | 16.7% |
| Gifts, Grants and Donations | 0.7 | 0.6 | 0.1 | 0.2 | 0.5 | - | 0.5 | 0.1 | 0.1 | | | | 2.8 | 4.6 | (1.8) | -39.1% |
| Indirect Cost Recoveries | 2.0 | 9.2 | 17.1 | 3.0 | 19.7 | 6.2 | 5.3 | 18.2 | 10.5 | | | | 91.2 | 99.1 | (7.9) | -8.0% |
| Patient/Client Care Reimbursement | 203.2 | 249.3 | 173.5 | 218.5 | 229.2 | 104.6 | 288.6 | 142.9 | 204.8 | | | | 1,814.6 | 1,943.7 | (129.1) | -6.6% |
| Rebates | 1.1 | - | 0.6 | 17.2 | 0.6 | 0.7 | 4.0 | 4.8 | 5.3 | | | | 34.3 | 17.0 | 17.3 | 101.8% |
| Restitution and Settlements | 9.6 | 13.1 | (4.5) | (13.6) | (13.9) | (10.5) | 305.8 | 3.7 | (32.6) | | | | 257.1 | 26.1 | 231.0 | 885.1% |
| Student Loans | 6.2 | 4.5 | 13.5 | 7.1 | 12.2 | 7.1 | 2.6 | 1.9 | 7.6 | | | | 62.7 | 73.1 | (10.4) | -14.2% |
| All Other | 7.6 | 3.4 | 6.3 | (1.6) | 4.7 | 17.7 | (4.6) | (1.2) | (6.1) | | | | 26.2 | 66.8 | (40.6) | -60.8% |
| Sales | 5.1 | (3.1) | 1.4 | 1.7 | 2.9 | 2.5 | 2.4 | 2.1 | 1.5 | | | | 16.5 | 18.7 | (2.2) | -11.8% |
| Tuition | 72.0 | 72.8 | 111.6 | 105.0 | 222.5 | 424.7 | 201.9 | 84.4 | 78.7 | | | | 1,373.6 | 1,276.5 | 97.1 | 7.6% |
| **Total Miscellaneous Receipts** | **1,368.6** | **3,078.6** | **1,440.7** | **3,667.1** | **1,562.8** | **2,402.5** | **2,017.9** | **1,743.3** | **1,807.0** | **-** | **-** | **-** | **19,088.5** | **14,992.8** | **4,095.7** | **27.3%** |
| Federal Receipts | 0.5 | - | - | 1.6 | 35.0 | 0.2 | - | 0.1 | - | | | | 37.4 | 34.7 | 2.7 | 7.8% |
| **Total Receipts** | **8,384.3** | **7,051.8** | **8,836.9** | **7,862.4** | **5,388.6** | **9,527.3** | **6,078.6** | **5,038.3** | **9,652.7** | **-** | **-** | **-** | **67,820.9** | **63,020.0** | **4,800.9** | **7.6%** |
| **DISBURSEMENTS:** | | | | | | | | | | | | | | | | |
| Local Assistance Grants: | | | | | | | | | | | | | | | | |
| Education | 317.0 | 3,022.6 | 3,060.3 | 890.8 | 868.6 | 4,504.0 | 1,449.4 | 1,601.7 | 2,273.2 | | | | 17,987.6 | 16,106.7 | 1,880.9 | 11.7% |
| Environment and Recreation | 0.3 | 0.1 | 0.6 | 2.2 | 1.3 | 0.8 | 0.2 | 0.1 | 1.2 | | | | 6.8 | 6.5 | 0.3 | 4.6% |
| General Government | 14.2 | 21.1 | 570.9 | 29.6 | 49.7 | 153.5 | 21.2 | 15.0 | 203.0 | | | | 1,078.2 | 1,126.0 | (47.8) | -4.2% |
| Public Health: | | | | | | | | | | | | | | | | |
| Medicaid | 1,369.8 | 1,531.4 | 1,463.0 | 1,663.4 | 1,182.2 | 1,383.6 | 1,589.6 | 1,554.0 | 1,733.5 | | | | 13,470.5 | 13,145.9 | 324.6 | 2.5% |
| Other Public Health | 83.3 | 216.6 | 348.3 | 340.7 | 251.4 | 266.2 | 296.2 | 150.7 | 434.2 | | | | 2,387.6 | 2,430.4 | (42.8) | -1.8% |
| Public Safety | 15.2 | 27.9 | 20.0 | 25.7 | 21.4 | 39.7 | 12.7 | 26.3 | 39.0 | | | | 227.9 | 278.5 | (50.6) | -18.2% |
| Public Welfare | 128.2 | 203.0 | 236.9 | 254.5 | 154.1 | 244.5 | 267.1 | 171.2 | 333.9 | | | | 1,993.4 | 2,008.0 | (14.6) | -0.7% |
| Support and Regulate Business | 8.0 | 8.3 | 10.8 | 208.2 | 6.3 | 7.8 | 10.3 | 9.3 | 4.9 | | | | 273.9 | 311.4 | (37.5) | -12.0% |
| Transportation | 155.2 | 566.0 | 337.9 | 352.3 | 478.7 | 402.5 | 333.6 | 591.2 | 852.8 | | | | 4,070.0 | 4,030.9 | 39.1 | 1.0% |
| Total Local Assistance Grants | **2,091.2** | **5,597.0** | **6,048.7** | **3,767.4** | **3,013.7** | **7,002.6** | **3,980.3** | **4,119.5** | **5,875.5** | **-** | **-** | **-** | **41,495.9** | **39,444.3** | **2,051.6** | **5.2%** |
| Departmental Operations: | | | | | | | | | | | | | | | | |
| Personal Service | 1,004.2 | 1,135.9 | 953.3 | 1,271.5 | 957.4 | 968.3 | 1,128.4 | 967.7 | 1,303.2 | | | | 9,689.9 | 9,555.2 | 134.7 | 1.4% |
| Non-Personal Service | 354.7 | 395.3 | 477.5 | 393.3 | 438.3 | 466.2 | 520.9 | 388.8 | 437.3 | | | | 3,872.3 | 3,965.7 | (93.4) | -2.4% |
| General State Charges | 679.1 | 836.0 | 468.0 | 739.3 | 548.2 | 1,167.9 | 477.8 | 487.4 | 413.2 | | | | 5,816.9 | 5,123.8 | 693.1 | 13.5% |
| Debt Service, Including Payments on Financing Agreements | 173.2 | 216.8 | 290.8 | 77.7 | 396.9 | 752.3 | 144.6 | 93.1 | 622.3 | | | | 2,767.7 | 3,450.7 | (683.0) | -19.8% |
| Capital Projects | 0.1 | 0.2 | 0.1 | 0.2 | 0.2 | 0.1 | 0.1 | 0.1 | - | | | | 1.1 | 1.6 | (0.5) | -31.3% |
| **Total Disbursements** | **4,302.5** | **8,181.2** | **8,238.4** | **6,249.4** | **5,354.7** | **10,357.4** | **6,252.1** | **6,056.6** | **8,651.5** | **-** | **-** | **-** | **63,643.8** | **61,541.3** | **2,102.5** | **3.4%** |
| **Excess (Deficiency) of Receipts over Disbursements** | **4,081.8** | **(1,129.4)** | **598.5** | **1,613.0** | **33.9** | **(830.1)** | **(173.5)** | **(1,018.3)** | **1,001.2** | **-** | **-** | **-** | **4,177.1** | **1,478.7** | **2,698.4** | **182.5%** |
| **OTHER FINANCING SOURCES (USES):** | | | | | | | | | | | | | | | | |
| Transfers from Other Funds (**) | 3,161.6 | 1,534.0 | 2,889.5 | 1,729.7 | 1,901.1 | 3,204.0 | 1,847.0 | 1,716.5 | 2,782.8 | | | | 20,766.2 | 21,736.5 | (970.3) | -4.5% |
| Transfers to Other Funds (**) | (2,996.7) | (1,346.1) | (2,842.6) | (1,267.3) | (1,628.8) | (2,968.8) | (1,692.9) | (1,642.0) | (3,085.5) | | | | (19,470.7) | (19,438.3) | 32.4 | 0.2% |
| **Total Other Financing Sources (Uses)** | **164.9** | **187.9** | **46.9** | **462.4** | **272.3** | **235.2** | **154.1** | **74.5** | **(302.7)** | **-** | **-** | **-** | **1,295.5** | **2,298.2** | **(1,002.7)** | **-43.6%** |
| **Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses** | **4,246.7** | **(941.5)** | **645.4** | **2,075.4** | **306.2** | **(594.9)** | **(19.4)** | **(943.8)** | **698.5** | **-** | **-** | **-** | **5,472.6** | **3,776.9** | **1,695.7** | **44.9%** |
| **Ending Fund Balance** | **$ 9,035.8** | **$ 8,094.3** | **$ 8,739.7** | **$ 10,815.1** | **$ 11,121.3** | **$ 10,526.4** | **$ 10,507.0** | **$ 9,563.2** | **$ 10,261.7** | **$ -** | **$ -** | **$ -** | **$ 10,261.7** | **$ 8,136.4** | **$ 2,125.3** | **26.1%** |

(*) State Operating Funds are comprised of the General Fund, State Special Revenue Funds supported by activities from dedicated revenue sources (including operating transfers from Federal funds) and Debt Service Funds.
(**) Eliminations between State and Federal Special Revenue Funds are not included.

STATE OF NEW YORK
GENERAL FUND
STATEMENT OF CASH FLOW
FISCAL YEAR 2014-2015
(Amounts in millions)

EXHIBIT F

| | 2014 APRIL | MAY | JUNE | JULY | AUGUST | SEPTEMBER | OCTOBER | NOVEMBER | DECEMBER | 2015 JANUARY | FEBRUARY | MARCH | 9 Months Ended December 31 2014 | 2013 | $ Increase/ (Decrease) | % Increase/ Decrease |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Beginning Fund Balance** | $ 2,235.2 | $ 5,532.7 | $ 4,548.4 | $ 5,131.1 | $ 6,997.5 | $ 6,889.3 | $ 8,052.8 | $ 7,714.5 | $ 6,558.9 | | | | $ 2,235.2 | $ 1,610.0 | $ 625.2 | 38.8% |
| **RECEIPTS:** | | | | | | | | | | | | | | | | |
| **Taxes:** | | | | | | | | | | | | | | | | |
| Personal Income Tax: | | | | | | | | | | | | | | | | |
| Withholdings | 2,760.50 | 2,421.30 | 2,361.20 | 2,563.10 | 2,371.0 | 2,392.4 | 2,525.4 | 2,327.0 | 3,664.0 | | | | 23,385.9 | 22,045.3 | 1,340.6 | 6.1% |
| Estimated payments | 4,040.4 | 112.1 | 1,891.6 | 95.3 | 72.7 | 2,228.8 | 153.1 | 75.8 | 1,336.9 | | | | 10,006.7 | 11,018.0 | (1,011.3) | -9.2% |
| Returns | 1,433.5 | 57.4 | 38.6 | 38.6 | 29.9 | 53.8 | 335.3 | 29.0 | 34.3 | | | | 2,050.4 | 2,213.8 | (163.4) | -7.4% |
| State/City Offsets | (124.1) | (26.9) | (13.2) | (10.4) | (10.9) | (33.9) | (210.0) | (73.2) | (15.4) | | | | (518.0) | (561.1) | (43.1) | -7.7% |
| Other (Assessments/LLC) | 112.2 | 126.9 | 93.9 | 85.7 | 64.1 | 76.8 | 85.5 | 90.8 | 100.9 | | | | 836.8 | 782.1 | 54.7 | 7.0% |
| **Gross Receipts** | **8,222.5** | **2,690.8** | **4,372.1** | **2,772.3** | **2,526.8** | **4,717.9** | **2,889.3** | **2,449.4** | **5,120.7** | **-** | **-** | **-** | **35,761.8** | **35,498.1** | **263.7** | **0.7%** |
| Transfers to School Tax Relief Fund | - | - | (424.2) | - | - | (203.3) | (4.5) | (25.2) | (124.1) | | | | (781.3) | (809.5) | (28.2) | -3.5% |
| Transfers to Revenue Bond Tax Fund | (1,338.3) | (525.5) | (1,061.2) | (641.4) | (597.6) | (1,057.6) | (621.8) | (459.2) | (1,240.9) | | | | (7,543.5) | (7,459.2) | 84.3 | 1.1% |
| Refunds issued | (2,869.2) | (588.9) | (127.3) | (206.8) | (136.4) | (487.5) | (401.9) | (612.7) | (157.0) | | | | (5,587.7) | (5,661.2) | (73.5) | -1.3% |
| **Total Personal Income Tax** | **4,015.0** | **1,576.4** | **2,759.4** | **1,924.1** | **1,792.8** | **2,969.5** | **1,861.1** | **1,352.3** | **3,598.7** | **-** | **-** | **-** | **21,849.3** | **21,568.2** | **281.1** | **1.3%** |
| Consumption/Use Taxes: | | | | | | | | | | | | | | | | |
| Sales and Use | 453.6 | 456.8 | 602.4 | 469.6 | 466.2 | 620.1 | 465.9 | 472.6 | 612.6 | | | | 4,619.8 | 4,458.1 | 161.7 | 3.6% |
| Auto Rental | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Cigarette/Tobacco Products | 33.5 | 31.4 | 31.5 | 30.2 | 35.2 | 32.2 | 31.1 | 30.5 | 28.3 | | | | 283.9 | 342.4 | (58.5) | -17.1% |
| Motor Fuel | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Alcoholic Beverage | 19.4 | 19.0 | 22.4 | 26.8 | 18.7 | 22.1 | 18.9 | 21.8 | 19.7 | | | | 188.8 | 188.8 | - | 0.0% |
| Highway Use | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Metropolitan Commuter Trans. Taxicab Trip | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| **Total Consumption/Use Taxes** | **506.5** | **507.2** | **656.3** | **526.6** | **520.1** | **674.4** | **515.9** | **524.9** | **660.6** | **-** | **-** | **-** | **5,092.5** | **4,989.3** | **103.2** | **2.1%** |
| Business Taxes: | | | | | | | | | | | | | | | | |
| Corporation Franchise | 118.0 | 33.8 | 426.3 | 82.1 | (2.2) | 395.6 | 68.4 | 4.0 | 328.4 | | | | 1,454.4 | 1,939.2 | (484.8) | -25.0% |
| Corporation and Utilities | 1.3 | 2.2 | 110.0 | 1.4 | (1.0) | 119.1 | 2.5 | 1.0 | 139.9 | | | | 376.4 | 384.3 | (7.9) | -2.1% |
| Insurance | 4.4 | 4.8 | 243.9 | 6.4 | 1.1 | 273.8 | - | 6.9 | 261.5 | | | | 802.8 | 761.3 | 41.5 | 5.5% |
| Bank | 24.7 | 311.8 | 462.8 | 37.1 | (84.7) | 151.3 | 16.1 | (9.9) | 186.7 | | | | 1,095.9 | 612.1 | 483.8 | 79.0% |
| Petroleum Business | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| **Total Business Taxes** | **148.4** | **352.6** | **1,243.0** | **127.0** | **(86.8)** | **939.8** | **87.0** | **2.0** | **916.5** | **-** | **-** | **-** | **3,729.5** | **3,696.9** | **32.6** | **0.9%** |
| Other Taxes: | | | | | | | | | | | | | | | | |
| Real Property Gains | - | - | - | - | - | - | - | - | - | | | | - | (0.2) | 0.2 | 100.0% |
| Estate and Gift | 83.7 | 119.4 | 67.8 | 96.7 | 89.0 | 104.9 | 104.4 | 89.6 | 97.0 | | | | 852.5 | 972.6 | (120.1) | -12.3% |
| Pari-Mutuel | 1.0 | 1.5 | 2.1 | 1.4 | 2.7 | 2.3 | 1.4 | 1.5 | 1.1 | | | | 15.0 | 13.4 | 1.6 | 11.9% |
| Real Estate Transfer | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Racing and Exhibitions | 0.1 | - | - | 0.2 | 0.2 | - | 0.1 | - | 0.1 | | | | 0.7 | 0.9 | (0.2) | -22.2% |
| Metropolitan Commuter Trans. Mobility | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| **Total Other Taxes** | **84.8** | **120.9** | **69.9** | **98.3** | **91.9** | **107.2** | **105.9** | **91.1** | **98.2** | **-** | **-** | **-** | **868.2** | **986.7** | **(118.5)** | **-12.0%** |
| **Total Taxes** | **4,754.7** | **2,557.1** | **4,728.6** | **2,676.0** | **2,318.0** | **4,690.9** | **2,569.9** | **1,970.3** | **5,274.0** | **-** | **-** | **-** | **31,539.5** | **31,241.1** | **298.4** | **1.0%** |
| **Miscellaneous Receipts:** | | | | | | | | | | | | | | | | |
| Abandoned Property: | | | | | | | | | | | | | | | | |
| Abandoned Property | 0.8 | - | (0.1) | 0.1 | (0.1) | 0.1 | 94.2 | 135.1 | 20.1 | | | | 250.2 | 224.2 | 26.0 | 11.6% |
| Bottle Bill | 0.1 | - | 14.5 | (7.9) | 0.2 | 30.5 | 0.3 | - | 20.6 | | | | 58.3 | 73.2 | (14.9) | -20.4% |
| Assessments: | | | | | | | | | | | | | | | | |
| Business | - | 1,000.0 | - | - | - | - | - | - | - | | | | 1,000.0 | 250.0 | 750.0 | 300.0% |
| Medical Care | 8.5 | 3.8 | 9.7 | - | 8.5 | 9.6 | 3.8 | 5.6 | 13.6 | | | | 63.1 | 63.6 | (0.5) | -0.8% |
| Public Utilities | - | - | - | - | - | 167.2 | - | 2.9 | - | | | | 170.1 | 207.2 | (37.1) | -17.9% |
| Other | - | 0.1 | - | - | 0.1 | - | 0.1 | - | - | | | | 0.3 | 0.3 | - | 0.0% |
| Fees, Licenses and Permits: | | | | | | | | | | | | | | | | |
| Alcohol Beverage Control Licensing | 6.5 | 4.9 | 4.7 | 5.5 | 4.1 | 4.9 | 5.8 | 4.7 | 4.8 | | | | 45.9 | 49.8 | (3.9) | -7.8% |
| Business/Professional | 4.1 | 10.7 | 30.4 | 10.3 | 7.5 | 27.3 | 12.6 | 7.2 | 31.8 | | | | 141.9 | 164.8 | (22.9) | -13.9% |
| Civil | 18.9 | 12.6 | 20.2 | 15.9 | 13.8 | 17.1 | 29.8 | 13.9 | 23.7 | | | | 165.9 | 174.8 | (8.9) | -5.1% |
| Criminal | 0.1 | - | 0.1 | - | 0.1 | - | 0.1 | - | 0.1 | | | | 0.5 | 0.5 | - | 0.0% |
| Motor Vehicle | 37.0 | 20.6 | 6.2 | 19.6 | 5.6 | 6.5 | 24.0 | (1.2) | 20.6 | | | | 138.9 | 94.2 | 44.7 | 47.5% |
| Recreational/Consumer | 1.4 | 3.5 | (0.4) | 0.8 | 3.1 | 7.0 | 7.2 | (6.9) | (2.3) | | | | 13.4 | 10.8 | 2.6 | 24.1% |
| Fines, Penalties and Forfeitures | 80.4 | 745.1 | 19.8 | 2,258.1 | 118.3 | 352.2 | 14.0 | 378.6 | 253.7 | | | | 4,220.2 | 545.6 | 3,674.6 | 673.5% |
| Interest Earnings | 0.2 | (0.2) | 0.2 | 1.1 | 0.1 | 0.2 | 0.1 | 0.1 | 0.1 | | | | 1.9 | 0.2 | 1.7 | 850.0% |
| Receipts from Public Authorities: | | | | | | | | | | | | | | | | |
| Cost Recovery Assessments | - | 2.2 | 4.7 | - | - | - | 5.9 | - | - | | | | 12.8 | 13.9 | (1.1) | -7.9% |
| Issuance Fees | 9.6 | 0.1 | 0.1 | 15.8 | 2.3 | 3.3 | 9.9 | 4.9 | 19.5 | | | | 65.5 | 86.9 | (21.4) | -24.6% |
| Non Bond Related | - | - | - | - | - | - | - | - | - | | | | - | 149.5 | (149.5) | -100.0% |
| Receipts from Municipalities | - | - | - | 0.1 | - | - | - | - | - | | | | 0.1 | 0.1 | - | 0.0% |
| Rentals | 0.2 | 0.1 | 0.8 | 0.3 | 1.3 | 0.2 | 0.3 | 0.1 | 0.1 | | | | 3.4 | 3.0 | 0.4 | 13.3% |
| Revenues of State Departments: | | | | | | | | | | | | | | | | |
| Administrative Recoveries | - | 0.1 | 23.1 | 0.1 | - | 26.3 | 0.1 | - | 21.0 | | | | 70.7 | 68.7 | 2.0 | 2.9% |
| Gifts, Grants and Donations | - | 0.1 | (0.1) | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Indirect Cost Recoveries | 2.0 | 9.2 | 17.1 | 3.0 | 19.7 | 6.2 | 5.3 | 18.2 | 10.5 | | | | 91.2 | 99.1 | (7.9) | -8.0% |
| Rebates | - | - | - | - | - | - | - | - | 1.3 | | | | 1.3 | - | 1.3 | 100.0% |
| Restitution and Settlements | - | 4.6 | - | - | (0.1) | 0.1 | 304.3 | 0.2 | (35.1) | | | | 274.0 | 2.5 | 271.5 | 10,860.0% |
| Student Loans | - | - | - | - | - | - | - | - | - | | | | - | 0.2 | (0.2) | -100.0% |
| All Other | 5.2 | (1.7) | 4.7 | (3.5) | 2.9 | 15.2 | (6.5) | (2.8) | (6.3) | | | | 7.2 | 30.4 | (23.2) | -76.3% |
| Sales | - | - | 0.1 | 0.1 | 1.9 | (0.3) | 0.9 | 0.5 | (1.3) | | | | 1.9 | 2.1 | (0.2) | -9.5% |
| **Total Miscellaneous Receipts** | **175.0** | **1,815.8** | **155.8** | **2,319.4** | **189.3** | **673.6** | **512.2** | **561.1** | **396.5** | **-** | **-** | **-** | **6,798.7** | **2,315.6** | **4,483.1** | **193.6%** |

STATE OF NEW YORK
GENERAL FUND
STATEMENT OF CASH FLOW
FISCAL YEAR 2014-2015
(Amounts in millions)

EXHIBIT F

| | 2014 APRIL | MAY | JUNE | JULY | AUGUST | SEPTEMBER | OCTOBER | NOVEMBER | DECEMBER | 2015 JANUARY | FEBRUARY | MARCH | 9 Months Ended December 31 2014 | 2013 | $ Increase/ (Decrease) | % Increase/ Decrease |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Federal Receipts | 0.5 | - | - | 0.1 | - | 0.1 | - | 0.1 | - | | | | 0.8 | 0.1 | 0.7 | 700.0% |
| **Total Receipts** | **4,930.2** | **4,372.9** | **4,884.4** | **4,995.5** | **2,507.3** | **5,364.6** | **3,082.1** | **2,531.5** | **5,670.5** | **-** | **-** | **-** | **38,339.0** | **33,556.8** | **4,782.2** | **14.3%** |
| **DISBURSEMENTS:** | | | | | | | | | | | | | | | | |
| Local Assistance Grants: | | | | | | | | | | | | | | | | |
| Education | 316.7 | 3,022.2 | 2,323.2 | 890.4 | 869.0 | 2,246.8 | 1,301.8 | 1,433.9 | 2,004.0 | | | | 14,408.0 | 12,549.7 | 1,858.3 | 14.8% |
| Environment and Recreation | 0.2 | 0.1 | 0.1 | 2.0 | 1.3 | - | 0.2 | 0.1 | 0.2 | | | | 4.2 | 5.1 | (0.9) | -17.6% |
| General Government | 2.1 | 14.3 | 561.1 | 5.3 | 2.1 | 135.5 | 10.1 | 6.8 | 191.3 | | | | 928.6 | 912.6 | 16.0 | 1.8% |
| Public Health: | | | | | | | | | | | | | | | | |
| Medicaid | 1,097.2 | 1,006.4 | 1,183.0 | 1,151.0 | 769.2 | 996.3 | 1,009.2 | 1,220.0 | 1,186.3 | | | | 9,618.6 | 9,668.0 | (49.4) | -0.5% |
| Other Public Health | 7.2 | 85.9 | 121.1 | 71.1 | 85.7 | 57.5 | 43.4 | 43.4 | 91.2 | | | | 606.5 | 531.2 | 75.3 | 14.2% |
| Public Safety | 10.0 | 14.8 | 9.8 | 13.4 | 8.9 | 27.4 | 5.9 | 10.4 | 25.2 | | | | 125.8 | 208.9 | (83.1) | -39.8% |
| Public Welfare | 127.8 | 202.4 | 236.7 | 254.3 | 154.1 | 243.7 | 266.4 | 170.9 | 332.9 | | | | 1,989.2 | 2,004.1 | (14.9) | -0.7% |
| Support and Regulate Business | 7.5 | 6.3 | 7.3 | 8.6 | 4.5 | 7.4 | 7.2 | 7.8 | 3.9 | | | | 60.5 | 73.3 | (12.8) | -17.5% |
| Transportation | - | 23.8 | - | - | 24.9 | - | - | 23.3 | 13.0 | | | | 85.0 | 86.9 | (1.9) | -2.2% |
| Total Local Assistance Grants | **1,568.7** | **4,376.2** | **4,442.3** | **2,396.1** | **1,919.7** | **3,714.6** | **2,644.2** | **2,916.6** | **3,848.0** | **-** | **-** | **-** | **27,826.4** | **26,039.8** | **1,786.6** | **6.9%** |
| Departmental Operations: | | | | | | | | | | | | | | | | |
| Personal Service | 447.4 | 528.9 | 447.4 | 601.9 | 450.9 | 448.4 | 526.2 | 453.1 | 590.9 | | | | 4,495.1 | 4,366.8 | 128.3 | 2.9% |
| Non-Personal Service | 82.6 | 147.4 | 145.7 | 133.0 | 150.5 | 148.3 | 171.3 | 119.1 | 133.2 | | | | 1,231.1 | 1,191.3 | 39.8 | 3.3% |
| General State Charges | 504.2 | 647.4 | 356.4 | 706.2 | 147.1 | 1,128.4 | 406.1 | 139.9 | 305.4 | | | | 4,341.1 | 3,669.3 | 671.8 | 18.3% |
| **Total Disbursements** | **2,602.9** | **5,699.9** | **5,391.8** | **3,837.2** | **2,668.2** | **5,439.7** | **3,747.8** | **3,628.7** | **4,877.5** | **-** | **-** | **-** | **37,893.7** | **35,267.2** | **2,626.5** | **7.4%** |
| **Excess (Deficiency) of Receipts over Disbursements** | **2,327.3** | **(1,327.0)** | **(507.4)** | **1,158.3** | **(160.9)** | **(75.1)** | **(665.7)** | **(1,097.2)** | **793.0** | **-** | **-** | **-** | **445.3** | **(1,710.4)** | **2,155.7** | **126.0%** |
| **OTHER FINANCING SOURCES (USES):** | | | | | | | | | | | | | | | | |
| Transfers from Revenue Bond Tax Fund | 1,338.2 | 355.2 | 1,062.6 | 395.3 | 266.3 | 1,223.2 | 421.9 | 190.7 | 1,241.6 | | | | 6,495.0 | 6,362.8 | 132.2 | 2.1% |
| Transfers from LGAC / STRBTF | 419.7 | 307.2 | 733.8 | 460.6 | 404.2 | 578.2 | 490.2 | 456.8 | 598.5 | | | | 4,449.2 | 4,366.8 | 82.4 | 1.9% |
| Transfers from CW/CA Fund | 57.1 | 72.9 | 77.7 | 60.2 | 77.9 | 69.0 | 74.6 | 72.5 | 74.3 | | | | 636.2 | 521.4 | 114.8 | 22.0% |
| Transfers from Other Funds | 89.7 | 65.4 | 57.0 | 9.3 | 17.3 | 131.3 | (27.7) | 24.2 | (4.5) | | | | 362.0 | 578.4 | (216.4) | -37.4% |
| Transfers to State Capital Projects | (9.0) | (31.0) | (87.2) | 287.6 | (169.0) | (164.7) | (172.1) | (173.7) | (530.0) | | | | (1,049.1) | (418.0) | 631.1 | 151.0% |
| Transfers to Federal Capital Projects | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Transfers to General Debt Service | (400.8) | 152.2 | 2.1 | (230.5) | 11.3 | 98.8 | (202.2) | 59.7 | 31.8 | | | | (477.6) | (1,049.9) | (572.3) | -54.5% |
| Transfers to All Other State Funds | (524.7) | (579.2) | (755.9) | (274.4) | (555.3) | (697.2) | (257.3) | (688.6) | (510.0) | | | | (4,842.6) | (4,374.4) | 468.2 | 10.7% |
| **Total Other Financing Sources (Uses)** | **970.2** | **342.7** | **1,090.1** | **708.1** | **52.7** | **1,238.6** | **327.4** | **(58.4)** | **901.7** | **-** | **-** | **-** | **5,573.1** | **5,987.1** | **(414.0)** | **-6.9%** |
| **Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses** | **3,297.5** | **(984.3)** | **582.7** | **1,866.4** | **(108.2)** | **1,163.5** | **(338.3)** | **(1,155.6)** | **1,694.7** | **-** | **-** | **-** | **6,018.4** | **4,276.7** | **1,741.7** | **40.7%** |
| **Ending Fund Balance** | **$ 5,532.7** | **$ 4,548.4** | **$ 5,131.1** | **$ 6,997.5** | **$ 6,889.3** | **$ 8,052.8** | **$ 7,714.5** | **$ 6,558.9** | **$ 8,253.6** | **$ -** | **$ -** | **$ -** | **$ 8,253.6** | **$ 5,886.7** | **$ 2,366.9** | **40.2%** |

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2014-2015
(Amounts in millions)

EXHIBIT G

| | 2014 APRIL | MAY | JUNE | JULY | AUGUST | SEPTEMBER | OCTOBER | NOVEMBER | DECEMBER | 2015 JANUARY | FEBRUARY | MARCH | 9 Months Ended December 31 2014 | 2013 | $ Increase/ (Decrease) | % Increase/ Decrease |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Beginning Fund Balance** | $ 2,362.9 | $ 2,172.6 | $ 2,707.5 | $ 3,185.9 | $ 2,928.7 | $ 2,689.1 | $ 2,149.0 | $ 1,961.9 | $ 1,165.7 | | | | $ 2,362.9 | $ 2,373.3 | $ (10.4) | -0.4% |
| **RECEIPTS:** | | | | | | | | | | | | | | | | |
| **Taxes:** | | | | | | | | | | | | | | | | |
| Personal Income Tax | - | - | 424.2 | - | - | 203.3 | 4.5 | 25.2 | 124.1 | | | | 781.3 | 809.5 | (28.2) | -3.5% |
| Consumption/Use Taxes: | | | | | | | | | | | | | | | | |
| Sales and Use | 101.2 | 64.1 | 81.6 | 64.0 | 63.3 | 83.6 | 65.2 | 65.9 | 84.8 | | | | 673.7 | 640.4 | 33.3 | 5.2% |
| Auto Rental | 1.7 | - | 9.9 | 0.6 | - | 14.2 | - | - | 11.1 | | | | 37.5 | 35.9 | 1.6 | 4.5% |
| Cigarette/Tobacco Products | 86.2 | 79.6 | 80.9 | 93.9 | 85.3 | 87.1 | 85.8 | 73.8 | 89.0 | | | | 761.6 | 811.5 | (49.9) | -6.1% |
| Motor Fuel | 8.4 | 10.1 | 7.7 | 8.5 | 9.9 | 8.9 | 9.2 | 7.0 | 8.3 | | | | 78.0 | 76.2 | 1.8 | 2.4% |
| Alcoholic Beverage | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Highway Use | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Metropolitan Commuter Trans. Taxicab Trip | 20.9 | 0.3 | 0.4 | 20.4 | 0.7 | 0.5 | 18.8 | 0.4 | 0.2 | | | | 62.6 | 63.5 | (0.9) | -1.4% |
| **Total Consumption/Use Taxes** | **218.4** | **154.1** | **180.5** | **187.4** | **159.2** | **194.3** | **179.0** | **147.1** | **193.4** | **-** | **-** | **-** | **1,613.4** | **1,627.5** | **(14.1)** | **-0.9%** |
| Business Taxes: | | | | | | | | | | | | | | | | |
| Corporation Franchise | 20.7 | 18.9 | 64.9 | 12.5 | 27.8 | 65.4 | 12.7 | 21.4 | 69.9 | | | | 314.2 | 295.2 | 19.0 | 6.4% |
| Corporation and Utilities | 0.3 | 1.3 | 30.6 | 0.2 | 0.4 | 32.1 | 1.2 | 0.7 | 26.2 | | | | 93.0 | 95.4 | (2.4) | -2.5% |
| Insurance | 0.3 | (1.4) | 34.5 | (3.8) | 2.8 | 30.4 | (2.5) | 1.2 | 34.3 | | | | 95.8 | 90.9 | 4.9 | 5.4% |
| Bank | 4.6 | 51.5 | 63.4 | 1.4 | (1.2) | 28.0 | (15.8) | (5.0) | 39.8 | | | | 166.7 | 109.2 | 57.5 | 52.7% |
| Petroleum Business | 44.1 | 40.9 | 48.4 | 41.9 | 51.1 | 46.0 | 41.8 | 37.8 | 40.3 | | | | 392.3 | 394.7 | (2.4) | -0.6% |
| **Total Business Taxes** | **70.0** | **111.2** | **241.8** | **52.2** | **80.9** | **201.9** | **37.4** | **56.1** | **210.5** | **-** | **-** | **-** | **1,062.0** | **985.4** | **76.6** | **7.8%** |
| Other Taxes: | | | | | | | | | | | | | | | | |
| Metropolitan Commuter Trans. Mobility | 128.8 | 96.2 | 79.9 | 98.2 | 85.1 | 81.8 | 101.6 | 86.1 | 110.0 | | | | 867.7 | 816.7 | 51.0 | 6.2% |
| **Total Other Taxes** | **128.8** | **96.2** | **79.9** | **98.2** | **85.1** | **81.8** | **101.6** | **86.1** | **110.0** | **-** | **-** | **-** | **867.7** | **816.7** | **51.0** | **6.2%** |
| **Total Taxes** | **417.2** | **361.5** | **926.4** | **337.8** | **325.2** | **681.3** | **322.5** | **314.5** | **638.0** | **-** | **-** | **-** | **4,324.4** | **4,239.1** | **85.3** | **2.0%** |
| **Miscellaneous Receipts:** | | | | | | | | | | | | | | | | |
| Abandoned Property: | | | | | | | | | | | | | | | | |
| Abandoned Property | 0.7 | 1.1 | 1.0 | 1.3 | 0.8 | 0.9 | 0.8 | 0.9 | 0.9 | | | | 8.4 | 8.1 | 0.3 | 3.7% |
| Assessments: | | | | | | | | | | | | | | | | |
| Business | 64.4 | 91.2 | 148.8 | 9.7 | 61.1 | 137.6 | 21.4 | 29.1 | 99.2 | | | | 662.5 | 629.5 | 33.0 | 5.2% |
| Medical Care | 383.0 | 376.1 | 355.8 | 450.7 | 436.0 | 458.5 | 424.6 | 400.3 | 434.1 | | | | 3,719.1 | 3,593.4 | 125.7 | 3.5% |
| Public Utilities | 0.5 | - | 0.3 | - | 0.4 | 46.0 | 0.9 | (2.4) | 0.5 | | | | 46.2 | 52.5 | (6.3) | -12.0% |
| Other | 16.5 | 17.1 | 17.6 | 17.5 | 18.1 | 16.8 | 17.5 | 17.9 | 15.7 | | | | 154.7 | 155.6 | (0.9) | -0.6% |
| Fees, Licenses and Permits: | | | | | | | | | | | | | | | | |
| Business/Professional | 58.7 | 51.9 | 86.7 | 54.4 | 86.0 | 189.4 | 95.4 | 74.5 | 114.7 | | | | 811.7 | 838.9 | (27.2) | -3.2% |
| Civil | 4.0 | 5.0 | 4.6 | 3.9 | (9.3) | 1.8 | 2.1 | 1.9 | 2.1 | | | | 16.1 | 36.1 | (20.0) | -55.4% |
| Criminal | - | 1.3 | 0.7 | 0.4 | - | 2.1 | 0.3 | 1.3 | 0.7 | | | | 6.8 | 7.4 | (0.6) | -8.1% |
| Motor Vehicle | 36.4 | 44.8 | 39.6 | 40.0 | 41.0 | 42.9 | 27.0 | 48.6 | 33.6 | | | | 353.9 | 377.5 | (23.6) | -6.3% |
| Recreational/Consumer | 12.4 | 18.4 | 23.4 | 30.5 | 20.7 | 17.7 | 30.9 | 18.1 | 18.1 | | | | 190.2 | 141.8 | 48.4 | 34.1% |
| Fines, Penalties and Forfeitures | (64.7) | 16.7 | 14.2 | 10.7 | 6.6 | 19.3 | 14.5 | 9.3 | 13.9 | | | | 40.5 | 132.9 | (92.4) | -69.5% |
| Gaming: | | | | | | | | | | | | | | | | |
| Casino | 4.0 | 1.7 | 0.5 | 48.9 | - | 0.8 | 51.2 | - | 41.3 | | | | 148.4 | 495.5 | (347.1) | -70.1% |
| Lottery | 220.6 | 181.9 | 172.5 | 217.2 | 173.4 | 172.4 | 218.6 | 196.2 | 193.5 | | | | 1,746.3 | 1,807.1 | (60.8) | -3.4% |
| Video Lottery | 91.5 | 71.7 | 70.1 | 87.3 | 71.1 | 71.3 | 86.7 | 66.0 | 83.8 | | | | 699.5 | 692.5 | 7.0 | 1.0% |
| Interest Earnings | 2.3 | 2.5 | 2.2 | 2.1 | 1.8 | 2.6 | 2.4 | 1.9 | 2.4 | | | | 20.2 | 20.0 | 0.2 | 1.0% |
| Receipts from Public Authorities: | | | | | | | | | | | | | | | | |
| Bond Proceeds | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Cost Recovery Assessments | - | 20.4 | - | - | - | - | - | - | - | | | | 20.4 | 20.4 | - | 0.0% |
| Issuance Fees | 4.2 | 0.7 | 2.3 | - | - | - | - | - | - | | | | 7.2 | 7.2 | - | 0.0% |
| Non Bond Related | 0.2 | 1.8 | 0.6 | 0.2 | 0.7 | 0.2 | 3.2 | 0.1 | - | | | | 7.0 | 4.9 | 2.1 | 42.9% |
| Receipts from Municipalities | 32.6 | 5.3 | 8.7 | 5.9 | 4.2 | 7.5 | 6.2 | 3.6 | 9.8 | | | | 83.8 | 78.9 | 4.9 | 6.2% |
| Rentals | 27.1 | 33.7 | 28.5 | 23.5 | 7.0 | 1.4 | (7.2) | 69.0 | 36.4 | | | | 219.4 | 6.0 | 213.4 | 3,556.7% |
| Revenues of State Departments: | | | | | | | | | | | | | | | | |
| Administrative Recoveries | 0.9 | 8.1 | 9.4 | 9.3 | 8.4 | 8.0 | 8.6 | 9.8 | 8.9 | | | | 71.4 | 73.3 | (1.9) | -2.6% |
| Commissions | 0.2 | 4.3 | 0.2 | 0.1 | - | 0.5 | 0.3 | 0.8 | 0.6 | | | | 7.0 | 6.0 | 1.0 | 16.7% |
| Gifts, Grants and Donations | 0.8 | 0.4 | 0.2 | 0.2 | 0.5 | - | 0.5 | 0.1 | 0.1 | | | | 2.8 | 4.6 | (1.8) | -39.1% |
| Indirect Cost Recoveries | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Patient/Client Care Reimbursement | 158.6 | 212.4 | 138.1 | 172.2 | 143.3 | 72.0 | 257.7 | 127.2 | 161.5 | | | | 1,443.0 | 1,631.2 | (188.2) | -11.5% |
| Rebates | 9.3 | 9.1 | 9.8 | 26.3 | 9.2 | 10.5 | 12.2 | 13.9 | 13.4 | | | | 113.7 | 102.1 | 11.6 | 11.4% |
| Restitution and Settlements | 9.6 | 8.5 | (4.5) | (13.6) | (13.8) | (10.6) | 1.5 | 3.5 | 2.5 | | | | (16.9) | 23.6 | (40.5) | -171.6% |
| Student Loans | 6.2 | 4.5 | 13.5 | 7.1 | 12.2 | 7.1 | 2.6 | 1.9 | 7.6 | | | | 62.7 | 72.9 | (10.2) | -14.0% |
| All Other | 2.4 | 5.1 | 1.6 | 3.5 | 1.8 | 5.2 | 2.2 | 1.7 | 0.5 | | | | 24.0 | 40.4 | (16.4) | -40.6% |
| Sales | 5.1 | (3.1) | 1.3 | 1.6 | 1.0 | 2.8 | 1.5 | 1.6 | 2.7 | | | | 14.5 | 16.6 | (2.1) | -12.7% |
| Tuition | 72.0 | 72.8 | 111.6 | 105.0 | 222.5 | 424.7 | 201.9 | 84.4 | 78.7 | | | | 1,373.6 | 1,276.5 | 97.1 | 7.6% |
| **Total Miscellaneous Receipts** | **1,159.5** | **1,265.4** | **1,259.3** | **1,315.9** | **1,304.7** | **1,709.4** | **1,485.5** | **1,181.2** | **1,377.2** | **-** | **-** | **-** | **12,058.1** | **12,353.4** | **(295.3)** | **-2.4%** |

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2014-2015
(Amounts in millions)

EXHIBIT G

| | 2014 APRIL | MAY | JUNE | JULY | AUGUST | SEPTEMBER | OCTOBER | NOVEMBER | DECEMBER | 2015 JANUARY | FEBRUARY | MARCH | 9 Months Ended December 31 2014 | 2013 | $ Increase/ (Decrease) | % Increase/ Decrease |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Federal Receipts | 2,865.9 | 3,840.0 | 3,921.2 | 3,224.5 | 4,035.0 | 3,880.4 | 3,611.9 | 3,314.1 | 4,671.0 | | | | 33,364.0 | 30,628.4 | 2,735.6 | 8.9% |
| **Total Receipts** | **4,442.6** | **5,466.9** | **6,106.9** | **4,878.2** | **5,664.9** | **6,271.1** | **5,419.9** | **4,809.8** | **6,686.2** | **-** | **-** | **-** | **49,746.5** | **47,220.9** | **2,525.6** | **5.3%** |
| **DISBURSEMENTS:** | | | | | | | | | | | | | | | | |
| Local Assistance Grants: | | | | | | | | | | | | | | | | |
| Education | 446.6 | 452.4 | 1,082.1 | 226.1 | 164.1 | 2,365.6 | 335.9 | 364.2 | 494.6 | | | | 5,931.6 | 6,434.1 | (502.5) | -7.8% |
| Environment and Recreation | 0.1 | 0.1 | 0.5 | 0.2 | 0.2 | 0.8 | - | 0.3 | 1.5 | | | | 3.7 | 2.3 | 1.4 | 60.9% |
| General Government | 14.3 | 9.7 | 18.0 | 25.7 | 58.6 | 20.0 | 12.1 | 17.9 | 24.8 | | | | 201.1 | 284.2 | (83.1) | -29.2% |
| Public Health: | | | | | | | | | | | | | | | | |
| Medicaid | 2,526.4 | 2,609.4 | 2,849.0 | 2,687.2 | 2,980.1 | 2,446.3 | 3,111.8 | 2,798.9 | 3,347.5 | | | | 25,356.6 | 21,539.9 | 3,816.7 | 17.7% |
| Other Public Health | 218.1 | 246.7 | 340.6 | 401.6 | 398.2 | 331.6 | 383.9 | 242.5 | 461.9 | | | | 3,025.1 | 3,135.6 | (110.5) | -3.5% |
| Public Safety | 59.8 | 165.4 | 47.8 | 74.9 | 583.8 | 41.5 | 40.7 | 898.7 | 193.6 | | | | 2,106.2 | 1,533.8 | 572.4 | 37.3% |
| Public Welfare | 364.1 | 261.2 | 468.1 | 352.7 | 317.9 | 775.8 | 222.4 | 240.6 | 415.5 | | | | 3,418.3 | 3,782.1 | (363.8) | -9.6% |
| Support and Regulate Business | 0.5 | 2.0 | 5.0 | 199.6 | 1.8 | 2.0 | 3.1 | 1.8 | 1.0 | | | | 216.8 | 243.6 | (26.8) | -11.0% |
| Transportation | 157.4 | 546.6 | 344.0 | 356.3 | 459.2 | 406.3 | 340.0 | 570.9 | 848.2 | | | | 4,028.9 | 3,983.2 | 45.7 | 1.1% |
| **Total Local Assistance Grants** | **3,787.3** | **4,293.5** | **5,155.1** | **4,324.3** | **4,963.9** | **6,389.9** | **4,449.9** | **5,135.8** | **5,788.6** | **-** | **-** | **-** | **44,288.3** | **40,938.8** | **3,349.5** | **8.2%** |
| Departmental Operations: | | | | | | | | | | | | | | | | |
| Personal Service | 605.9 | 651.4 | 555.5 | 735.7 | 557.1 | 568.5 | 650.2 | 556.5 | 780.8 | | | | 5,661.6 | 5,660.1 | 1.5 | 0.0% |
| Non-Personal Service | 360.0 | 311.0 | 383.2 | 347.9 | 389.3 | 503.0 | 476.6 | 344.9 | 423.0 | | | | 3,538.9 | 3,495.1 | 43.8 | 1.3% |
| General State Charges | 184.2 | 195.2 | 162.3 | 36.3 | 443.4 | 49.7 | 104.6 | 353.3 | 153.3 | | | | 1,682.3 | 1,683.3 | (1.0) | -0.1% |
| Capital Projects | 0.1 | 0.2 | 0.1 | 0.2 | 0.2 | 0.1 | 0.1 | 0.1 | - | | | | 1.1 | 1.6 | (0.5) | -31.3% |
| **Total Disbursements** | **4,937.5** | **5,451.3** | **6,256.2** | **5,444.4** | **6,353.9** | **7,511.2** | **5,681.4** | **6,390.6** | **7,145.7** | **-** | **-** | **-** | **55,172.2** | **51,778.9** | **3,393.3** | **6.6%** |
| **Excess (Deficiency) of Receipts over Disbursements** | **(494.9)** | **15.6** | **(149.3)** | **(566.2)** | **(689.0)** | **(1,240.1)** | **(261.5)** | **(1,580.8)** | **(459.5)** | **-** | **-** | **-** | **(5,425.7)** | **(4,558.0)** | **(867.7)** | **-19.0%** |
| **OTHER FINANCING SOURCES (USES):** | | | | | | | | | | | | | | | | |
| Transfers from Other Funds | 593.4 | 688.7 | 782.6 | 392.9 | 713.2 | 899.2 | 345.6 | 817.5 | 643.9 | | | | 5,877.0 | 5,986.7 | (109.7) | -1.8% |
| Transfers to Other Funds | (288.8) | (169.4) | (154.9) | (83.9) | (263.8) | (199.2) | (271.2) | (32.9) | (191.5) | | | | (1,655.6) | (2,243.8) | (588.2) | -26.2% |
| **Total Other Financing Sources (Uses)** | **304.6** | **519.3** | **627.7** | **309.0** | **449.4** | **700.0** | **74.4** | **784.6** | **452.4** | **-** | **-** | **-** | **4,221.4** | **3,742.9** | **478.5** | **12.8%** |
| **Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses** | **(190.3)** | **534.9** | **478.4** | **(257.2)** | **(239.6)** | **(540.1)** | **(187.1)** | **(796.2)** | **(7.1)** | **-** | **-** | **-** | **(1,204.3)** | **(815.1)** | **(389.2)** | **-47.7%** |
| **Ending Fund Balance** | **$ 2,172.6** | **$ 2,707.5** | **$ 3,185.9** | **$ 2,928.7** | **$ 2,689.1** | **$ 2,149.0** | **$ 1,961.9** | **$ 1,165.7** | **$ 1,158.6** | **$ -** | **$ -** | **$ -** | **$ 1,158.6** | **$ 1,558.2** | **$ (399.6)** | **-25.6%** |

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - STATE
STATEMENT OF RECEIPTS AND DISBURSEMENTS
FISCAL YEAR 2014-2015
(Amounts in millions)

EXHIBIT G

| | 2014 APRIL | MAY | JUNE | JULY | AUGUST | SEPTEMBER | OCTOBER | NOVEMBER | DECEMBER | 2015 JANUARY | FEBRUARY | MARCH | Intra-Fund Transfer Eliminations (*) | 9 Months Ended December 31 2014 | 2013 | $ Increase/ (Decrease) | % Increase/ Decrease |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **RECEIPTS:** | | | | | | | | | | | | | | | | | |
| **Taxes:** | | | | | | | | | | | | | | | | | |
| Personal Income Tax | $ - | $ - | $ 424.2 | $ - | $ - | $ 203.3 | $ 4.5 | $ 25.2 | $ 124.1 | | | | $ - | $ 781.3 | $ 809.5 | $ (28.2) | -3.5% |
| Consumption/Use Taxes: | | | | | | | | | | | | | | | | | |
| Sales and Use | 101.2 | 64.1 | 81.6 | 64.0 | 63.3 | 83.6 | 65.2 | 65.9 | 84.8 | | | | - | 673.7 | 640.4 | 33.3 | 5.2% |
| Auto Rental | 1.7 | - | 9.9 | 0.6 | - | 14.2 | - | - | 11.1 | | | | - | 37.5 | 35.9 | 1.6 | 4.5% |
| Cigarette/Tobacco Products | 86.2 | 79.6 | 80.9 | 93.9 | 85.3 | 87.1 | 85.8 | 73.8 | 89.0 | | | | - | 761.6 | 811.5 | (49.9) | -6.1% |
| Motor Fuel | 8.4 | 10.1 | 7.7 | 8.5 | 9.9 | 8.9 | 9.2 | 7.0 | 8.3 | | | | - | 78.0 | 76.2 | 1.8 | 2.4% |
| Alcoholic Beverage | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Highway Use | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Metropolitan Commuter Trans. Taxicab Trip | 20.9 | 0.3 | 0.4 | 20.4 | 0.7 | 0.5 | 18.8 | 0.4 | 0.2 | | | | - | 62.6 | 63.5 | (0.9) | -1.4% |
| **Total Consumption/Use Taxes** | **218.4** | **154.1** | **180.5** | **187.4** | **159.2** | **194.3** | **179.0** | **147.1** | **193.4** | **-** | **-** | **-** | **-** | **1,613.4** | **1,627.5** | **(14.1)** | **-0.9%** |
| Business Taxes | | | | | | | | | | | | | | | | | |
| Corporation Franchise | 20.7 | 18.9 | 64.9 | 12.5 | 27.8 | 65.4 | 12.7 | 21.4 | 69.9 | | | | - | 314.2 | 295.2 | 19.0 | 6.4% |
| Corporation and Utilities | 0.3 | 1.3 | 30.6 | 0.2 | 0.4 | 32.1 | 1.2 | 0.7 | 26.2 | | | | - | 93.0 | 95.4 | (2.4) | -2.5% |
| Insurance | 0.3 | (1.4) | 34.5 | (3.8) | 2.8 | 30.4 | (2.5) | 1.2 | 34.3 | | | | - | 95.8 | 90.9 | 4.9 | 5.4% |
| Bank | 4.6 | 51.5 | 63.4 | 1.4 | (1.2) | 28.0 | (15.8) | (5.0) | 39.8 | | | | - | 166.7 | 109.2 | 57.5 | 52.7% |
| Petroleum Business | 44.1 | 40.9 | 48.4 | 41.9 | 51.1 | 46.0 | 41.8 | 37.8 | 40.3 | | | | - | 392.3 | 394.7 | (2.4) | -0.6% |
| **Total Business Taxes** | **70.0** | **111.2** | **241.8** | **52.2** | **80.9** | **201.9** | **37.4** | **56.1** | **210.5** | **-** | **-** | **-** | **-** | **1,062.0** | **985.4** | **76.6** | **7.8%** |
| Other Taxes | | | | | | | | | | | | | | | | | |
| Metropolitan Commuter Trans. Mobility | 128.8 | 96.2 | 79.9 | 98.2 | 85.1 | 81.8 | 101.6 | 86.1 | 110.0 | | | | - | 867.7 | 816.7 | 51.0 | 6.2% |
| **Total Other Taxes** | **128.8** | **96.2** | **79.9** | **98.2** | **85.1** | **81.8** | **101.6** | **86.1** | **110.0** | **-** | **-** | **-** | **-** | **867.7** | **816.7** | **51.0** | **6.2%** |
| **Total Taxes** | **417.2** | **361.5** | **926.4** | **337.8** | **325.2** | **681.3** | **322.5** | **314.5** | **638.0** | **-** | **-** | **-** | **-** | **4,324.4** | **4,239.1** | **85.3** | **2.0%** |
| **Miscellaneous Receipts:** | | | | | | | | | | | | | | | | | |
| Abandoned Property: | | | | | | | | | | | | | | | | | |
| Abandoned Property | 0.7 | 1.1 | 1.0 | 1.3 | 0.8 | 0.9 | 0.8 | 0.9 | 0.9 | | | | - | 8.4 | 8.1 | 0.3 | 3.7% |
| Assessments: | | | | | | | | | | | | | | | | | |
| Business | 61.0 | 60.7 | 148.7 | 7.4 | 52.2 | 137.4 | 20.3 | 22.9 | 99.0 | | | | - | 609.6 | 585.4 | 24.2 | 4.1% |
| Medical Care | 383.0 | 376.1 | 355.8 | 450.7 | 436.0 | 458.5 | 424.6 | 400.3 | 434.1 | | | | - | 3,719.1 | 3,593.4 | 125.7 | 3.5% |
| Public Utilities | 0.5 | - | 0.3 | - | 0.4 | 46.0 | 0.9 | (2.4) | 0.5 | | | | - | 46.2 | 52.5 | (6.3) | -12.0% |
| Other | 16.5 | 17.1 | 17.6 | 17.5 | 18.1 | 16.8 | 17.5 | 17.9 | 15.7 | | | | - | 154.7 | 155.6 | (0.9) | -0.6% |
| Fees, Licenses and Permits: | | | | | | | | | | | | | | | | | |
| Business/Professional | 58.7 | 51.9 | 86.7 | 54.4 | 86.0 | 189.4 | 95.4 | 74.5 | 114.7 | | | | - | 811.7 | 838.8 | (27.1) | -3.2% |
| Civil | 4.0 | 5.0 | 4.6 | 3.9 | (9.3) | 1.8 | 2.1 | 1.9 | 2.1 | | | | - | 16.1 | 36.1 | (20.0) | -55.4% |
| Criminal | - | 1.3 | 0.7 | 0.4 | - | 2.1 | 0.3 | 1.3 | 0.7 | | | | - | 6.8 | 7.4 | (0.6) | -8.1% |
| Motor Vehicle | 36.4 | 44.8 | 39.6 | 40.0 | 41.0 | 42.9 | 27.0 | 48.6 | 33.6 | | | | - | 353.9 | 377.5 | (23.6) | -6.3% |
| Recreational/Consumer | 12.4 | 18.4 | 23.4 | 30.5 | 20.7 | 17.7 | 30.9 | 18.1 | 18.1 | | | | - | 190.2 | 141.8 | 48.4 | 34.1% |
| Fines, Penalties and Forfeitures | (65.4) | 16.1 | 13.7 | 9.2 | 5.9 | 18.9 | 13.5 | 8.7 | 13.0 | | | | - | 33.6 | 126.1 | (92.5) | -73.4% |
| Gaming: | | | | | | | | | | | | | | | | | |
| Casino | 4.0 | 1.7 | 0.5 | 48.9 | - | 0.8 | 51.2 | - | 41.3 | | | | - | 148.4 | 495.5 | (347.1) | -70.1% |
| Lottery | 220.6 | 181.9 | 172.5 | 217.2 | 173.4 | 172.4 | 218.6 | 196.2 | 193.5 | | | | - | 1,746.3 | 1,807.1 | (60.8) | -3.4% |
| Video Lottery | 91.5 | 71.7 | 70.1 | 87.3 | 71.1 | 71.3 | 86.7 | 66.0 | 83.8 | | | | - | 699.5 | 692.5 | 7.0 | 1.0% |
| Interest Earnings | 2.3 | 2.5 | 2.2 | 2.0 | 1.8 | 2.6 | 2.4 | 1.9 | 2.4 | | | | - | 20.1 | 19.9 | 0.2 | 1.0% |
| Receipts from Public Authorities: | | | | | | | | | | | | | | | | | |
| Bond Proceeds | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Cost Recovery Assessments | - | 20.4 | - | - | - | - | - | - | - | | | | - | 20.4 | 20.4 | - | 0.0% |
| Issuance Fees | 4.2 | 0.7 | 2.3 | - | - | - | - | - | - | | | | - | 7.2 | 7.2 | - | 0.0% |
| Non Bond Related | 0.2 | 1.8 | 0.6 | 0.2 | 0.7 | 0.2 | 3.2 | 0.1 | - | | | | - | 7.0 | 4.9 | 2.1 | 42.9% |
| Receipts from Municipalities | 32.6 | 5.3 | 8.7 | 5.9 | 4.2 | 7.5 | 6.2 | 3.6 | 9.8 | | | | - | 83.8 | 78.9 | 4.9 | 6.2% |
| Rentals | 27.1 | 33.7 | 28.5 | 23.5 | 7.0 | 1.4 | (7.2) | 69.0 | 36.4 | | | | - | 219.4 | 6.0 | 213.4 | 3,556.7% |
| Revenues of State Departments: | | | | | | | | | | | | | | | | | |
| Administrative Recoveries | 0.9 | 8.1 | 9.3 | 9.3 | 8.4 | 8.0 | 8.5 | 9.8 | 8.9 | | | | - | 71.2 | 73.0 | (1.8) | -2.5% |
| Commissions | 0.2 | 4.3 | 0.2 | 0.1 | - | 0.5 | 0.3 | 0.8 | 0.6 | | | | - | 7.0 | 6.0 | 1.0 | 16.7% |
| Gifts, Grants and Donations | 0.7 | 0.5 | 0.2 | 0.2 | 0.5 | - | 0.5 | 0.1 | 0.1 | | | | - | 2.8 | 4.6 | (1.8) | -39.1% |
| Indirect Cost Recoveries | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Patient/Client Care Reimbursement | 158.6 | 212.4 | 138.1 | 172.2 | 143.3 | 72.0 | 257.7 | 127.2 | 161.5 | | | | - | 1,443.0 | 1,631.2 | (188.2) | -11.5% |
| Rebates | 1.1 | - | 0.6 | 17.2 | 0.6 | 0.7 | 4.0 | 4.8 | 4.0 | | | | - | 33.0 | 17.0 | 16.0 | 94.1% |
| Restitution and Settlements | 9.6 | 8.5 | (4.5) | (13.6) | (13.8) | (10.6) | 1.5 | 3.5 | 2.5 | | | | - | (16.9) | 23.6 | (40.5) | -171.6% |
| Student Loans | 6.2 | 4.5 | 13.5 | 7.1 | 12.2 | 7.1 | 2.6 | 1.9 | 7.6 | | | | - | 62.7 | 72.9 | (10.2) | -14.0% |
| All Other | 2.4 | 5.1 | 1.6 | 1.9 | 1.8 | 2.5 | 1.9 | 1.6 | 0.2 | | | | - | 19.0 | 36.4 | (17.4) | -47.8% |
| Sales | 5.1 | (3.1) | 1.3 | 1.6 | 1.0 | 2.8 | 1.5 | 1.6 | 2.7 | | | | - | 14.5 | 16.6 | (2.1) | -12.7% |
| Tuition | 72.0 | 72.8 | 111.6 | 105.0 | 222.5 | 424.7 | 201.9 | 84.4 | 78.7 | | | | - | 1,373.6 | 1,276.5 | 97.1 | 7.6% |
| **Total Miscellaneous Receipts** | **1,147.1** | **1,225.3** | **1,249.4** | **1,301.3** | **1,286.5** | **1,696.3** | **1,474.8** | **1,165.2** | **1,366.4** | **-** | **-** | **-** | **-** | **11,912.3** | **12,212.9** | **(300.6)** | **-2.5%** |

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - STATE
STATEMENT OF RECEIPTS AND DISBURSEMENTS
FISCAL YEAR 2014-2015
(Amounts in millions)

EXHIBIT G

| | 2014 APRIL | MAY | JUNE | JULY | AUGUST | SEPTEMBER | OCTOBER | NOVEMBER | DECEMBER | 2015 JANUARY | FEBRUARY | MARCH | Intra-Fund Transfer Eliminations (*) | 9 Months Ended December 31 2014 | 2013 | $ Increase/ (Decrease) | % Increase/ Decrease |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Federal Receipts | - | - | - | - | - | - | - | - | - | | | | - | - | 0.3 | (0.3) | -100.0% |
| **Total Receipts** | **1,564.3** | **1,586.8** | **2,175.8** | **1,639.1** | **1,611.7** | **2,377.6** | **1,797.3** | **1,479.7** | **2,004.4** | **-** | **-** | **-** | **-** | **16,236.7** | **16,452.3** | **(215.6)** | **-1.3%** |
| **DISBURSEMENTS:** | | | | | | | | | | | | | | | | | |
| Local Assistance Grants: | | | | | | | | | | | | | | | | | |
| Education | 0.3 | 0.4 | 737.1 | 0.4 | (0.4) | 2,257.2 | 147.6 | 167.8 | 269.2 | | | | - | 3,579.6 | 3,557.0 | 22.6 | 0.6% |
| Environment and Recreation | 0.1 | - | 0.5 | 0.2 | - | 0.8 | - | - | 1.0 | | | | - | 2.6 | 1.4 | 1.2 | 85.7% |
| General Government | 12.1 | 6.8 | 9.8 | 24.3 | 47.6 | 18.0 | 11.1 | 8.2 | 11.7 | | | | - | 149.6 | 213.4 | (63.8) | -29.9% |
| Public Health: | | | | | | | | | | | | | | | | | |
| Medicaid | 272.6 | 525.0 | 280.0 | 512.4 | 413.0 | 387.3 | 580.4 | 334.0 | 547.2 | | | | - | 3,851.9 | 3,477.9 | 374.0 | 10.8% |
| Other Public Health | 76.1 | 130.7 | 227.2 | 269.6 | 165.7 | 208.7 | 252.8 | 107.3 | 343.0 | | | | - | 1,781.1 | 1,899.2 | (118.1) | -6.2% |
| Public Safety | 5.2 | 13.1 | 10.2 | 12.3 | 12.5 | 12.3 | 6.8 | 15.9 | 13.8 | | | | - | 102.1 | 69.6 | 32.5 | 46.7% |
| Public Welfare | 0.4 | 0.6 | 0.2 | 0.2 | - | 0.8 | 0.7 | 0.3 | 1.0 | | | | - | 4.2 | 3.9 | 0.3 | 7.7% |
| Support and Regulate Business | 0.5 | 2.0 | 3.5 | 199.6 | 1.8 | 0.4 | 3.1 | 1.5 | 1.0 | | | | - | 213.4 | 238.1 | (24.7) | -10.4% |
| Transportation | 155.2 | 542.2 | 337.9 | 352.3 | 453.8 | 402.5 | 333.6 | 567.9 | 839.6 | | | | - | 3,985.0 | 3,944.0 | 41.0 | 1.0% |
| **Total Local Assistance Grants** | **522.5** | **1,220.8** | **1,606.4** | **1,371.3** | **1,094.0** | **3,288.0** | **1,336.1** | **1,202.9** | **2,027.5** | **-** | **-** | **-** | **-** | **13,669.5** | **13,404.5** | **265.0** | **2.0%** |
| Departmental Operations: | | | | | | | | | | | | | | | | | |
| Personal Service | 556.8 | 607.0 | 505.9 | 669.6 | 506.5 | 519.9 | 602.2 | 514.6 | 712.3 | | | | - | 5,194.8 | 5,188.4 | 6.4 | 0.1% |
| Non-Personal Service | 270.7 | 246.7 | 329.3 | 251.8 | 284.9 | 313.7 | 348.7 | 268.3 | 302.7 | | | | - | 2,616.8 | 2,749.0 | (132.2) | -4.8% |
| General State Charges | 174.9 | 188.6 | 111.6 | 33.1 | 401.1 | 39.5 | 71.7 | 347.5 | 107.8 | | | | - | 1,475.8 | 1,454.5 | 21.3 | 1.5% |
| Capital Projects | 0.1 | 0.2 | 0.1 | 0.2 | 0.2 | 0.1 | 0.1 | 0.1 | - | | | | - | 1.1 | 1.6 | (0.5) | -31.3% |
| **Total Disbursements** | **1,525.0** | **2,263.3** | **2,553.3** | **2,326.0** | **2,286.7** | **4,161.2** | **2,358.8** | **2,333.4** | **3,150.3** | **-** | **-** | **-** | **-** | **22,958.0** | **22,798.0** | **160.0** | **0.7%** |
| **Excess (Deficiency) of Receipts over Disbursements** | **39.3** | **(676.5)** | **(377.5)** | **(686.9)** | **(675.0)** | **(1,783.6)** | **(561.5)** | **(853.7)** | **(1,145.9)** | **-** | **-** | **-** | **-** | **(6,721.3)** | **(6,345.7)** | **(375.6)** | **-5.9%** |
| **OTHER FINANCING SOURCES (USES):** | | | | | | | | | | | | | | | | | |
| Transfers from Other Funds | 603.7 | 743.5 | 807.3 | 423.4 | 725.0 | 1,016.4 | 355.0 | 909.7 | 672.1 | | | | (379.1) | 5,877.0 | 5,986.7 | (109.7) | -1.8% |
| Transfers to Other Funds | (115.4) | (45.8) | (81.7) | (12.8) | 3.6 | (59.0) | (21.6) | 12.2 | (68.0) | | | | - | (388.5) | (641.6) | (253.1) | -39.4% |
| **Total Other Financing Sources (Uses)** | **488.3** | **697.7** | **725.6** | **410.6** | **728.6** | **957.4** | **333.4** | **921.9** | **604.1** | **-** | **-** | **-** | **(379.1)** | **5,488.5** | **5,345.1** | **143.4** | **2.7%** |
| **Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses** | **$ 527.6** | **$ 21.2** | **$ 348.1** | **$ (276.3)** | **$ 53.6** | **$ (826.2)** | **$ (228.1)** | **$ 68.2** | **$ (541.8)** | **$ -** | **$ -** | **$ -** | **$ (379.1)** | **$ (1,232.8)** | **$ (1,000.6)** | **$ (232.2)** | **-23.2%** |

(*) Intra-Fund transfer eliminations represent transfers from Special Revenue-Federal Funds.

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - FEDERAL
STATEMENT OF RECEIPTS AND DISBURSEMENTS
FISCAL YEAR 2014-2015
(Amounts in millions)

EXHIBIT G

| | 2014 APRIL | MAY | JUNE | JULY | AUGUST | SEPTEMBER | OCTOBER | NOVEMBER | DECEMBER | 2015 JANUARY | FEBRUARY | MARCH | Intra-Fund Transfer Eliminations (*) | 9 Months Ended December 31 2014 | 2013 | $ Increase/ (Decrease) | % Increase/ Decrease |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **RECEIPTS:** | | | | | | | | | | | | | | | | | |
| **Miscellaneous Receipts:** | | | | | | | | | | | | | | | | | |
| Abandoned Property: | | | | | | | | | | | | | | | | | |
| Abandoned Property | $ - | $ - | $ - | $ - | $ - | $ - | $ - | $ - | $ - | | | | $ - | $ - | $ - | $ - | 0.0% |
| Assessments: | | | | | | | | | | | | | | | | | |
| Business | 3.4 | 30.5 | 0.1 | 2.3 | 8.9 | 0.2 | 1.1 | 6.2 | 0.2 | | | | - | 52.9 | 44.1 | 8.8 | 20.0% |
| Medical Care | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Public Utilities | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Other | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Fees, Licenses and Permits: | | | | | | | | | | | | | | | | | |
| Business/Professional | - | - | - | - | - | - | - | - | - | | | | - | - | 0.1 | (0.1) | -100.0% |
| Civil | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Criminal | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Motor Vehicle | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Recreational/Consumer | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Fines, Penalties and Forfeitures | 0.7 | 0.6 | 0.5 | 1.5 | 0.7 | 0.4 | 1.0 | 0.6 | 0.9 | | | | - | 6.9 | 6.8 | 0.1 | 1.5% |
| Interest Earnings | - | - | - | 0.1 | - | - | - | - | - | | | | - | 0.1 | 0.1 | - | 0.0% |
| Receipts from Public Authorities: | | | | | | | | | | | | | | | | | |
| Bond Proceeds | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Cost Recovery Assessments | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Issuance Fees | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Non Bond Related | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Receipts from Municipalities | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Rentals | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Revenues of State Departments: | | | | | | | | | | | | | | | | | |
| Administrative Recoveries | - | - | 0.1 | - | - | - | 0.1 | - | - | | | | - | 0.2 | 0.3 | (0.1) | -33.3% |
| Commissions | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Gifts, Grants and Donations | 0.1 | (0.1) | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Indirect Cost Recoveries | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Patient/Client Care Reimbursement | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Rebates | 8.2 | 9.1 | 9.2 | 9.1 | 8.6 | 9.8 | 8.2 | 9.1 | 9.4 | | | | - | 80.7 | 85.1 | (4.4) | -5.2% |
| Restitution and Settlements | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Student Loans | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| All Other | - | - | - | 1.6 | - | 2.7 | 0.3 | 0.1 | 0.3 | | | | - | 5.0 | 4.0 | 1.0 | 25.0% |
| Sales | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Tuition | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| **Total Miscellaneous Receipts** | **12.4** | **40.1** | **9.9** | **14.6** | **18.2** | **13.1** | **10.7** | **16.0** | **10.8** | **-** | **-** | **-** | **-** | **145.8** | **140.5** | **5.3** | **3.8%** |
| Federal Receipts | 2,865.9 | 3,840.0 | 3,921.2 | 3,224.5 | 4,035.0 | 3,880.4 | 3,611.9 | 3,314.1 | 4,671.0 | | | | - | 33,364.0 | 30,628.1 | 2,735.9 | 8.9% |
| **Total Receipts** | **2,878.3** | **3,880.1** | **3,931.1** | **3,239.1** | **4,053.2** | **3,893.5** | **3,622.6** | **3,330.1** | **4,681.8** | **-** | **-** | **-** | **-** | **33,509.8** | **30,768.6** | **2,741.2** | **8.9%** |
| **DISBURSEMENTS:** | | | | | | | | | | | | | | | | | |
| Local Assistance Grants: | | | | | | | | | | | | | | | | | |
| Education | 446.3 | 452.0 | 345.0 | 225.7 | 164.5 | 108.4 | 188.3 | 196.4 | 225.4 | | | | - | 2,352.0 | 2,877.1 | (525.1) | -18.3% |
| Environment and Recreation | - | 0.1 | - | - | 0.2 | - | - | 0.3 | 0.5 | | | | - | 1.1 | 0.9 | 0.2 | 22.2% |

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - FEDERAL
STATEMENT OF RECEIPTS AND DISBURSEMENTS
FISCAL YEAR 2014-2015
(Amounts in millions)

EXHIBIT G

| | 2014 APRIL | MAY | JUNE | JULY | AUGUST | SEPTEMBER | OCTOBER | NOVEMBER | DECEMBER | 2015 JANUARY | FEBRUARY | MARCH | Intra-Fund Transfer Eliminations (*) | 9 Months Ended December 31 2014 | 2013 | $ Increase/ (Decrease) | % Increase/ Decrease |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| General Government | 2.2 | 2.9 | 8.2 | 1.4 | 11.0 | 2.0 | 1.0 | 9.7 | 13.1 | | | | - | 51.5 | 70.8 | (19.3) | -27.3% |
| Public Health: | | | | | | | | | | | | | | | | | |
| Medicaid | 2,253.8 | 2,084.4 | 2,569.0 | 2,174.8 | 2,567.1 | 2,059.0 | 2,531.4 | 2,464.9 | 2,800.3 | | | | - | 21,504.7 | 18,062.0 | 3,442.7 | 19.1% |
| Other Public Health | 142.0 | 116.0 | 113.4 | 132.0 | 232.5 | 122.9 | 131.1 | 135.2 | 118.9 | | | | - | 1,244.0 | 1,236.4 | 7.6 | 0.6% |
| Public Safety | 54.6 | 152.3 | 37.6 | 62.6 | 571.3 | 29.2 | 33.9 | 882.8 | 179.8 | | | | - | 2,004.1 | 1,464.2 | 539.9 | 36.9% |
| Public Welfare | 363.7 | 260.6 | 467.9 | 352.5 | 317.9 | 775.0 | 221.7 | 240.3 | 414.5 | | | | - | 3,414.1 | 3,778.2 | (364.1) | -9.6% |
| Support and Regulate Business | - | - | 1.5 | - | - | 1.6 | - | 0.3 | - | | | | - | 3.4 | 5.5 | (2.1) | -38.2% |
| Transportation | 2.2 | 4.4 | 6.1 | 4.0 | 5.4 | 3.8 | 6.4 | 3.0 | 8.6 | | | | - | 43.9 | 39.2 | 4.7 | 12.0% |
| **Total Local Assistance Grants** | **3,264.8** | **3,072.7** | **3,548.7** | **2,953.0** | **3,869.9** | **3,101.9** | **3,113.8** | **3,932.9** | **3,761.1** | **-** | **-** | **-** | **-** | **30,618.8** | **27,534.3** | **3,084.5** | **11.2%** |
| Departmental Operations: | | | | | | | | | | | | | | | | | |
| Personal Service | 49.1 | 44.4 | 49.6 | 66.1 | 50.6 | 48.6 | 48.0 | 41.9 | 68.5 | | | | - | 466.8 | 471.7 | (4.9) | -1.0% |
| Non-Personal Service | 89.3 | 64.3 | 53.9 | 96.1 | 104.4 | 189.3 | 127.9 | 76.6 | 120.3 | | | | - | 922.1 | 746.1 | 176.0 | 23.6% |
| General State Charges | 9.3 | 6.6 | 50.7 | 3.2 | 42.3 | 10.2 | 32.9 | 5.8 | 45.5 | | | | - | 206.5 | 228.8 | (22.3) | -9.7% |
| Capital Projects | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| **Total Disbursements** | **3,412.5** | **3,188.0** | **3,702.9** | **3,118.4** | **4,067.2** | **3,350.0** | **3,322.6** | **4,057.2** | **3,995.4** | **-** | **-** | **-** | **-** | **32,214.2** | **28,980.9** | **3,233.3** | **11.2%** |
| **Excess (Deficiency) of Receipts over Disbursements** | **(534.2)** | **692.1** | **228.2** | **120.7** | **(14.0)** | **543.5** | **300.0** | **(727.1)** | **686.4** | **-** | **-** | **-** | **-** | **1,295.6** | **1,787.7** | **(492.1)** | **-27.5%** |
| **OTHER FINANCING SOURCES (USES):** | | | | | | | | | | | | | | | | | |
| Transfers from Other Funds | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Transfers to Other Funds | (183.7) | (178.4) | (97.9) | (101.6) | (279.2) | (257.4) | (259.0) | (137.3) | (151.7) | | | | 379.1 | (1,267.1) | (1,602.2) | (335.1) | -20.9% |
| **Total Other Financing Sources (Uses)** | **(183.7)** | **(178.4)** | **(97.9)** | **(101.6)** | **(279.2)** | **(257.4)** | **(259.0)** | **(137.3)** | **(151.7)** | **-** | **-** | **-** | **379.1** | **(1,267.1)** | **(1,602.2)** | **(335.1)** | **-20.9%** |
| **Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses** | **$ (717.9)** | **$ 513.7** | **$ 130.3** | **$ 19.1** | **$ (293.2)** | **$ 286.1** | **$ 41.0** | **$ (864.4)** | **$ 534.7** | **$ -** | **$ -** | **$ -** | **$ 379.1** | **$ 28.5** | **$ 185.5** | **$ (157.0)** | **-84.6%** |

(*) Intra-Fund transfer eliminations represent transfers to Special Revenue-State Funds.

**STATE OF NEW YORK**
**DEBT SERVICE FUNDS**
**STATEMENT OF CASH FLOW**
**FISCAL YEAR 2014-2015**
**(Amounts in millions)**

**EXHIBIT H**

| | 2014 APRIL | MAY | JUNE | JULY | AUGUST | SEPTEMBER | OCTOBER | NOVEMBER | DECEMBER | 2015 JANUARY | FEBRUARY | MARCH | 9 Months Ended December 31 2014 | 2013 | $ Increase/ (Decrease) | % Increase/ Decrease |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Beginning Fund Balance** | $ 65.1 | $ 486.7 | $ 508.3 | $ 222.9 | $ 708.2 | $ 1,069.0 | $ 136.8 | $ 683.8 | $ 827.4 | | | | $ 65.1 | $ 379.1 | $ (314.0) | -82.8% |
| **RECEIPTS:** | | | | | | | | | | | | | | | | |
| **Taxes:** | | | | | | | | | | | | | | | | |
| Personal Income Tax | 1,338.3 | 525.5 | 1,061.2 | 641.4 | 597.6 | 1,057.6 | 621.8 | 459.2 | 1,240.9 | | | | 7,543.5 | 7,459.2 | 84.3 | 1.1% |
| Consumption/Use Taxes: | | | | | | | | | | | | | | | | |
| Sales and Use | 431.7 | 456.2 | 601.9 | 469.1 | 466.0 | 619.7 | 465.7 | 472.3 | 612.4 | | | | 4,595.0 | 4,454.3 | 140.7 | 3.2% |
| **Total Consumption/Use Taxes** | 431.7 | 456.2 | 601.9 | 469.1 | 466.0 | 619.7 | 465.7 | 472.3 | 612.4 | - | - | - | 4,595.0 | 4,454.3 | 140.7 | 3.2% |
| Other Taxes: | | | | | | | | | | | | | | | | |
| Real Estate Transfer | 73.3 | 72.9 | 78.1 | 69.4 | 84.0 | 75.1 | 80.8 | 78.6 | 80.4 | | | | 692.6 | 598.8 | 93.8 | 15.7% |
| **Total Other Taxes** | 73.3 | 72.9 | 78.1 | 69.4 | 84.0 | 75.1 | 80.8 | 78.6 | 80.4 | - | - | - | 692.6 | 598.8 | 93.8 | 15.7% |
| **Total Taxes** | 1,843.3 | 1,054.6 | 1,741.2 | 1,179.9 | 1,147.6 | 1,752.4 | 1,168.3 | 1,010.1 | 1,933.7 | - | - | - | 12,831.1 | 12,512.3 | 318.8 | 2.5% |
| **Miscellaneous Receipts:** | | | | | | | | | | | | | | | | |
| Assessments: | | | | | | | | | | | | | | | | |
| Medical Care | - | - | - | - | - | - | - | - | 0.4 | | | | 0.4 | - | 0.4 | 100.0% |
| Fees, Licenses and Permits: | | | | | | | | | | | | | | | | |
| Alcohol Beverage Control Licensing | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Business/Professional | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Civil | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Criminal | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Motor Vehicle | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Recreational/Consumer | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Interest Earnings | - | - | 0.1 | - | 0.1 | - | - | - | - | | | | 0.2 | 0.3 | (0.1) | -33.3% |
| Receipts from Municipalities | 1.9 | 0.6 | - | 0.1 | 1.0 | - | - | 1.3 | 0.3 | | | | 5.2 | 8.2 | (3.0) | -36.6% |
| Rentals | - | - | - | - | - | - | - | - | - | | | | - | 143.3 | (143.3) | -100.0% |
| Revenues of State Departments: | | | | | | | | | | | | | | | | |
| Patient/Client Care Reimbursement | 44.6 | 36.9 | 35.4 | 46.3 | 85.9 | 32.6 | 30.9 | 15.7 | 43.3 | | | | 371.6 | 312.5 | 59.1 | 18.9% |
| Sales | - | - | - | - | - | - | - | - | 0.1 | | | | 0.1 | - | 0.1 | 100.0% |
| **Total Miscellaneous Receipts** | 46.5 | 37.5 | 35.5 | 46.4 | 87.0 | 32.6 | 30.9 | 17.0 | 44.1 | - | - | - | 377.5 | 464.3 | (86.8) | -18.7% |
| Federal Receipts | - | - | - | 1.5 | 35.0 | 0.1 | - | - | - | | | | 36.6 | 34.3 | 2.3 | 6.7% |
| **Total Receipts** | 1,889.8 | 1,092.1 | 1,776.7 | 1,227.8 | 1,269.6 | 1,785.1 | 1,199.2 | 1,027.1 | 1,977.8 | - | - | - | 13,245.2 | 13,010.9 | 234.3 | 1.8% |
| **DISBURSEMENTS:** | | | | | | | | | | | | | | | | |
| Departmental Operations: | | | | | | | | | | | | | | | | |
| Non-Personal Service | 1.4 | 1.2 | 2.5 | 8.5 | 2.9 | 4.2 | 0.9 | 1.4 | 1.4 | | | | 24.4 | 25.4 | (1.0) | -3.9% |
| Debt Service, Including Payments On Financing Agreements | 173.2 | 216.8 | 290.8 | 77.7 | 396.9 | 752.3 | 144.6 | 93.1 | 622.3 | | | | 2,767.7 | 3,450.7 | (683.0) | -19.8% |
| **Total Disbursements** | 174.6 | 218.0 | 293.3 | 86.2 | 399.8 | 756.5 | 145.5 | 94.5 | 623.7 | - | - | - | 2,792.1 | 3,476.1 | (684.0) | -19.7% |
| **Excess (Deficiency) of Receipts over Disbursements** | 1,715.2 | 874.1 | 1,483.4 | 1,141.6 | 869.8 | 1,028.6 | 1,053.7 | 932.6 | 1,354.1 | - | - | - | 10,453.1 | 9,534.8 | 918.3 | 9.6% |
| **OTHER FINANCING SOURCES (USES):** | | | | | | | | | | | | | | | | |
| Transfers from Other Funds | 653.2 | (10.2) | 151.1 | 380.9 | 410.4 | 185.9 | 533.0 | 62.6 | 200.8 | | | | 2,567.7 | 3,539.4 | (971.7) | -27.5% |
| Transfers to Other Funds | (1,946.8) | (842.3) | (1,919.9) | (1,037.2) | (919.4) | (2,146.7) | (1,039.7) | (851.6) | (2,009.3) | | | | (12,712.9) | (12,954.4) | (241.5) | -1.9% |
| **Total Other Financing Sources (Uses)** | (1,293.6) | (852.5) | (1,768.8) | (656.3) | (509.0) | (1,960.8) | (506.7) | (789.0) | (1,808.5) | - | - | - | (10,145.2) | (9,415.0) | (730.2) | -7.8% |
| **Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses** | 421.6 | 21.6 | (285.4) | 485.3 | 360.8 | (932.2) | 547.0 | 143.6 | (454.4) | - | - | - | 307.9 | 119.8 | 188.1 | 157.0% |
| **Ending Fund Balance** | $ 486.7 | $ 508.3 | $ 222.9 | $ 708.2 | $ 1,069.0 | $ 136.8 | $ 683.8 | $ 827.4 | $ 373.0 | $ - | $ - | $ - | $ 373.0 | $ 498.9 | $ (125.9) | -25.2% |

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2014-2015
(Amounts in millions)

EXHIBIT I

| | 2014 APRIL | MAY | JUNE | JULY | AUGUST | SEPTEMBER | OCTOBER | NOVEMBER | DECEMBER | 2015 JANUARY | FEBRUARY | MARCH | 9 Months Ended December 31 2014 | 2013 | $ Increase/ (Decrease) | % Increase/ Decrease |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Beginning Fund Balance** | $ (628.7) | $ (617.4) | $ (650.1) | $ (800.7) | $ (786.1) | $ (979.4) | $ (1,124.0) | $ (1,234.8) | $ (1,008.1) | | | | $ (628.7) | $ (486.0) | $ (142.7) | -29.4% |
| **RECEIPTS:** | | | | | | | | | | | | | | | | |
| **Taxes:** | | | | | | | | | | | | | | | | |
| Consumption/Use Taxes: | | | | | | | | | | | | | | | | |
| Auto Rental | 2.3 | - | 16.3 | 1.0 | 0.4 | 23.5 | - | 0.1 | 18.2 | | | | 61.8 | 58.8 | 3.0 | 5.1% |
| Motor Fuel | 32.6 | 36.2 | 29.3 | 32.2 | 39.4 | 32.6 | 32.5 | 29.2 | 31.0 | | | | 295.0 | 286.3 | 8.7 | 3.0% |
| Highway Use | 12.9 | 10.5 | 11.2 | 13.3 | 10.1 | 12.6 | 13.7 | 10.2 | 13.7 | | | | 108.2 | 106.7 | 1.5 | 1.4% |
| **Total Consumption/Use Taxes** | **47.8** | **46.7** | **56.8** | **46.5** | **49.9** | **68.7** | **46.2** | **39.5** | **62.9** | **-** | **-** | **-** | **465.0** | **451.8** | **13.2** | **2.9%** |
| Business Taxes: | | | | | | | | | | | | | | | | |
| Corporation Franchise | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Corporation and Utilities | 0.1 | (0.1) | 2.1 | 0.1 | - | 2.4 | 0.1 | 0.1 | 1.3 | | | | 6.1 | 6.1 | - | 0.0% |
| Petroleum Business | 54.7 | 51.4 | 60.7 | 52.6 | 63.2 | 57.8 | 52.9 | 47.2 | 50.4 | | | | 490.9 | 492.1 | (1.2) | -0.2% |
| **Total Business Taxes** | **54.8** | **51.3** | **62.8** | **52.7** | **63.2** | **60.2** | **53.0** | **47.3** | **51.7** | **-** | **-** | **-** | **497.0** | **498.2** | **(1.2)** | **-0.2%** |
| Other Taxes: | | | | | | | | | | | | | | | | |
| Real Estate Transfer | - | - | 11.9 | 11.9 | 11.9 | 11.9 | 12.0 | 11.9 | 11.9 | | | | 83.4 | 83.4 | - | 0.0% |
| **Total Other Taxes** | **-** | **-** | **11.9** | **11.9** | **11.9** | **11.9** | **12.0** | **11.9** | **11.9** | **-** | **-** | **-** | **83.4** | **83.4** | **-** | **0.0%** |
| **Total Taxes** | **102.6** | **98.0** | **131.5** | **111.1** | **125.0** | **140.8** | **111.2** | **98.7** | **126.5** | **-** | **-** | **-** | **1,045.4** | **1,033.4** | **12.0** | **1.2%** |
| **Miscellaneous Receipts:** | | | | | | | | | | | | | | | | |
| Abandoned Property: | | | | | | | | | | | | | | | | |
| Bottle Bill | - | - | 15.0 | 8.0 | - | - | - | - | - | | | | 23.0 | 15.0 | 8.0 | 53.3% |
| Assessments: | | | | | | | | | | | | | | | | |
| Business | 8.8 | 8.3 | 8.0 | 7.8 | 8.0 | 8.1 | 7.2 | 8.0 | 6.8 | | | | 71.0 | 31.8 | 39.2 | 123.3% |
| Fees, Licenses and Permits: | | | | | | | | | | | | | | | | |
| Business/Professional | 2.3 | 7.4 | 6.9 | 3.6 | 5.8 | 4.9 | 3.8 | 6.9 | 3.1 | | | | 44.7 | 33.8 | 10.9 | 32.2% |
| Motor Vehicle | 55.1 | 61.7 | 63.0 | 55.2 | 54.2 | 56.4 | 49.0 | 50.0 | 46.9 | | | | 491.5 | 518.5 | (27.0) | -5.2% |
| Recreational/Consumer | - | - | - | - | 2.8 | 4.7 | - | 6.5 | - | | | | 14.0 | 19.4 | (5.4) | -27.8% |
| Fines, Penalties and Forfeitures | 2.9 | 2.4 | 1.9 | 1.6 | 2.7 | 1.3 | 1.1 | 2.0 | 0.5 | | | | 16.4 | - | 16.4 | 100.0% |
| Interest Earnings | - | 0.1 | 0.1 | - | - | 0.6 | - | - | 0.1 | | | | 0.9 | 0.4 | 0.5 | 125.0% |
| Receipts from Public Authorities: | | | | | | | | | | | | | | | | |
| Bond Proceeds | 134.6 | 48.2 | 132.6 | 547.3 | 2.8 | 124.9 | 38.2 | 335.9 | 93.1 | | | | 1,457.6 | 2,254.9 | (797.3) | -35.4% |
| Issuance Fees | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Non Bond Related | 0.1 | 5.0 | - | 9.0 | - | (5.0) | - | - | 0.3 | | | | 9.4 | 7.5 | 1.9 | 25.3% |
| Receipts from Municipalities | 0.1 | 0.7 | - | 0.1 | - | - | 0.2 | 0.3 | 5.0 | | | | 6.4 | 2.5 | 3.9 | 156.0% |
| Rentals | 0.2 | 1.1 | 0.6 | 0.4 | 0.4 | 0.5 | 1.3 | 0.7 | 0.5 | | | | 5.7 | 8.5 | (2.8) | -32.9% |
| Revenues of State Departments: | | | | | | | | | | | | | | | | |
| Administrative Recoveries | - | - | - | - | - | - | - | - | - | | | | - | 1.5 | (1.5) | -100.0% |
| Gifts, Grants and Donations | - | - | - | - | - | 14.0 | 0.2 | 0.5 | - | | | | 14.7 | - | 14.7 | 100.0% |
| Restitution and Settlements | - | 1.1 | 0.5 | 0.6 | 0.4 | 0.8 | 0.2 | 0.6 | 0.9 | | | | 5.1 | 2.9 | 2.2 | 75.9% |
| All Other | 0.1 | 1.7 | 1.3 | 1.5 | 0.8 | 0.4 | 0.9 | 2.2 | 0.9 | | | | 9.8 | 9.7 | 0.1 | 1.0% |
| Sales | - | 0.1 | 0.1 | 0.1 | 0.2 | 8.9 | 0.2 | 0.1 | 0.5 | | | | 10.2 | 0.8 | 9.4 | 1,175.0% |
| **Total Miscellaneous Receipts** | **204.2** | **137.8** | **230.0** | **635.2** | **78.1** | **220.5** | **102.3** | **413.7** | **158.6** | **-** | **-** | **-** | **2,180.4** | **2,907.2** | **(726.8)** | **-25.0%** |
| Federal Receipts | 111.6 | 128.6 | 108.8 | 224.4 | 151.8 | 207.6 | 171.6 | 169.4 | 198.2 | | | | 1,472.0 | 1,815.6 | (343.6) | -18.9% |
| **Total Receipts** | **418.4** | **364.4** | **470.3** | **970.7** | **354.9** | **568.9** | **385.1** | **681.8** | **483.3** | **-** | **-** | **-** | **4,697.8** | **5,756.2** | **(1,058.4)** | **-18.4%** |

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2014-2015
(Amounts in millions)

EXHIBIT I

| | 2014 APRIL | MAY | JUNE | JULY | AUGUST | SEPTEMBER | OCTOBER | NOVEMBER | DECEMBER | 2015 JANUARY | FEBRUARY | MARCH | 9 Months Ended December 31 2014 | 2013 | $ Increase/ (Decrease) | % Increase/ Decrease |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **DISBURSEMENTS:** | | | | | | | | | | | | | | | | |
| Local Assistance Grants: | | | | | | | | | | | | | | | | |
| Education | 0.5 | 0.2 | 0.2 | 13.1 | 1.0 | 0.3 | 0.9 | 0.2 | 0.4 | | | | 16.8 | 23.0 | (6.2) | -27.0% |
| Environment and Recreation | 2.3 | 4.1 | 6.9 | 9.0 | 4.2 | 5.6 | 8.6 | 6.9 | 15.6 | | | | 63.2 | 220.2 | (157.0) | -71.3% |
| General Government | 1.2 | 0.3 | 2.6 | 1.7 | 2.3 | 2.5 | 16.9 | 5.3 | 49.5 | | | | 82.3 | 35.7 | 46.6 | 130.5% |
| Public Health: | | | | | | | | | | | | | | | | |
| Medicaid | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Other Public Health | 4.9 | 1.7 | 5.5 | 6.9 | 5.6 | 29.3 | 6.5 | 8.2 | 3.7 | | | | 72.3 | 208.8 | (136.5) | -65.4% |
| Public Safety | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Public Welfare | - | 5.5 | 20.3 | 13.9 | - | - | 7.5 | - | 34.4 | | | | 81.6 | 87.5 | (5.9) | -6.7% |
| Support and Regulate Business | 4.0 | 2.0 | 4.3 | 36.3 | 5.5 | 9.6 | 18.5 | 19.1 | 105.1 | | | | 204.4 | 284.6 | (80.2) | -28.2% |
| Transportation | 55.7 | 31.8 | 104.4 | 32.0 | 28.7 | 147.1 | 53.6 | 32.1 | 299.9 | | | | 785.3 | 610.7 | 174.6 | 28.6% |
| **Total Local Assistance Grants** | **68.6** | **45.6** | **144.2** | **112.9** | **47.3** | **194.4** | **112.5** | **71.8** | **508.6** | **-** | **-** | **-** | **1,305.9** | **1,470.5** | **(164.6)** | **-11.2%** |
| Departmental Operations: | | | | | | | | | | | | | | | | |
| Personal Service | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Non-Personal Service | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| General State Charges | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Capital Projects | 295.7 | 340.5 | 523.1 | 475.0 | 490.3 | 538.0 | 477.2 | 472.1 | 535.6 | | | | 4,147.5 | 4,240.2 | (92.7) | -2.2% |
| **Total Disbursements** | **364.3** | **386.1** | **667.3** | **587.9** | **537.6** | **732.4** | **589.7** | **543.9** | **1,044.2** | **-** | **-** | **-** | **5,453.4** | **5,710.7** | **(257.3)** | **-4.5%** |
| **Excess (Deficiency) of Receipts over Disbursements** | **54.1** | **(21.7)** | **(197.0)** | **382.8** | **(182.7)** | **(163.5)** | **(204.6)** | **137.9** | **(560.9)** | **-** | **-** | **-** | **(755.6)** | **45.5** | **(801.1)** | **-1,760.7%** |
| **OTHER FINANCING SOURCES (USES):** | | | | | | | | | | | | | | | | |
| Bond Proceeds (net) | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Transfers from Other Funds | 35.4 | 73.3 | 126.7 | (286.6) | 148.7 | 198.9 | 177.3 | 167.4 | 560.7 | | | | 1,201.8 | 606.4 | 595.4 | 98.2% |
| Transfers to Other Funds | (78.2) | (84.3) | (80.3) | (81.6) | (159.3) | (180.0) | (83.5) | (78.6) | (78.2) | | | | (904.0) | (963.1) | (59.1) | -6.1% |
| **Total Other Financing Sources (Uses)** | **(42.8)** | **(11.0)** | **46.4** | **(368.2)** | **(10.6)** | **18.9** | **93.8** | **88.8** | **482.5** | **-** | **-** | **-** | **297.8** | **(356.7)** | **654.5** | **183.5%** |
| **Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses** | **11.3** | **(32.7)** | **(150.6)** | **14.6** | **(193.3)** | **(144.6)** | **(110.8)** | **226.7** | **(78.4)** | **-** | **-** | **-** | **(457.8)** | **(311.2)** | **(146.6)** | **-47.1%** |
| **Ending Fund Balance** | **$ (617.4)** | **$ (650.1)** | **$ (800.7)** | **$ (786.1)** | **$ (979.4)** | **$ (1,124.0)** | **$ (1,234.8)** | **$ (1,008.1)** | **$ (1,086.5)** | **$ -** | **$ -** | **$ -** | **$ (1,086.5)** | **$ (797.2)** | **$ (289.3)** | **-36.3%** |

**STATE OF NEW YORK**
**CAPITAL PROJECTS FUNDS - STATE**
**STATEMENT OF RECEIPTS AND DISBURSEMENTS**
**FISCAL YEAR 2014-2015**
**(Amounts in millions)**

EXHIBIT I

| | 2014 APRIL | MAY | JUNE | JULY | AUGUST | SEPTEMBER | OCTOBER | NOVEMBER | DECEMBER | 2015 JANUARY | FEBRUARY | MARCH | Intra-Fund Transfer Eliminations (*) | 9 Months Ended December 31 2014 | 2013 | $ Increase/ (Decrease) | % Increase/ Decrease |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **RECEIPTS:** | | | | | | | | | | | | | | | | | |
| **Taxes:** | | | | | | | | | | | | | | | | | |
| Consumption/Use Taxes | | | | | | | | | | | | | | | | | |
| Auto Rental | $ 2.3 | $ - | $ 16.3 | $ 1.0 | $ 0.4 | $ 23.5 | $ - | $ 0.1 | $ 18.2 | | | | $ - | $ 61.8 | $ 58.8 | $ 3.0 | 5.1% |
| Motor Fuel | 32.6 | 36.2 | 29.3 | 32.2 | 39.4 | 32.6 | 32.5 | 29.2 | 31.0 | | | | - | 295.0 | 286.3 | 8.7 | 3.0% |
| Highway Use | 12.9 | 10.5 | 11.2 | 13.3 | 10.1 | 12.6 | 13.7 | 10.2 | 13.7 | | | | - | 108.2 | 106.7 | 1.5 | 1.4% |
| **Total Consumption/Use Taxes** | **47.8** | **46.7** | **56.8** | **46.5** | **49.9** | **68.7** | **46.2** | **39.5** | **62.9** | **-** | **-** | **-** | **-** | **465.0** | **451.8** | **13.2** | **2.9%** |
| Business Taxes | | | | | | | | | | | | | | | | | |
| Corporation Franchise | - | - | - | - | - | - | - | - | | | | | - | - | - | - | 0.0% |
| Corporation and Utilities | 0.1 | (0.1) | 2.1 | 0.1 | - | 2.4 | 0.1 | 0.1 | 1.3 | | | | - | 6.1 | 6.1 | - | 0.0% |
| Petroleum Business | 54.7 | 51.4 | 60.7 | 52.6 | 63.2 | 57.8 | 52.9 | 47.2 | 50.4 | | | | - | 490.9 | 492.1 | (1.2) | -0.2% |
| **Total Business Taxes** | **54.8** | **51.3** | **62.8** | **52.7** | **63.2** | **60.2** | **53.0** | **47.3** | **51.7** | **-** | **-** | **-** | **-** | **497.0** | **498.2** | **(1.2)** | **-0.2%** |
| Other Taxes | | | | | | | | | | | | | | | | | |
| Real Estate Transfer | - | - | 11.9 | 11.9 | 11.9 | 11.9 | 12.0 | 11.9 | 11.9 | | | | - | 83.4 | 83.4 | - | 0.0% |
| **Total Other Taxes** | **-** | **-** | **11.9** | **11.9** | **11.9** | **11.9** | **12.0** | **11.9** | **11.9** | **-** | **-** | **-** | **-** | **83.4** | **83.4** | **-** | **0.0%** |
| **Total Taxes** | **102.6** | **98.0** | **131.5** | **111.1** | **125.0** | **140.8** | **111.2** | **98.7** | **126.5** | **-** | **-** | **-** | **-** | **1,045.4** | **1,033.4** | **12.0** | **1.2%** |
| **Miscellaneous Receipts:** | | | | | | | | | | | | | | | | | |
| Abandoned Property: | | | | | | | | | | | | | | | | | |
| Bottle Bill | - | - | 15.0 | 8.0 | - | - | - | - | - | | | | - | 23.0 | 15.0 | 8.0 | 53.3% |
| Assessments: | | | | | | | | | | | | | | | | | |
| Business | 8.8 | 8.3 | 8.0 | 7.8 | 8.0 | 8.1 | 7.2 | 8.0 | 6.8 | | | | - | 71.0 | 31.8 | 39.2 | 123.3% |
| Fees, Licenses and Permits: | | | | | | | | | | | | | | | | | |
| Business/Professional | 2.3 | 7.4 | 6.9 | 3.6 | 5.8 | 4.9 | 3.8 | 6.9 | 3.1 | | | | - | 44.7 | 33.8 | 10.9 | 32.2% |
| Motor Vehicle | 55.1 | 61.7 | 63.0 | 55.2 | 54.2 | 56.4 | 49.0 | 50.0 | 46.9 | | | | - | 491.5 | 518.5 | (27.0) | -5.2% |
| Recreational/Consumer | - | - | - | - | 2.8 | 4.7 | - | 6.5 | - | | | | - | 14.0 | 19.4 | (5.4) | -27.8% |
| Fines, Penalties and Forfeitures | 2.9 | 2.4 | 1.9 | 1.6 | 2.7 | 1.3 | 1.1 | 2.0 | 0.5 | | | | - | 16.4 | - | 16.4 | 100.0% |
| Interest Earnings | - | 0.1 | 0.1 | - | - | 0.6 | - | - | 0.1 | | | | - | 0.9 | 0.4 | 0.5 | 125.0% |
| Receipts from Public Authorities: | | | | | | | | | | | | | | | | | |
| Bond Proceeds | 134.6 | 48.2 | 132.6 | 547.3 | 2.8 | 124.9 | 38.2 | 335.9 | 93.1 | | | | - | 1,457.6 | 2,254.9 | (797.3) | -35.4% |
| Issuance Fees | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Non Bond Related | 0.1 | 5.0 | - | 9.0 | - | (5.0) | - | - | 0.3 | | | | - | 9.4 | 7.5 | 1.9 | 25.3% |
| Receipts from Municipalities | 0.1 | 0.7 | - | 0.1 | - | - | 0.2 | 0.3 | 5.0 | | | | - | 6.4 | 2.5 | 3.9 | 156.0% |
| Rentals | 0.1 | 1.1 | 0.5 | 0.4 | 0.3 | 0.5 | 0.9 | 0.7 | 0.4 | | | | - | 4.9 | 7.3 | (2.4) | -32.9% |
| Revenues of State Departments: | | | | | | | | | | | | | | | | | |
| Administrative Recoveries | - | - | - | - | - | - | - | - | - | | | | - | - | 1.5 | (1.5) | -100.0% |
| Gifts, Grants and Donations | - | - | - | - | - | 14.0 | 0.2 | 0.5 | - | | | | - | 14.7 | - | 14.7 | 100.0% |
| Restitution and Settlements | - | 1.1 | 0.5 | 0.6 | 0.4 | 0.8 | 0.2 | 0.6 | 0.9 | | | | - | 5.1 | 2.9 | 2.2 | 75.9% |
| All Other | 0.1 | 1.7 | 1.3 | 1.5 | 0.8 | 0.4 | 0.9 | 2.2 | 0.9 | | | | - | 9.8 | 9.2 | 0.6 | 6.5% |
| Sales | - | 0.1 | 0.1 | 0.1 | 0.2 | 8.8 | 0.1 | 0.1 | 0.5 | | | | - | 10.0 | 0.7 | 9.3 | 1,328.6% |
| **Total Miscellaneous Receipts** | **204.1** | **137.8** | **229.9** | **635.2** | **78.0** | **220.4** | **101.8** | **413.7** | **158.5** | **-** | **-** | **-** | **-** | **2,179.4** | **2,905.4** | **(726.0)** | **-25.0%** |
| Federal Receipts | - | - | - | - | - | 2.5 | - | - | - | | | | - | 2.5 | 2.5 | - | 0.0% |
| **Total Receipts** | **306.7** | **235.8** | **361.4** | **746.3** | **203.0** | **363.7** | **213.0** | **512.4** | **285.0** | **-** | **-** | **-** | **-** | **3,227.3** | **3,941.3** | **(714.0)** | **-18.1%** |

**STATE OF NEW YORK**
**CAPITAL PROJECTS FUNDS - STATE**
**STATEMENT OF RECEIPTS AND DISBURSEMENTS**
**FISCAL YEAR 2014-2015**
**(Amounts in millions)**

EXHIBIT I

| | 2014 APRIL | MAY | JUNE | JULY | AUGUST | SEPTEMBER | OCTOBER | NOVEMBER | DECEMBER | 2015 JANUARY | FEBRUARY | MARCH | Intra-Fund Transfer Eliminations (*) | 9 Months Ended December 31 2014 | 2013 | $ Increase/ (Decrease) | % Increase/ Decrease |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **DISBURSEMENTS:** | | | | | | | | | | | | | | | | | |
| Local Assistance Grants: | | | | | | | | | | | | | | | | | |
| Education | 0.5 | 0.2 | 0.2 | 13.1 | 1.0 | 0.3 | 0.9 | 0.2 | 0.4 | | | | - | 16.8 | 23.0 | (6.2) | -27.0% |
| Environment and Recreation | 2.3 | 4.1 | 6.9 | 9.0 | 4.2 | 5.6 | 8.6 | 7.0 | 15.6 | | | | - | 63.3 | 70.5 | (7.2) | -10.2% |
| General Government | 1.2 | 0.3 | 2.6 | 1.7 | 2.3 | 2.5 | 16.9 | 5.3 | 49.5 | | | | - | 82.3 | 35.7 | 46.6 | 130.5% |
| Public Health: | | | | | | | | | | | | | | | | | |
| Medicaid | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Other Public Health | 4.9 | 1.7 | 5.5 | 6.9 | 5.6 | 3.1 | 6.5 | 8.2 | 3.7 | | | | - | 46.1 | 207.4 | (161.3) | -77.8% |
| Public Safety | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Public Welfare | - | 5.5 | 20.3 | 13.9 | - | - | 7.5 | - | 34.4 | | | | - | 81.6 | 87.5 | (5.9) | -6.7% |
| Support and Regulate Business | 4.0 | 2.0 | 4.3 | 36.3 | 5.5 | 9.6 | 18.5 | 19.1 | 105.1 | | | | - | 204.4 | 284.6 | (80.2) | -28.2% |
| Transportation | 4.5 | 1.1 | 38.5 | 2.9 | 3.6 | 102.7 | 7.3 | 5.6 | 237.2 | | | | - | 403.4 | 79.4 | 324.0 | 408.1% |
| **Total Local Assistance Grants** | **17.4** | **14.9** | **78.3** | **83.8** | **22.2** | **123.8** | **66.2** | **45.4** | **445.9** | **-** | **-** | **-** | **-** | **897.9** | **788.1** | **109.8** | **13.9%** |
| Departmental Operations: | | | | | | | | | | | | | | | | | |
| Personal Service | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Non-Personal Service | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| General State Charges | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Capital Projects | 229.5 | 261.6 | 407.6 | 359.7 | 370.6 | 433.4 | 354.5 | 350.9 | 451.8 | | | | - | 3,219.6 | 3,272.5 | (52.9) | -1.6% |
| **Total Disbursements** | **246.9** | **276.5** | **485.9** | **443.5** | **392.8** | **557.2** | **420.7** | **396.3** | **897.7** | **-** | **-** | **-** | **-** | **4,117.5** | **4,060.6** | **56.9** | **1.4%** |
| **Excess (Deficiency) of Receipts over Disbursements** | **59.8** | **(40.7)** | **(124.5)** | **302.8** | **(189.8)** | **(193.5)** | **(207.7)** | **116.1** | **(612.7)** | **-** | **-** | **-** | **-** | **(890.2)** | **(119.3)** | **(770.9)** | **-646.2%** |
| **OTHER FINANCING SOURCES (USES):** | | | | | | | | | | | | | | | | | |
| Bond Proceeds (net) | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Transfers from Other Funds | 35.4 | 171.9 | 131.3 | (286.6) | 148.7 | 198.9 | 177.3 | 167.4 | 560.7 | | | | (103.2) | 1,201.8 | 606.4 | 595.4 | 98.2% |
| Transfers to Other Funds | (78.2) | (78.6) | (80.3) | (81.6) | (154.0) | (180.0) | (81.3) | (78.6) | (78.2) | | | | - | (890.8) | (963.1) | 72.3 | 7.5% |
| **Total Other Financing Sources (Uses)** | **(42.8)** | **93.3** | **51.0** | **(368.2)** | **(5.3)** | **18.9** | **96.0** | **88.8** | **482.5** | **-** | **-** | **-** | **(103.2)** | **311.0** | **(356.7)** | **667.7** | **187.2%** |
| **Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses** | **$ 17.0** | **$ 52.6** | **$ (73.5)** | **$ (65.4)** | **$ (195.1)** | **$ (174.6)** | **$ (111.7)** | **$ 204.9** | **$ (130.2)** | **$ -** | **$ -** | **$ -** | **$ (103.2)** | **$ (579.2)** | **$ (476.0)** | **$ (103.2)** | **-21.7%** |

(*) Intra-Fund transfer eliminations represent transfers from Capital Projects-Federal Funds.

**STATE OF NEW YORK**
**CAPITAL PROJECTS FUNDS - FEDERAL**
**STATEMENT OF RECEIPTS AND DISBURSEMENTS**
**FISCAL YEAR 2014-2015**
(Amounts in millions)

**EXHIBIT I**

| | 2014 APRIL | MAY | JUNE | JULY | AUGUST | SEPTEMBER | OCTOBER | NOVEMBER | DECEMBER | 2015 JANUARY | FEBRUARY | MARCH | Intra-Fund Transfer Eliminations (*) | 9 Months Ended December 31 2014 | 2013 | $ Increase/ (Decrease) | % Increase/ Decrease |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **RECEIPTS:** | | | | | | | | | | | | | | | | | |
| Miscellaneous Receipts: | | | | | | | | | | | | | | | | | |
| Abandoned Property: | | | | | | | | | | | | | | | | | |
| Bottle Bill | $ - | $ - | $ - | $ - | $ - | $ - | $ - | $ - | $ - | | | | $ - | $ - | $ - | $ - | 0.0% |
| Assessments: | | | | | | | | | | | | | | | | | |
| Business | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Fees, Licenses and Permits: | | | | | | | | | | | | | | | | | |
| Business/Professional | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Motor Vehicle | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Recreational/Consumer | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Fines, Penalties and Forfeitures | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Interest Earnings | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Receipts from Public Authorities: | | | | | | | | | | | | | | | | | |
| Bond Proceeds | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Issuance Fees | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Non Bond Related | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Receipts from Municipalities | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Rentals | 0.1 | - | 0.1 | - | 0.1 | - | 0.4 | - | 0.1 | | | | - | 0.8 | 1.2 | (0.4) | -33.3% |
| Revenues of State Departments: | | | | | | | | | | | | | | | | | |
| Administrative Recoveries | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Gifts, Grants and Donations | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Restitution and Settlements | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| All Other | - | - | - | - | - | - | - | - | - | | | | - | - | 0.5 | (0.5) | -100.0% |
| Sales | - | - | - | - | - | 0.1 | 0.1 | - | - | | | | - | 0.2 | 0.1 | 0.1 | 100.0% |
| **Total Miscellaneous Receipts** | **0.1** | **-** | **0.1** | **-** | **0.1** | **0.1** | **0.5** | **-** | **0.1** | **-** | **-** | **-** | **-** | **1.0** | **1.8** | **(0.8)** | **-44.4%** |
| Federal Receipts | 111.6 | 128.6 | 108.8 | 224.4 | 151.8 | 205.1 | 171.6 | 169.4 | 198.2 | | | | - | 1,469.5 | 1,813.1 | (343.6) | -19.0% |
| **Total Receipts** | **111.7** | **128.6** | **108.9** | **224.4** | **151.9** | **205.2** | **172.1** | **169.4** | **198.3** | **-** | **-** | **-** | **-** | **1,470.5** | **1,814.9** | **(344.4)** | **-19.0%** |
| **DISBURSEMENTS:** | | | | | | | | | | | | | | | | | |
| Local Assistance Grants: | | | | | | | | | | | | | | | | | |
| Education | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Environment and Recreation | - | - | - | - | - | - | - | (0.1) | - | | | | - | (0.1) | 149.7 | (149.8) | -100.1% |
| General Government | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Public Health: | | | | | | | | | | | | | | | | | |
| Medicaid | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Other Public Health | - | - | - | - | - | 26.2 | - | - | - | | | | - | 26.2 | 1.4 | 24.8 | 1,771.4% |
| Public Safety | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Public Welfare | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Support and Regulate Business | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Transportation | 51.2 | 30.7 | 65.9 | 29.1 | 25.1 | 44.4 | 46.3 | 26.5 | 62.7 | | | | - | 381.9 | 531.3 | (149.4) | -28.1% |
| **Total Local Assistance Grants** | **51.2** | **30.7** | **65.9** | **29.1** | **25.1** | **70.6** | **46.3** | **26.4** | **62.7** | **-** | **-** | **-** | **-** | **408.0** | **682.4** | **(274.4)** | **-40.2%** |
| Departmental Operations: | | | | | | | | | | | | | | | | | |
| Personal Service | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Non-Personal Service | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| General State Charges | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Capital Projects | 66.2 | 78.9 | 115.5 | 115.3 | 119.7 | 104.6 | 122.7 | 121.2 | 83.8 | | | | - | 927.9 | 967.7 | (39.8) | -4.1% |
| **Total Disbursements** | **117.4** | **109.6** | **181.4** | **144.4** | **144.8** | **175.2** | **169.0** | **147.6** | **146.5** | **-** | **-** | **-** | **-** | **1,335.9** | **1,650.1** | **(314.2)** | **-19.0%** |
| **Excess (Deficiency) of Receipts over Disbursements** | **(5.7)** | **19.0** | **(72.5)** | **80.0** | **7.1** | **30.0** | **3.1** | **21.8** | **51.8** | **-** | **-** | **-** | **-** | **134.6** | **164.8** | **(30.2)** | **-18.3%** |
| **OTHER FINANCING SOURCES (USES):** | | | | | | | | | | | | | | | | | |
| Transfers from Other Funds | - | - | - | - | - | - | - | - | - | | | | - | - | - | - | 0.0% |
| Transfers to Other Funds | - | (104.3) | (4.6) | - | (5.3) | - | (2.2) | - | - | | | | 103.2 | (13.2) | - | (13.2) | -100.0% |
| **Total Other Financing Sources (Uses)** | **-** | **(104.3)** | **(4.6)** | **-** | **(5.3)** | **-** | **(2.2)** | **-** | **-** | **-** | **-** | **-** | **103.2** | **(13.2)** | **-** | **(13.2)** | **-100.0%** |
| **Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses** | **$ (5.7)** | **$ (85.3)** | **$ (77.1)** | **$ 80.0** | **$ 1.8** | **$ 30.0** | **$ 0.9** | **$ 21.8** | **$ 51.8** | **$ -** | **$ -** | **$ -** | **$ 103.2** | **$ 121.4** | **$ 164.8** | **$ (43.4)** | **-26.3%** |

(*) Intra-Fund transfer eliminations represent transfers to Capital Projects-State Funds.

**STATE OF NEW YORK**
**ENTERPRISE FUNDS**
**STATEMENT OF CASH FLOW**
**FISCAL YEAR 2014-2015**
**(Amounts in millions)**

**EXHIBIT J**

| | 2014 APRIL | MAY | JUNE | JULY | AUGUST | SEPTEMBER | OCTOBER | NOVEMBER | DECEMBER | 2015 JANUARY | FEBRUARY | MARCH | 9 Months Ended December 31 2014 | 2013 | $ Increase/ (Decrease) | % Increase/ Decrease |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Beginning Fund Balance** | $ 62.5 | $ 87.3 | $ 96.3 | $ 78.5 | $ 105.0 | $ 136.0 | $ 57.0 | $ 76.4 | $ 74.2 | | | | $ 62.5 | $ 83.7 | $ (21.2) | -25.3% |
| **RECEIPTS:** | | | | | | | | | | | | | | | | |
| Miscellaneous Receipts | 4.8 | 5.3 | 5.7 | 14.0 | 35.7 | 9.4 | 7.3 | 3.6 | 4.0 | | | | 89.8 | 136.6 | (46.8) | -34.3% |
| Federal Receipts | 9.2 | 2.8 | 2.4 | 3.0 | 4.7 | 4.2 | 3.3 | 3.0 | 3.6 | | | | 36.2 | 1,399.1 | (1,362.9) | -97.4% |
| Unemployment Taxes | 244.8 | 185.9 | 172.3 | 217.1 | 183.5 | 175.8 | 181.8 | 165.0 | 234.4 | | | | 1,760.6 | 2,167.8 | (407.2) | -18.8% |
| **Total Receipts** | 258.8 | 194.0 | 180.4 | 234.1 | 223.9 | 189.4 | 192.4 | 171.6 | 242.0 | - | - | - | 1,886.6 | 3,703.5 | (1,816.9) | -49.1% |
| **DISBURSEMENTS:** | | | | | | | | | | | | | | | | |
| Departmental Operations: | | | | | | | | | | | | | | | | |
| Personal Service | 0.4 | 0.4 | 0.4 | 0.7 | 0.4 | 2.0 | 0.6 | - | 0.5 | | | | 5.4 | 5.4 | - | 0.0% |
| Non-Personal Service | 2.4 | 4.2 | 4.3 | 4.0 | 5.9 | 68.0 | 5.4 | 3.6 | 3.7 | | | | 101.5 | 125.0 | (23.5) | -18.8% |
| General State Charges | - | - | 0.2 | - | 0.1 | 0.4 | - | 0.1 | - | | | | 0.8 | 1.7 | (0.9) | -52.9% |
| Unemployment Benefits | 231.2 | 180.4 | 193.3 | 202.9 | 186.5 | 197.7 | 167.0 | 170.1 | 245.4 | | | | 1,774.5 | 3,615.7 | (1,841.2) | -50.9% |
| **Total Disbursements** | 234.0 | 185.0 | 198.2 | 207.6 | 192.9 | 268.1 | 173.0 | 173.8 | 249.6 | - | - | - | 1,882.2 | 3,747.8 | (1,865.6) | -49.8% |
| **Excess (Deficiency) of Receipts over Disbursements** | 24.8 | 9.0 | (17.8) | 26.5 | 31.0 | (78.7) | 19.4 | (2.2) | (7.6) | - | - | - | 4.4 | (44.3) | 48.7 | 109.9% |
| **OTHER FINANCING SOURCES (USES):** | | | | | | | | | | | | | | | | |
| Transfers from Other Funds | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Transfers to Other Funds | - | - | - | - | - | (0.3) | - | - | - | | | | (0.3) | - | 0.3 | 100.0% |
| **Total Other Financing Sources (Uses)** | - | - | - | - | - | (0.3) | - | - | - | - | - | - | (0.3) | - | 0.3 | 100.0% |
| **Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses** | 24.8 | 9.0 | (17.8) | 26.5 | 31.0 | (79.0) | 19.4 | (2.2) | (7.6) | - | - | - | 4.1 | (44.3) | 49.0 | 110.6% |
| **Ending Fund Balance** | $ 87.3 | $ 96.3 | $ 78.5 | $105.0 | $ 136.0 | $ 57.0 | $ 76.4 | $ 74.2 | $ 66.6 | $ - | $ - | $ - | $ 66.6 | $ 39.4 | $ 27.2 | 69.0% |

**STATE OF NEW YORK**
**INTERNAL SERVICE FUNDS**
**STATEMENT OF CASH FLOW**
**FISCAL YEAR 2014-2015**
**(Amounts in millions)**

**EXHIBIT K**

| | 2014 APRIL | MAY | JUNE | JULY | AUGUST | SEPTEMBER | OCTOBER | NOVEMBER | DECEMBER | 2015 JANUARY | FEBRUARY | MARCH | 9 Months Ended December 31 2014 | 2013 | $ Increase/ (Decrease) | % Increase/ Decrease |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Beginning Fund Balance** | $ (72.7) | $ (86.1) | $ (116.6) | $ (152.2) | $ (162.6) | $ (143.0) | $ (183.4) | $ (205.4) | $ (216.2) | | | | $ (72.7) | $ (6.4) | $ (66.3) | -1,035.9% |
| **RECEIPTS:** | | | | | | | | | | | | | | | | |
| Miscellaneous Receipts | 22.3 | 36.1 | 42.4 | 30.1 | 38.1 | 50.8 | 31.0 | 34.1 | 35.7 | | | | 320.6 | 315.3 | 5.3 | 1.7% |
| **Total Receipts** | **22.3** | **36.1** | **42.4** | **30.1** | **38.1** | **50.8** | **31.0** | **34.1** | **35.7** | - | - | - | **320.6** | **315.3** | **5.3** | **1.7%** |
| **DISBURSEMENTS:** | | | | | | | | | | | | | | | | |
| Departmental Operations: | | | | | | | | | | | | | | | | |
| Personal Service | 6.7 | 7.1 | 9.1 | 9.4 | 6.4 | 6.4 | 7.0 | 6.4 | 9.0 | | | | 67.5 | 84.1 | (16.6) | -19.7% |
| Non-Personal Service | 30.6 | 55.8 | 62.3 | 30.4 | 27.1 | 77.3 | 44.2 | 31.7 | 52.1 | | | | 411.5 | 353.8 | 57.7 | 16.3% |
| General State Charges | 2.0 | 5.1 | 7.1 | 1.3 | 1.9 | 5.8 | 3.8 | 9.6 | 1.9 | | | | 38.5 | 42.7 | (4.2) | -9.8% |
| **Total Disbursements** | **39.3** | **68.0** | **78.5** | **41.1** | **35.4** | **89.5** | **55.0** | **47.7** | **63.0** | - | - | - | **517.5** | **480.6** | **36.9** | **7.7%** |
| **Excess (Deficiency) of Receipts over Disbursements** | **(17.0)** | **(31.9)** | **(36.1)** | **(11.0)** | **2.7** | **(38.7)** | **(24.0)** | **(13.6)** | **(27.3)** | - | - | - | **(196.9)** | **(165.3)** | **(31.6)** | **-19.1%** |
| **OTHER FINANCING SOURCES (USES):** | | | | | | | | | | | | | | | | |
| Transfers from Other Funds | 3.6 | 1.4 | 1.6 | 0.6 | 16.9 | 14.7 | 2.0 | 2.8 | 1.8 | | | | 45.4 | 60.0 | (14.6) | -24.3% |
| Transfers to Other Funds | - | - | (1.1) | - | - | (16.4) | - | - | (0.2) | | | | (17.7) | (18.1) | (0.4) | -2.2% |
| **Total Other Financing Sources (Uses)** | **3.6** | **1.4** | **0.5** | **0.6** | **16.9** | **(1.7)** | **2.0** | **2.8** | **1.6** | - | - | - | **27.7** | **41.9** | **(14.2)** | **-33.9%** |
| **Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses** | **(13.4)** | **(30.5)** | **(35.6)** | **(10.4)** | **19.6** | **(40.4)** | **(22.0)** | **(10.8)** | **(25.7)** | - | - | - | **(169.2)** | **(123.4)** | **(45.8)** | **-37.1%** |
| **Ending Fund Balance** | $ (86.1) | $ (116.6) | $ (152.2) | $ (162.6) | $ (143.0) | $ (183.4) | $ (205.4) | $ (216.2) | $ (241.9) | $ - | $ - | $ - | $ (241.9) | $ (129.8) | $ (112.1) | -86.4% |

**STATE OF NEW YORK**
**PENSION TRUST FUNDS**
**STATEMENT OF CASH FLOW**
**FISCAL YEAR 2014-2015**
**(Amounts in millions)**

**EXHIBIT L**

| | 2014 APRIL | MAY | JUNE | JULY | AUGUST | SEPTEMBER | OCTOBER | NOVEMBER | DECEMBER | 2015 JANUARY | FEBRUARY | MARCH | 9 Months Ended December 31 2014 | 2013 | $ Increase/ (Decrease) | % Increase/ Decrease |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Beginning Fund Balance** | $ (3.9) | $ (4.4) | $ (0.2) | $ (0.8) | $ (1.8) | $ (0.1) | $ (1.2) | $ (1.7) | $ (4.5) | | | | $ (3.9) | $ (3.7) | $ (0.2) | -5.4% |
| **RECEIPTS:** | | | | | | | | | | | | | | | | |
| Miscellaneous Receipts | 4.8 | 14.7 | 4.6 | 6.8 | 15.0 | 4.6 | 4.5 | 16.1 | 6.8 | | | | 77.9 | 83.0 | (5.1) | -6.1% |
| **Total Receipts** | 4.8 | 14.7 | 4.6 | 6.8 | 15.0 | 4.6 | 4.5 | 16.1 | 6.8 | - | - | - | 77.9 | 83.0 | (5.1) | -6.1% |
| **DISBURSEMENTS:** | | | | | | | | | | | | | | | | |
| Departmental Operations: | | | | | | | | | | | | | | | | |
| Personal Service | 4.8 | 4.5 | 4.6 | 6.8 | 4.5 | 4.5 | 4.5 | 4.6 | 3.3 | | | | 42.1 | 43.6 | (1.5) | -3.4% |
| Non-Personal Service | 0.5 | 1.0 | 0.6 | 1.0 | 1.0 | 1.2 | 0.5 | 5.3 | 1.1 | | | | 12.2 | 15.3 | (3.1) | -20.3% |
| General State Charges | - | 5.0 | - | - | 7.8 | - | - | 9.0 | (0.1) | | | | 21.7 | 23.4 | (1.7) | -7.3% |
| **Total Disbursements** | 5.3 | 10.5 | 5.2 | 7.8 | 13.3 | 5.7 | 5.0 | 18.9 | 4.3 | - | - | - | 76.0 | 82.3 | (6.3) | -7.7% |
| **Excess (Deficiency) of Receipts over Disbursements** | (0.5) | 4.2 | (0.6) | (1.0) | 1.7 | (1.1) | (0.5) | (2.8) | 2.5 | - | - | - | 1.9 | 0.7 | 1.2 | 171.4% |
| **OTHER FINANCING SOURCES (USES):** | | | | | | | | | | | | | | | | |
| Transfers from Other Funds | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Transfers to Other Funds | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| **Total Other Financing Sources (Uses)** | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | 0.0% |
| **Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses** | (0.5) | 4.2 | (0.6) | (1.0) | 1.7 | (1.1) | (0.5) | (2.8) | 2.5 | - | - | - | 1.9 | 0.7 | 1.2 | 171.4% |
| **Ending Fund Balance** | $ (4.4) | $ (0.2) | $ (0.8) | $ (1.8) | $ (0.1) | $ (1.2) | $ (1.7) | $ (4.5) | $ (2.0) | $ - | $ - | $ - | $ (2.0) | $ (3.0) | $ 1.0 | 33.3% |

**STATE OF NEW YORK**
**PRIVATE PURPOSE TRUST FUNDS**
**STATEMENT OF CASH FLOW**
**FISCAL YEAR 2014-2015**
**(Amounts in millions)**

**EXHIBIT M**

| | 2014 | | | | | | | | | 2015 | | | 9 Months Ended December 31 | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | APRIL | MAY | JUNE | JULY | AUGUST | SEPTEMBER | OCTOBER | NOVEMBER | DECEMBER | JANUARY | FEBRUARY | MARCH | 2014 | 2013 | $ Increase/ (Decrease) | % Increase/ Decrease |
| **Beginning Fund Balance** | $ 10.9 | $ 11.0 | $ 11.1 | $ 11.3 | $ 11.3 | $ 11.3 | $ 11.3 | $ 11.4 | $ 11.5 | | | | $ 10.9 | $ 10.3 | $ 0.6 | 5.8% |
| **RECEIPTS:** | | | | | | | | | | | | | | | | |
| Miscellaneous Receipts | 0.1 | 0.1 | 0.2 | 0.1 | - | 0.1 | 0.1 | 0.1 | - | | | | 0.8 | 0.8 | - | 0.0% |
| **Total Receipts** | 0.1 | 0.1 | 0.2 | 0.1 | - | 0.1 | 0.1 | 0.1 | - | - | - | - | 0.8 | 0.8 | - | 0.0% |
| **DISBURSEMENTS:** | | | | | | | | | | | | | | | | |
| Departmental Operations: | | | | | | | | | | | | | | | | |
| Personal Service | - | - | - | 0.1 | - | - | - | - | 0.1 | | | | 0.2 | 0.1 | 0.1 | 100.0% |
| Non-Personal Service | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| General State Charges | - | - | - | - | - | 0.1 | - | - | - | | | | 0.1 | 0.1 | - | 0.0% |
| **Total Disbursements** | - | - | - | 0.1 | - | 0.1 | - | - | 0.1 | - | - | - | 0.3 | 0.2 | 0.1 | 50.0% |
| **Excess (Deficiency) of Receipts over Disbursements** | 0.1 | 0.1 | 0.2 | - | - | - | 0.1 | 0.1 | (0.1) | - | - | - | 0.5 | 0.6 | (0.1) | -16.7% |
| **OTHER FINANCING SOURCES (USES):** | | | | | | | | | | | | | | | | |
| Transfers from Other Funds | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| Transfers to Other Funds | - | - | - | - | - | - | - | - | - | | | | - | - | - | 0.0% |
| **Total Other Financing Sources (Uses)** | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | 0.0% |
| **Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses** | 0.1 | 0.1 | 0.2 | - | - | - | 0.1 | 0.1 | (0.1) | - | - | - | 0.5 | 0.6 | (0.1) | -16.7% |
| **Ending Fund Balance** | $ 11.0 | $ 11.1 | $ 11.3 | $ 11.3 | $ 11.3 | $ 11.3 | $ 11.4 | $ 11.5 | $ 11.4 | $ - | $ - | $ - | $ 11.4 | $ 10.9 | $ 0.5 | 4.6% |

STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
CHANGES IN FUND BALANCES
FOR THE MONTH OF DECEMBER 2014
(Amounts in millions)

SCHEDULE 1

| | BALANCE DECEMBER 1, 2014 | RECEIPTS | DISBURSEMENTS | OTHER FINANCING SOURCES (USES) | BALANCE DECEMBER 31, 2014 |
|---|---|---|---|---|---|
| **GENERAL FUND** | | | | | |
| 10000-10049-Local Assistance Account | $ - | $ 0.017 | $ 3,847.495 | $ 3,847.478 | $ - |
| 10050-10099-State Operations Account | 6,480.365 | 5,486.619 | 845.616 | (2,945.790) | 8,175.578 |
| 10100-10149-Tax Stabilization Reserve | - | - | - | - | - |
| 10150-10199-Contingency Reserve | - | - | - | - | - |
| 10200-10249-Universal Pre-K Reserve | - | - | - | - | - |
| 10250-10299-Community Projects | 78.570 | - | 0.580 | - | 77.990 |
| 10300-10349-Rainy Day Reserve Fund | - | - | - | - | - |
| 10400-10449-Refund Reserve Account | - | - | - | - | - |
| 10500-10549-Fringe Benefits Escrow | - | 183.819 | 183.819 | - | - |
| 10550-10599-Tobacco Revenue Guarantee | - | - | - | - | - |
| **TOTAL GENERAL FUND** | **6,558.935** | **5,670.455** | **4,877.510** | **901.688** | **8,253.568** |
| **SPECIAL REVENUE FUNDS-STATE** | | | | | |
| 20000-20099-Mental Health Gifts and Donations | 2.286 | (0.028) | 0.006 | - | 2.252 |
| 20100-20299-Combined Expendable Trust | 66.059 | 0.452 | 0.761 | - | 65.750 |
| 20300-20349-New York Interest on Lawyer Account | 9.740 | 0.786 | 0.232 | - | 10.294 |
| 20350-20399-NYS Archives Partnership Trust | 0.222 | - | 0.076 | (0.024) | 0.122 |
| 20400-20449-Child Performer's Protection | 0.236 | 0.004 | 0.072 | - | 0.168 |
| 20450-20499-Tuition Reimbursement | 5.964 | 0.389 | 0.221 | (0.457) | 5.675 |
| 20500-20549-New York State Local Government Records Management Improvement | 2.449 | 0.745 | 0.530 | (0.920) | 1.744 |
| 20550-20599-School Tax Relief | 0.003 | 124.125 | 124.125 | - | 0.003 |
| 20600-20649-Charter Schools Stimulus | 0.829 | - | - | - | 0.829 |
| 20650-20699-Not-For-Profit Short Term Revolving Loan | - | - | - | - | - |
| 20800-20849-HCRA Resources | 84.406 | 488.092 | 473.078 | (0.765) | 98.655 |
| 20850-20899-Dedicated Mass Transportation Trust | 58.871 | 47.516 | 44.071 | 15.665 | 77.981 |
| 20900-20949-State Lottery | (457.809) | 277.383 | 162.994 | - | (343.420) |
| 20950-20999-Combined Student Loan | 14.529 | 2.418 | 0.510 | - | 16.437 |
| 21000-21049-Sewage Treatment Program Mgmt. & Administration | (2.482) | - | 0.286 | - | (2.768) |
| 21050-21149-EnCon Special Revenue | (31.191) | 8.581 | 6.921 | 1.321 | (28.210) |
| 21150-21199-Conservation | 89.378 | 5.374 | 3.032 | - | 91.720 |
| 21200-21249-Environmental Protection and Oil Spill Compensation | 25.112 | 4.237 | 4.674 | (3.275) | 21.400 |
| 21250-21299-Training and Education Program on OSHA | 8.093 | 1.001 | 7.762 | - | 1.332 |
| 21300-21349-Lawyers' Fund for Client Protection | 8.995 | 0.637 | 0.244 | - | 9.388 |
| 21350-21399-Equipment Loan for the Disabled | 0.514 | 0.002 | - | - | 0.516 |
| 21400-21449-Mass Transportation Operating Assistance | (95.124) | 269.997 | 567.587 | (22.559) | (415.273) |
| 21450-21499-Clean Air | (18.724) | 2.454 | 2.536 | - | (18.806) |
| 21500-21549-New York State Infrastructure Trust | 0.069 | - | - | - | 0.069 |
| 21550-21599-Legislative Computer Services | 10.591 | 0.080 | 0.061 | - | 10.610 |
| 21600-21649-Biodiversity Stewardship and Research | - | - | - | - | - |
| 21650-21699-Combined Non-Expendable Trust | 3.488 | - | - | - | 3.488 |
| 21700-21749-Winter Sports Education Trust | - | - | - | - | - |
| 21750-21799-Musical Instrument Revolving | 0.001 | - | - | - | 0.001 |
| 21850-21899-Arts Capital Revolving | 0.816 | 0.001 | - | - | 0.817 |
| 21900-22499-Miscellaneous State Special Revenue | 750.571 | 330.680 | 873.869 | 588.050 | 795.432 |

STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
CHANGES IN FUND BALANCES
FOR THE MONTH OF DECEMBER 2014
(Amounts in millions)

SCHEDULE 1

| | BALANCE DECEMBER 1, 2014 | RECEIPTS | DISBURSEMENTS | OTHER FINANCING SOURCES (USES) | BALANCE DECEMBER 31, 2014 |
|---|---|---|---|---|---|
| SPECIAL REVENUE FUNDS-STATE (CONTINUED) | | | | | |
| 22500-22549-Court Facilities Incentive Aid | 11.663 | 0.001 | 7.016 | (0.164) | 4.484 |
| 22550-22599-Employment Training | 0.049 | - | - | - | 0.049 |
| 22650-22699-State University Income | 999.059 | 249.008 | 623.790 | 25.594 | 649.871 |
| 22700-22749-Chemical Dependence Service | 17.692 | 0.134 | 0.777 | - | 17.049 |
| 22750-22799-Lake George Park Trust | 0.369 | - | 0.078 | - | 0.291 |
| 22800-22849-State Police Motor Vehicle Law Enforcement and Motor Vehicle Theft and Insurance Fraud Prevention | 62.194 | 9.375 | 1.502 | - | 70.067 |
| 22850-22899-New York Great Lakes Protection | 0.265 | - | 0.010 | - | 0.255 |
| 22900-22949-Federal Revenue Maximization | 0.023 | - | - | - | 0.023 |
| 22950-22999-Housing Development | 10.453 | 0.001 | 0.582 | - | 9.872 |
| 23000-23049-NYS/DOT Highway Safety Program | (6.081) | 0.104 | 0.435 | - | (6.412) |
| 23050-23099-Vocational Rehabilitation | 0.168 | 0.003 | - | (0.032) | 0.139 |
| 23100-23149-Drinking Water Program Management and Administration | (7.580) | - | 0.470 | - | (8.050) |
| 23150-23199-NYC County Clerks' Operations Offset | (38.080) | - | 2.785 | - | (40.865) |
| 23200-23249-Judiciary Data Processing Offset | 9.673 | 2.182 | 2.511 | - | 9.344 |
| 23250-23449-IFR/CUTRA | 122.824 | 1.694 | 4.748 | - | 119.770 |
| 23500-23549-USOC Lake Placid Training | 0.093 | - | - | - | 0.093 |
| 23550-23599-Indigent Legal Services | 121.682 | 6.929 | 1.980 | 33.442 | 160.073 |
| 23600-23649-Unemployment Insurance Interest and Penalty | 12.488 | 1.343 | 0.692 | - | 13.139 |
| 23650-23699-MTA Financial Assistance Fund | 181.696 | 132.801 | 228.770 | 1.772 | 87.499 |
| 23700-23749-New York State Commercial Gaming Fund | (5.579) | - | 0.554 | - | (6.133) |
| 40350-40399-State University Dormitory Income | 145.957 | 35.964 | - | (33.559) | 148.362 |
| **TOTAL SPECIAL REVENUE FUNDS-STATE** | **2,176.920** | **2,004.465** | **3,150.348** | **604.089** | **1,635.126** |
| SPECIAL REVENUE FUNDS-FEDERAL | | | | | |
| 25000-25099-Federal USDA/Food and Consumer Services | (15.128) | 179.400 | 158.238 | - | 6.034 |
| 25100-25199-Federal Health and Human Services | (182.108) | 3,365.852 | 3,365.434 | (151.608) | (333.298) |
| 25200-25249-Federal Education | (34.030) | 213.878 | 212.086 | (0.069) | (32.307) |
| 25300-25899-Federal Miscellaneous Operating Grants | (846.184) | 881.052 | 219.435 | (0.019) | (184.586) |
| 25900-25949-Unemployment Insurance Administration | 72.153 | 21.311 | 27.128 | - | 66.336 |
| 25950-25999-Unemployment Insurance Occupational Training | 1.276 | 1.000 | 0.906 | - | 1.370 |
| 26000-26049-Federal Employment and Training Grants | (7.201) | 19.231 | 12.072 | - | (0.042) |
| **TOTAL SPECIAL REVENUE FUNDS-FEDERAL** | **(1,011.222)** | **4,681.724** | **3,995.299** | **(151.696)** | **(476.493)** |
| **TOTAL SPECIAL REVENUE FUNDS** | **1,165.698** | **6,686.189** | **7,145.647** | **452.393** | **1,158.633** |
| DEBT SERVICE FUNDS | | | | | |
| 40000-40049-Debt Reduction Reserve | - | - | - | - | - |
| 40100-40149-Mental Health Services | 185.121 | 21.435 | 0.001 | 45.130 | 251.685 |
| 40150-40199-General Debt Service | 596.231 | 1,547.135 | 623.520 | (1,455.592) | 64.254 |
| 40250-40299-State Housing Debt Service | - | 0.226 | - | (0.226) | - |
| 40300-40349-Department of Health Income | 18.569 | 22.455 | - | (15.414) | 25.610 |
| 40400-40449-Clean Water/Clean Air | 23.482 | 80.431 | - | (75.884) | 28.029 |
| 40450-40499-Local Government Assistance Tax | 3.969 | 306.191 | 0.212 | (306.543) | 3.405 |
| **TOTAL DEBT SERVICE FUNDS** | **827.372** | **1,977.873** | **623.733** | **(1,808.529)** | **372.983** |

STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
CHANGES IN FUND BALANCES
FOR THE MONTH OF DECEMBER 2014
(Amounts in millions)

SCHEDULE 1

| | BALANCE DECEMBER 1, 2014 | RECEIPTS | DISBURSEMENTS | OTHER FINANCING SOURCES (USES) | BALANCE DECEMBER 31, 2014 |
|---|---|---|---|---|---|
| CAPITAL PROJECTS FUNDS | | | | | |
| 30000-30049-State Capital Projects | - | 4.985 | 536.482 | 531.497 | - |
| 30050-30099-Dedicated Highway and Bridge Trust | (528.553) | 171.732 | 260.393 | (61.526) | (678.740) |
| 30100-30299-SUNY Residence Halls Rehabilitation and Repair | 106.204 | 2.036 | 3.297 | 2.710 | 107.653 |
| 30300-30349-New York State Canal System Development | 3.173 | 0.190 | - | - | 3.363 |
| 30350-30399-Parks Infrastructure | (108.010) | (0.040) | 10.240 | - | (118.290) |
| 30400-30449-Passenger Facility Charge | 0.014 | - | - | - | 0.014 |
| 30450-30499-Environmental Protection | 67.945 | 12.604 | 13.734 | - | 66.815 |
| 30500-30549-Clean Water/Clean Air Implementation | - | - | - | - | - |
| 30600-30609-Energy Conservation Thru Improved Transportation Bond | 0.164 | - | - | - | 0.164 |
| 30610-30619-Park and Recreation Land Acquisition Bond | - | - | - | - | - |
| 30620-30629-Pure Waters Bond | 0.668 | - | - | - | 0.668 |
| 30630-30639-Transportation Capital Facilities Bond | 3.328 | - | - | - | 3.328 |
| 30640-30649-Environmental Quality Protection Bond | 1.816 | - | - | - | 1.816 |
| 30650-30659-Rebuild and Renew New York Transportation Bond | 20.843 | - | - | (0.398) | 20.445 |
| 30660-30669-Transportation Infrastructure Renewal Bond | 4.255 | - | - | - | 4.255 |
| 30670-30679-1986 Environmental Quality Bond Act | 12.125 | - | - | (0.248) | 11.877 |
| 30680-30689-Accelerated Capacity and Transportation Improvement Bond | 2.814 | - | - | - | 2.814 |
| 30690-30699-Clean Water/Clean Air Bond | 2.725 | - | - | (0.815) | 1.910 |
| 30700-30749-State Housing Bond | - | - | - | - | - |
| 30750-30799-Outdoor Recreation Development Bond | - | - | - | - | - |
| 30900-30949-Rail Preservation and Development Bond | - | - | - | - | - |
| 31350-31449-Federal Capital Projects | (217.974) | 198.266 | 146.495 | - | (166.203) |
| 31450-31499-Forest Preserve Expansion | 0.897 | - | - | - | 0.897 |
| 31500-31549-Hazardous Waste Remedial | (90.964) | 1.868 | 6.740 | (0.151) | (95.987) |
| 31650-31699-Suburban Transportation | 0.506 | - | - | - | 0.506 |
| 31700-31749-Division for Youth Facilities Improvement | (6.611) | 4.111 | 1.745 | - | (4.245) |
| 31800-31849-Housing Assistance | (13.150) | 0.178 | 1.001 | - | (13.973) |
| 31850-31899-Housing Program | (127.609) | 63.962 | 33.521 | - | (97.168) |
| 31900-31949-Natural Resource Damage | 15.159 | 0.001 | 0.092 | - | 15.068 |
| 31950-31999-DOT Engineering Services | (12.531) | - | 0.038 | - | (12.569) |
| 32200-32249-Miscellaneous Capital Projects | 39.577 | 0.477 | 0.854 | 3.500 | 42.700 |
| 32250-32299-CUNY Capital Projects | (0.023) | - | - | - | (0.023) |
| 32300-32349-Mental Hygiene Facilities Capital Improvement | (432.494) | 22.846 | 7.996 | - | (417.644) |
| 32350-32399-Correction Facilities Capital Improvement | (16.963) | - | 17.811 | - | (34.774) |
| 32400-32999-State University Capital Projects | 274.578 | 0.021 | 3.769 | 7.974 | 278.804 |
| 33000-33049-NYS Storm Recovery Fund | (10.001) | - | - | - | (10.001) |
| TOTAL CAPITAL PROJECTS FUNDS | (1,008.092) | 483.237 | 1,044.208 | 482.543 | (1,086.520) |
| TOTAL GOVERNMENTAL FUNDS | $ 7,543.913 | $ 14,817.754 | $ 13,691.098 | $ 28.095 | $ 8,698.664 |

STATE OF NEW YORK
PROPRIETARY FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
CHANGES IN FUND BALANCES
FOR THE MONTH OF DECEMBER 2014
(Amounts in millions)

SCHEDULE 2

| FUND TYPE | BALANCE DECEMBER 1, 2014 | RECEIPTS | DISBURSEMENTS | OTHER FINANCING SOURCES (USES) | BALANCE DECEMBER 31, 2014 |
|---|---|---|---|---|---|
| **ENTERPRISE FUNDS** | | | | | |
| 50000-50049-Youth Commissary | $ 0.201 | $ 0.005 | $ 0.001 | $ - | $ 0.205 |
| 50050-50099-State Exposition Special | 1.040 | (0.098) | 0.707 | - | 0.235 |
| 50100-50299-Correctional Services Commissary | 2.510 | 3.220 | 3.071 | - | 2.659 |
| 50300-50399-Agencies Enterprise | 3.440 | 0.168 | 0.218 | - | 3.390 |
| 50400-50449-Sheltered Workshop | 1.825 | 0.038 | 0.099 | - | 1.764 |
| 50450-50499-Patient Workshop | 1.326 | 0.023 | 0.019 | - | 1.330 |
| 50500-50599-Mental Hygiene Community Stores | 4.089 | 0.102 | 0.075 | - | 4.116 |
| 50650-50699-Unemployment Insurance Benefit | 59.750 | 238.542 | 245.420 | - | 52.872 |
| **TOTAL ENTERPRISE FUNDS** | **74.181** | **242.000** | **249.610** | **-** | **66.571** |
| **INTERNAL SERVICE FUNDS** | | | | | |
| 55000-55049-Centralized Services | (96.511) | 25.931 | 36.325 | 15.351 | (91.554) |
| 55050-55099-Agency Internal Service | (78.309) | 5.012 | 18.682 | (13.508) | (105.487) |
| 55100-55149-Mental Hygiene Revolving | 0.130 | 0.098 | 0.099 | - | 0.129 |
| 55150-55199-Youth Vocational Education | 0.059 | 0.002 | 0.001 | - | 0.060 |
| 55200-55249-Joint Labor and Management Administration | 1.455 | - | 0.118 | - | 1.337 |
| 55250-55299-Audit and Control Revolving | (4.586) | - | 1.742 | - | (6.328) |
| 55300-55349-Health Insurance Revolving | (15.596) | 1.850 | 1.089 | (0.202) | (15.037) |
| 55350-55399-Correctional Industries Revolving | (22.884) | 2.805 | 4.928 | (0.039) | (25.046) |
| **TOTAL INTERNAL SERVICE FUNDS** | **(216.242)** | **35.698** | **62.984** | **1.602** | **(241.926)** |
| **TOTAL PROPRIETARY FUNDS** | **$ (142.061)** | **$ 277.698** | **$ 312.594** | **$ 1.602** | **$ (175.355)** |

STATE OF NEW YORK
FIDUCIARY FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
FOR THE MONTH OF DECEMBER 2014
(Amounts in millions)

SCHEDULE 3

| FUND TYPE | BALANCE DECEMBER 1, 2014 | RECEIPTS | DISBURSEMENTS | OTHER FINANCING SOURCES (USES) | BALANCE DECEMBER 31, 2014 |
|---|---|---|---|---|---|
| **PENSION TRUST FUNDS** | | | | | |
| 65000-65049-Common Retirement Administration | $ (4.516) | $ 6.855 | $ 4.384 | $ - | $ (2.045) |
| **TOTAL PENSION TRUST FUNDS** | **(4.516)** | **6.855** | **4.384** | **-** | **(2.045)** |
| **PRIVATE PURPOSE TRUST FUNDS** | | | | | |
| 66000-66049-Agriculture Producers' Security | 2.227 | - | 0.027 | - | 2.200 |
| 66050-66099-Milk Producers' Security | 9.233 | (0.001) | 0.046 | - | 9.186 |
| **TOTAL PRIVATE PURPOSE TRUST FUNDS** | **11.460** | **(0.001)** | **0.073** | **-** | **11.386** |
| **AGENCY FUNDS** | | | | | |
| 60050-60149-School Capital Facilities Financing Reserve | 14.666 | 1.096 | - | - | 15.762 |
| 60150-60199-Child Performer's Holding | 0.239 | 0.006 | - | - | 0.245 |
| 60200-60249-Employees Health Insurance | 661.482 | 779.381 | 629.773 | - | 811.090 |
| 60250-60299-Social Security Contribution | 14.612 | 105.374 | 104.897 | - | 15.089 |
| 60300-60399-Employee Payroll Withholding | 16.531 | 433.036 | 407.948 | - | 41.619 |
| 60400-60449-Employees Dental Insurance | 6.736 | 10.260 | 5.648 | - | 11.348 |
| 60450-60499-Management Confidential Group Insurance | 0.783 | 0.750 | 0.847 | - | 0.686 |
| 60500-60549-Lottery Prize | 623.634 | 95.977 | 81.025 | - | 638.586 |
| 60550-60599-Health Insurance Reserve Receipts | 0.110 | - | - | - | 0.110 |
| 60600-60799-Miscellaneous New York State Agency | 1,225.058 | 226.427 | 150.413 | (35.183) | 1,265.889 |
| 60800-60849-Elderly Pharmaceutical Insurance Coverage (EPIC) Escrow | 20.116 | 8.056 | 7.924 | - | 20.248 |
| 60850-60899-CUNY Senior College Operating | 34.122 | 220.009 | 163.253 | - | 90.878 |
| 60900-60949-Medicaid Management Information System (MMIS) Escrow | 262.127 | 5,373.067 | 4,558.582 | 5.487 | 1,082.099 |
| 60950-60999-Special Education | - | - | - | - | - |
| 61000-61099-State University of New York Revenue Collection | 113.793 | 11.408 | - | - | 125.201 |
| 61100-61999-State University Federal Direct Lending Program | (1.425) | (0.798) | - | - | (2.223) |
| 62000-62049-SSP SSI Payment Escrow | - | - | - | - | - |
| **TOTAL AGENCY FUNDS** | **2,992.584** | **7,264.049** | **6,110.310** | **(29.696)** | **4,116.627** |
| **TOTAL FIDUCIARY FUNDS** | **$ 2,999.528** | **$ 7,270.903** | **$ 6,114.767** | **$ (29.696)** | **$ 4,125.968** |

STATE OF NEW YORK
SOLE CUSTODY AND INVESTMENT ACCOUNTS
STATEMENT OF CASH RECEIPTS AND DISBURSEMENTS
FOR THE MONTH OF DECEMBER 2014
(Amounts in millions)

SCHEDULE 4

| FUND TYPE | BALANCE DECEMBER 1, 2014 | RECEIPTS | DISBURSEMENTS | BALANCE DECEMBER 31, 2014 |
|---|---|---|---|---|
| **ACCOUNTS** | | | | |
| 70000-70049-Tobacco Settlement | $ 2.709 | $ 0.001 | $ - | $ 2.710 |
| 70050-70149-Sole Custody Investment (*) | 1,978.623 | 9,312.743 | 9,570.455 | 1,720.911 |
| 70200-Comptroller's Refund | - | 293.554 | 293.554 | - |
| **TOTAL ACCOUNTS** | **$ 1,981.332** | **$ 9,606.298** | **$ 9,864.009** | **$ 1,723.621** |

**(*) Includes Public Asset Fund resources**

Chapter 1 of the Laws of 2002 authorized the conversion of Empire Health Choice, d/b/a Empire Blue Cross and Blue Shield from a not-for-profit corporation to a for-profit corporation. Chapter 1 requires, in part, that upon such conversion, assets representing 95 percent of the fair market value of the not-for-profit corporation be transferred to a fund designated as the "Public Asset Fund" and 5 percent transferred to a Charitable Foundation - as set forth in Section 7317 of the Insurance Law. On December 28, 2005, WellChoice, Inc. (previously known as Empire Blue Cross, Blue Shield) approved a takeover by WellPoint, Inc. This conversion was also subject to the same Chapter 1 requirements of assigning assets representing 95 percent of the fair market value of the not-for-profit corporation be transferred to the "Public Asset Fund".

As of December 31, 2014, $9,360,212.43 (representing the remaining balance of the State's 95 percent share of the fair market value of the not-for-profit corporation plus interest) is on deposit in the sole custody account titled Public Asset Fund. In accordance with Section 4301(j)(4)(F) and (O) of the Insurance Law and at the direction of the Director of the Budget, these funds are available for transfer to HCRA Resources Fund (20800-20849).

**STATE OF NEW YORK**
**DEBT SERVICE FUNDS**
**STATEMENT OF DIRECT STATE DEBT ACTIVITY**
**FISCAL YEAR ENDED MARCH 31, 2015**

**SCHEDULE 5**

| PURPOSE | DEBT OUTSTANDING APR. 1, 2014 | DEBT ISSUED | | DEBT MATURED | | DEBT OUTSTANDING DEC. 31, 2014 | INTEREST DISBURSED | |
|---|---|---|---|---|---|---|---|---|
| | | MONTH OF DECEMBER | 9 MONTHS ENDED DEC. 31, 2014 | MONTH OF DECEMBER | 9 MONTHS ENDED DEC. 31, 2014 | | MONTH OF DECEMBER | 9 MONTHS ENDED DEC. 31, 2014 |
| **GENERAL OBLIGATION BONDED DEBT:** | | | | | | | | |
| Accelerated Capacity and Transportation Improvements | $ 225,893,326.07 | $ - | $ - | $ 24,617.32 | $ 67,222,060.95 | $ 158,671,265.12 | $ 5,876.84 | $ 8,216,135.59 |
| Clean Water/Clean Air: | | | | | | | | |
| Air Quality | 20,167,909.83 | - | - | 29,849.02 | 5,174,035.97 | 14,993,873.86 | 2,956.96 | 450,933.28 |
| Safe Drinking Water | 7,931.55 | - | - | - | - | 7,931.55 | - | 188.37 |
| Water | 437,734,140.86 | - | - | 161,957.40 | 6,947,246.10 | 430,786,894.76 | 177,938.34 | 10,322,811.60 |
| Solid Waste | 49,084,177.04 | - | - | 749.85 | 1,549,029.79 | 47,535,147.25 | 2,626.99 | 841,335.57 |
| Environmental Restoration | 81,538,241.15 | - | - | 921,981.30 | 1,080,099.41 | 80,458,141.74 | 279,325.34 | 1,990,944.26 |
| Energy Conservation Through Improved Transportation: | | | | | | | | |
| Rapid Transit and Rail Freight | 6,682,382.48 | - | - | - | 1,174,582.50 | 5,507,799.98 | - | 247,324.54 |
| Environmental Quality Protection (1972): | | | | | | | | |
| Air | 4,783,793.96 | - | - | - | 1,762,353.86 | 3,021,440.10 | - | 193,320.07 |
| Land and Wetlands | 11,542,293.88 | - | - | 24,814.90 | 2,837,373.76 | 8,704,920.12 | 5,924.01 | 426,139.95 |
| Water | 49,301,767.16 | - | - | - | 8,207,614.43 | 41,094,152.73 | - | 1,539,588.70 |
| Environmental Quality (1986): | | | | | | | | |
| Land and Forests | 22,142,201.72 | - | - | 2,917.59 | 1,769,847.38 | 20,372,354.34 | 2,529.82 | 600,507.94 |
| Solid Waste Management | 272,933,488.67 | - | - | 288,882.42 | 14,240,895.26 | 258,692,593.41 | 172,893.21 | 6,410,656.20 |
| Housing: | | | | | | | | |
| Low Cost | 23,660,000.00 | - | - | - | 3,770,000.00 | 19,890,000.00 | - | 667,500.00 |
| Middle Income | 22,025,000.00 | - | - | - | 4,740,000.00 | 17,285,000.00 | - | 308,075.00 |
| Park and Recreation Land Acquisition | 12,074.28 | - | - | - | - | 12,074.28 | - | 241.49 |
| Pure Waters | 46,037,669.84 | - | - | 34,239.07 | 5,902,048.00 | 40,135,621.84 | 38,634.57 | 1,437,677.33 |
| Rail Preservation Development | 1,143,996.32 | - | - | - | 396,834.19 | 747,162.13 | - | 43,153.02 |
| Rebuild and Renew New York Transportation: | | | | | | | | |
| Highway Facilities | 826,297,781.46 | - | - | 4,596,767.27 | 4,596,767.27 | 821,701,014.19 | 2,058,239.73 | 20,451,215.82 |
| Canals and Waterways | 13,426,360.83 | - | - | 378,449.30 | 378,449.30 | 13,047,911.53 | 90,346.34 | 385,202.65 |
| Aviation | 53,727,834.17 | - | - | - | - | 53,727,834.17 | - | 1,154,204.59 |
| Rail and Port | 75,095,780.09 | - | - | - | - | 75,095,780.09 | - | 1,747,735.08 |
| Mass Transit - Dept. of Transportation | 9,644,677.82 | - | - | - | - | 9,644,677.82 | - | 216,787.38 |
| Mass Transit - Metropolitan Transportation Authority | 914,697,696.96 | - | - | 5,342,376.32 | 5,342,376.32 | 909,355,320.64 | 3,514,190.25 | 23,258,065.69 |
| Rebuild New York-Transportation Infrastructure Renewal: | | | | | | | | |
| Highways, Parkways, and Bridges | 2,613,008.91 | - | - | 12,398.24 | 12,398.24 | 2,600,610.67 | 2,959.80 | 60,788.50 |
| Rapid Transit, Rail and Aviation | 9,853,974.12 | - | - | - | 1,588,952.86 | 8,265,021.26 | - | 372,590.44 |
| Transportation Capital Facilities: | | | | | | | | |
| Aviation | 11,168,370.85 | - | - | - | 1,756,298.62 | 9,412,072.23 | - | 375,135.71 |
| Mass Transportation | 119,119.44 | - | - | - | 40,735.79 | 78,383.65 | - | 5,063.22 |
| **Total General Obligation Bonded Debt** | **$ 3,191,334,999.46** | **$ -** | **$ -** | **$ 11,820,000.00** | **$ 140,490,000.00** | **$ 3,050,844,999.46** | **$ 6,354,442.20** | **$ 81,723,321.99** |

STATE OF NEW YORK
DEBT SERVICE FUNDS
FINANCING AGREEMENTS
FOR THE NINE MONTHS ENDED DECEMBER 31, 2014

SCHEDULE 5a

| Special Contractual Financing Obligations: | DEBT REDUCTION RESERVE FUND (40000-40049) | GENERAL DEBT SERVICE (40151) | DEPARTMENT OF HEALTH INCOME (40300-40349) | LOCAL GOVERNMENT ASSISTANCE TAX (40450-40499) | MENTAL HEALTH SERVICES (40100-40149) | REVENUE BOND TAX (40152) | SALES TAX REVENUE BOND TAX (40154) | COMBINED TOTALS 9 MONTHS ENDED DEC. 31 2014 | 2013 | $ INCREASE/ (DECREASE) |
|---|---|---|---|---|---|---|---|---|---|---|
| **Payments to Public Authorities:** | | | | | | | | | | |
| Payments to Public Authorities: | | | | | | | | | | |
| City University Construction | $ - | $ 182,667,014 | $ - | $ - | $ - | $ - | $ - | $ 182,667,014 | $ 192,822,739 | $ (10,155,725) |
| Dormitory Authority: | | | | | | | | | | |
| Albany County Airport | - | - | - | - | - | - | - | - | 275,719 | (275,719) |
| Consolidated Service Contract Refunding | - | 12,644,251 | - | - | - | - | - | 12,644,251 | 13,353,701 | (709,450) |
| DASNY Revenue Bond | - | - | - | - | - | 632,251,614 | 22,740,335 | 654,991,949 | - | 654,991,949 |
| David Axelrod Institute | - | 717,887 | - | - | - | - | - | 717,887 | 5,598,154 | (4,880,267) |
| Department of Health Facilities | - | - | 28,202,126 | - | - | - | - | 28,202,126 | 28,207,983 | (5,857) |
| Economic Development Housing | - | - | - | - | - | - | - | - | 69,503,854 | (69,503,854) |
| Education | - | - | - | - | - | - | - | - | 164,148,567 | (164,148,567) |
| General Purpose | - | - | - | - | - | - | - | - | 428,807,218 | (428,807,218) |
| Health Care | - | - | - | - | - | - | - | - | 2,822,019 | (2,822,019) |
| Mental Health Facilities | - | - | - | - | 93,624,428 | - | - | 93,624,428 | 106,084,898 | (12,460,470) |
| OGS Parking | - | - | - | - | - | - | - | - | 474,125 | (474,125) |
| Sales Tax Revenue Bond | - | - | - | - | - | - | - | - | - | - |
| Secured Hospital Program | - | 1,635,367 | - | - | - | - | - | 1,635,367 | - | 1,635,367 |
| State Department of Education Facilities | - | - | - | - | - | - | - | - | 916,516 | (916,516) |
| State Facilities and Equipment | - | - | - | - | - | - | - | - | 65,270 | (65,270) |
| SUNY Community Colleges | - | 158,675 | - | - | - | - | - | 158,675 | 28,026,713 | (27,868,038) |
| SUNY Educational Facilities | - | - | - | - | - | - | - | - | 116,219,270 | (116,219,270) |
| Environmental Facilities Corporation | - | 1,155,107 | - | - | - | 82,608,728 | - | 83,763,835 | 80,089,178 | 3,674,657 |
| Housing Finance Agency | - | 30,306,639 | - | - | - | 34,850,530 | - | 65,157,169 | 60,686,766 | 4,470,403 |
| Local Government Assistance Corporation | - | - | - | 52,772,964 | - | - | - | 52,772,964 | 57,621,657 | (4,848,693) |
| Metropolitan Transportation Authority | | | | | | | | | | |
| Transit and Commuter Rail Projects | - | 79,857,004 | - | - | - | - | - | 79,857,004 | 74,688,583 | 5,168,421 |
| Thruway Authority: | | | | | | | | | | |
| Dedicated Highway and Bridge | - | 672,558,856 | - | - | - | - | - | 672,558,856 | 775,827,089 | (103,268,233) |
| Local Highway and Bridge | - | 92,023,450 | - | - | - | - | - | 92,023,450 | 95,441,800 | (3,418,350) |
| Transportation | - | - | - | - | - | 71,068,075 | - | 71,068,075 | 73,893,575 | (2,825,500) |
| Urban Development Corporation: | | | | | | | | | | |
| Center for Industrial Innovation at RPI | - | - | - | - | - | - | - | - | - | - |
| Clarkson University | - | 880,525 | - | - | - | - | - | 880,525 | 946,825 | (66,300) |
| Columbia Univer. Telecommunications Center | - | - | - | - | - | - | - | - | 3,719,000 | (3,719,000) |
| Community Enhancement Facilities Program | - | - | - | - | - | - | - | - | - | - |
| Consolidated Service Contract Refunding | - | - | - | - | - | - | - | - | 352,814,929 | (352,814,929) |
| Cornell Univer. Supercomputer Center | - | - | - | - | - | - | - | - | 493,000 | (493,000) |
| Correctional Facilities | - | - | - | - | - | - | - | - | 28,149,222 | (28,149,222) |
| Debt Reduction Reserve | - | - | - | - | - | - | - | - | - | - |
| Economic Development Housing | - | - | - | - | - | - | - | - | 140,065,665 | (140,065,665) |
| General Purpose | - | - | - | - | - | - | - | - | 245,933,711 | (245,933,711) |
| State Facilities and Equipment | - | - | - | - | - | - | - | - | 38,798,562 | (38,798,562) |
| Syracuse University Science and Technology Center | - | 2,456,625 | - | - | - | - | - | 2,456,625 | 2,645,675 | (189,050) |
| UDC Revenue Bond | - | - | - | - | - | 449,022,334 | - | 449,022,334 | - | 449,022,334 |
| University Facilities Grant 95 Refunding | - | 1,337,397 | - | - | - | - | - | 1,337,397 | 1,597,519 | (260,122) |
| **Total Disbursements for Special Contractual Financing Obligations** | **$ -** | **$ 1,078,398,797** | **$ 28,202,126** | **$ 52,772,964** | **$ 93,624,428** | **$ 1,269,801,281** | **$ 22,740,335** | **$ 2,545,539,931** | **$ 3,190,739,502** | **$ (645,199,571)** |

**STATE OF NEW YORK**
**SUMMARY OF THE OPERATING FUND INVESTMENTS**
**FOR THE MONTH OF DECEMBER 2014**
**AS REQUIRED OF THE STATE COMPTROLLER**
**(Amounts in millions)**

**SCHEDULE 6**

| | DECEMBER 2014 | FISCAL YEAR TO DATE | PRIOR FISCAL YEAR TO DATE DECEMBER 2013 |
|---|---|---|---|
| **SHORT TERM INVESTMENT POOL (*)** | | | |
| AVERAGE DAILY INVESTMENT BALANCE (**) | $ 7,851.8 | $ 8,146.6 | $ 6,062.4 |
| AVERAGE YIELD (**) | 0.106% | 0.120% | 0.150% |
| TOTAL INVESTMENT EARNINGS | $ 0.682 | $ 5.933 | $ 6.887 |

**Month-End Portfolio Balances**

| DESCRIPTION | DEC. 2014 PAR AMOUNT | DEC. 2013 PAR AMOUNT |
|---|---|---|
| GOVT. AGENCY BILLS/NOTES | $ 150.0 | $ - |
| REPURCHASE AGREEMENTS | 24.7 | 22.9 |
| COMMERCIAL PAPER | 4,113.2 | 704.0 |
| CERTIFICATES OF DEPOSIT/SAVINGS | 1,929.7 | 2,892.8 |
| 0% COMPENSATING BALANCE CDs | 4,528.0 | 4,800.0 |
| | **$ 10,745.6** | **$ 8,419.7** |

(*) Pursuant to §98 of the State Finance Law, the State Comptroller is authorized to invest and keep invested all moneys, in any fund, held by the State. The Short Term investment Pool (STIP) represents an accounting mechanism that allows for the separate accounting of individual funds (on deposit in the State's General Checking account) for the purpose of making short term investments. Pursuant to State Finance Law §4(5) the STIP is authorized to temporarily loan to the General Fund-State Operations Account (10050) funds for a period of four months or the end of the fiscal year, whichever is shorter. However, it must be noted that certain funds are invested as part of STIP, but are held by the State Comptroller in a fiduciary capacity. Fiduciary fund balances are restricted and may not be used for any State purposes since moneys in such funds are held by the State in a trustee (or fiduciary) capacity or as an agent for individuals, private organizations, or non-State governmental units (e.g. local governments and public authorities). Therefore, Fiduciary fund balances are not available to be temporarily loaned to the General Fund-State Operations Account. Fiduciary fund balances are presented in Schedules 3 and 4 of this report.

(**) Does not include 0% Compensating Balance CDs.

SOURCE: PENSION INVESTMENT AND PUBLIC FINANCE

STATE OF NEW YORK
HCRA RESOURCES FUND
STATEMENT OF RECEIPTS AND DISBURSEMENTS BY ACCOUNT
FISCAL YEAR 2014-2015

APPENDIX A

| | 2014 APRIL | MAY | JUNE | JULY | AUGUST | SEPTEMBER | OCTOBER | NOVEMBER | DECEMBER | 2015 JANUARY | FEBRUARY | MARCH | 9 Months Ended December 31, 2014 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **OPENING CASH BALANCE** | $ 9,025,679 | $ 196,475,771 | $ 66,608,124 | $ 178,215,656 | $ 97,962,678 | $ 99,630,322 | $ 114,513,887 | $ 76,578,876 | $ 84,406,443 | | | | $ 9,025,679 |
| **RECEIPTS:** | | | | | | | | | | | | | |
| Cigarette Tax | 86,225,065 | 79,437,551 | 81,085,023 | 93,861,862 | 85,303,588 | 87,074,834 | 85,900,008 | 73,739,870 | 89,004,706 | | | | 761,632,507 |
| State Share of NYC Cigarette Tax | 4,012,000 | 3,554,000 | 3,770,000 | 4,006,000 | 4,032,000 | 3,268,000 | 4,444,000 | 3,308,000 | 4,104,000 | | | | 34,498,000 |
| STIP Interest | 21,843 | 29,086 | 41,336 | 19,299 | 25,741 | 21,083 | 19,248 | 22,953 | 22,200 | | | | 222,789 |
| Public Asset Transfers | - | - | - | - | - | - | - | - | - | | | | - |
| Assessments | 327,312,964 | 372,120,819 | 353,024,601 | 394,411,055 | 347,150,947 | 365,216,101 | 376,938,126 | 349,178,731 | 388,530,100 | | | | 3,273,883,444 |
| Fees | 490,000 | 83,000 | 1,673,000 | 516,000 | 52,000 | 1,304,000 | 440,000 | 47,000 | 3,067,000 | | | | 7,672,000 |
| Rebates | 1,076,540 | 500 | 373,042 | 16,866,988 | 554,327 | 783,284 | 3,739,321 | 4,520,138 | 3,363,625 | | | | 31,277,765 |
| Restitution and Settlements | 52,000 | - | - | - | - | 49,000 | - | 52,000 | - | | | | 153,000 |
| Miscellaneous | - | - | - | 1,680 | 2,313 | 309 | 15,287 | 231,799 | - | | | | 251,388 |
| **Total Receipts** | **419,190,412** | **455,224,956** | **439,967,002** | **509,682,884** | **437,120,916** | **457,716,611** | **471,495,990** | **431,100,491** | **488,091,631** | **-** | **-** | **-** | **4,109,590,893** |
| **DISBURSEMENTS:** | | | | | | | | | | | | | |
| Grants | 228,480,717 | 581,736,155 | 315,835,722 | 586,191,597 | 429,440,168 | 427,810,646 | 504,309,583 | 408,544,501 | 469,907,963 | | | | 3,952,257,052 |
| Interest - Late Payments | 179 | 2,502 | (1,829) | 923 | 2,472 | 6,504 | 2,730 | (151) | (1,134) | | | | 12,196 |
| Personal Service | 789,665 | 804,645 | 476,998 | 1,161,934 | 771,857 | 538,165 | 486,546 | 764,470 | 984,394 | | | | 6,778,674 |
| Non-Personal Service | 1,766,643 | 1,232,981 | 947,236 | 1,650,314 | 2,192,889 | 4,368,247 | 3,770,971 | 1,799,476 | 1,996,699 | | | | 19,725,456 |
| Employee Benefits/Indirect Costs | - | 670,503 | 392,594 | - | 1,033,814 | 91,056 | - | 1,209,257 | 189,580 | | | | 3,586,804 |
| **Total Disbursements** | **231,037,204** | **584,446,786** | **317,650,721** | **589,004,768** | **433,441,200** | **432,814,618** | **508,569,830** | **412,317,553** | **473,077,502** | **-** | **-** | **-** | **3,982,360,182** |
| **OPERATING TRANSFERS:** | | | | | | | | | | | | | |
| Transfers to Capital Projects Fund | - | - | - | - | - | - | - | - | - | | | | - |
| Transfers to General Fund | - | - | - | - | - | - | - | - | - | | | | - |
| Transfers to Revenue Bond Tax Fund | - | - | - | - | 1,306,200 | 9,320,933 | - | - | - | | | | 10,627,133 |
| Transfers to Miscellaneous Special Revenue Fund: | | | | | | | | | | | | | |
| Administration Program Account | - | - | - | - | - | - | - | - | - | | | | - |
| Empire State Stem Cell Trust Account | - | - | 10,000,000 | - | - | - | - | 10,000,000 | - | | | | 20,000,000 |
| Transfers to SUNY Income Fund | 703,116 | 645,817 | 708,749 | 931,094 | 705,872 | 697,495 | 861,171 | 955,371 | 765,173 | | | | 6,973,858 |
| **Total Operating Transfers** | **703,116** | **645,817** | **10,708,749** | **931,094** | **2,012,072** | **10,018,428** | **861,171** | **10,955,371** | **765,173** | **-** | **-** | **-** | **37,600,991** |
| **Total Disbursements and Transfers** | **231,740,320** | **585,092,603** | **328,359,470** | **589,935,862** | **435,453,272** | **442,833,046** | **509,431,001** | **423,272,924** | **473,842,675** | **-** | **-** | **-** | **4,019,961,173** |
| **CLOSING CASH BALANCE** | **$ 196,475,771** | **$ 66,608,124** | **$ 178,215,656** | **$ 97,962,678** | **$ 99,630,322** | **$ 114,513,887** | **$ 76,578,876** | **$ 84,406,443** | **$ 98,655,399** | **$ -** | **$ -** | **$ -** | **$ 98,655,399** |

**STATE OF NEW YORK**
**HCRA RESOURCES FUND**
**STATEMENT OF PROGRAM DISBURSEMENTS**
**FISCAL YEAR 2014-2015**

**APPENDIX B**

| Program/Purpose | Appropriation Amount (*) | April - June | July - September | October | November | December | 9 Months Ended December 31, 2014 (**) |
|---|---|---|---|---|---|---|---|
| **AIDS INSTITUTE PROGRAM** | **$ 75,016,000** | | | | | | |
| COMMUNITY SERVICE PROG - HIGH RISK | | $ - | $ - | $ - | $ - | $ - | $ - |
| HIV CLINICAL AND PROVIDER EDUCATION | | - | - | - | - | - | - |
| HIV HEALTH CARE SUPPORTIVE SERVICES | | - | - | - | - | - | - |
| HIV STD HEPATITIS C PREVENTION | | - | - | - | - | - | - |
| INFANTS AND PREGNANT WOMEN | | - | - | - | - | - | - |
| REGIONAL AND TARGETED | | - | - | - | - | - | - |
| **CENTER FOR COMMUNITY HEALTH PROGRAM** | **155,775,682** | | | | | | |
| ADEPHI UNIVRST CANC SPRT PRG | | - | - | - | - | - | - |
| BRST CANCER HOTLINE - ADELPHI | | - | - | - | - | - | - |
| CENTER FOR COMMUNITY HLTH | | 534,867 | 608,653 | 124,693 | 347,134 | 183,727 | 1,799,074 |
| EVIDENCE BASED CANCER SVC | | - | - | - | - | - | - |
| FAMILY PLANNING | | - | - | - | - | - | - |
| HYPERTENSION PREVENTION TREATMENT | | - | - | - | - | - | - |
| INDIAN HEALTH PROGRAM | | (140) | (7) | (289) | (1,232) | - | (1,668) |
| LEAD POISONING PREVENTION | | - | - | - | - | - | - |
| MATERNITY AND EARLY CHHOOD FOUNDATION | | - | - | - | - | - | - |
| NUTRITION SERVICES/EDUC - PREG WOMEN, CHILDREN | | - | - | - | - | - | - |
| PRENATAL CARE ASSISTANCE PROGRAM | | - | - | - | - | - | - |
| PUBLIC HEALTH CAMPAIGN | | - | - | - | - | - | - |
| RAPE CRISIS | | - | - | - | - | - | - |
| SCHOOL BASED HEALTH PROGRAM | | - | - | - | - | - | - |
| STATE AID PHYSICALLY HANICAPPED CHILDREN REHAB | | - | - | - | - | - | - |
| TOBACCO ENFORCEMENT | | - | - | - | - | - | - |
| TUBERCULOSIS | | - | - | - | - | - | - |
| **CHILD HEALTH INSURANCE PROGRAM** | **996,438,800** | | | | | | |
| CHILD HEALTH INSURANCE | | 68,544,826 | 134,295,628 | 22,965,540 | 24,254,918 | 23,275,660 | 273,336,572 |
| **COMMUNITY SUPPORT PROGRAM** | **120,000** | | | | | | |
| COMMUNITY SUPPORT | | 15,000 | 15,000 | - | - | 15,000 | 45,000 |
| **ELDERLY PHARMACEUTICAL INS COVERAGE PRG** | **342,821,000** | | | | | | |
| ELDERLY PHARMACEUTICAL INSURANCE COV | | 22,246,334 | 41,681,136 | 16,333,663 | 6,141,075 | 14,285,427 | 100,687,635 |
| **HEALTH CARE FINANCING PROGRAM** | **4,608,800** | | | | | | |
| HEALTH CARE FINANCING | | 285,410 | (153,480) | - | - | - | 131,930 |
| **HEALTH CARE REFORM ACT PROGRAM** | **1,873,668,384** | | | | | | |
| AIDS DRUG ASSISTANCE | | - | - | 20,000,000 | 8,750,000 | - | 28,750,000 |
| AMBULATORY CARE TRAINING | | 149,842 | 712,431 | - | 174,295 | 101,043 | 1,137,611 |
| AREA HEALTH EDUCATION CENTER | | - | 1,638,342 | 439,055 | - | - | 2,077,397 |
| COMMISSIONER EMERGENCY DISTRIBUTIONS | | - | 250,000 | - | - | - | 250,000 |
| DIAGNOSTIC AND TREATMENT CTR UNCOMPENSATED CARE | | - | - | 38,587,500 | - | 13,581,634 | 52,169,134 |
| DIVERSITY IN MEDICINE | | - | - | - | 667,932 | - | 667,932 |
| EMPIRE CLINIC RESEARCH INVESTMENT (ECRIP) | | - | - | - | - | 1,048,883 | 1,048,883 |
| HCRA PAYOR/PROVIDER AUDITS | | 107,500 | 984,049 | 215,000 | 107,500 | 560,158 | 1,974,207 |
| HEALTH FACILITY RESTRUCTURING DASNY | | 19,600,000 | - | - | - | - | 19,600,000 |
| HEALTH WORKFORCE RETRAINING | | 222,686 | (9,540) | 926,304 | 300,698 | 667,715 | 2,107,863 |
| INFERTILITY SERVICES GRANTS | | 173,667 | 539,976 | 116,886 | 57,510 | 294,397 | 1,182,436 |
| MEDICAL INDEMNITY FUND | | - | - | - | - | - | - |
| PART 405.4 HOSPITAL AUDITS | | 161,828 | - | - | - | - | 161,828 |
| PART 405.4 HOSPITAL AUDITS NYCRR | | - | 291,674 | 162,057 | 97,016 | - | 550,747 |

**STATE OF NEW YORK**
**HCRA RESOURCES FUND**
**STATEMENT OF PROGRAM DISBURSEMENTS**
**FISCAL YEAR 2014-2015**

**APPENDIX B**

| Program/Purpose | Appropriation Amount (*) | April - June | July - September | October | November | December | 9 Months Ended December 31, 2014 (**) |
|---|---|---|---|---|---|---|---|
| PAY FOR PERFORMANCE | | - | - | - | - | - | - |
| PHYSICIAN EXCESS MEDICAL MALPRACTICE | | - | 127,400,000 | - | - | - | 127,400,000 |
| PHYSICIAN LOAN REPAYMENT | | 807,558 | 443,944 | 204,730 | 158,422 | 66,133 | 1,680,787 |
| PHYSICIAN PRACTICE SUPPORT | | 1,108,591 | 737,678 | 577,059 | 400,000 | 93,077 | 2,916,405 |
| PHYSICIAN WORKFORCE STUDIES | | - | - | - | - | - | - |
| POISON CONTROL CENTERS | | - | - | - | - | - | - |
| POOL ADMINISTRATION | | 449,517 | 212,456 | 211,215 | - | - | 873,188 |
| ROSWELL PARK CANCER INSTITUTE | | 24,150,000 | 24,151,342 | - | 24,148,658 | - | 72,450,000 |
| RPCI CANC RSRCH OPERATING COSTS | | 1,500,000 | 1,500,083 | - | 1,499,917 | - | 4,500,000 |
| RURAL HEALTH CARE ACCESS | | 2,562,653 | 728,874 | 923,921 | 571,412 | 400,839 | 5,187,699 |
| RURAL HEALTH NETWORK | | 2,068,837 | 1,432,945 | 276,492 | 857,292 | 265,525 | 4,901,091 |
| SCHOOL BASED HEALTH CENTERS | | - | (24) | - | 2,644,000 | - | 2,643,976 |
| SCHOOL BASED HEALTH CLINICS-POOL ADMN | | - | - | - | 5,288,000 | - | 5,288,000 |
| TOBACCO USE PREVENTION/CONTROL | | - | - | - | - | - | - |
| TRANSITION ACCT - PRIOR YEAR ALLOCATION | | - | - | - | - | - | - |
| **MEDICAL ASSISTANCE PROGRAM** | **17,588,193,000** | | | | | | |
| BREAST AND CERVICAL CANCER | | 2,100,000 | - | - | - | - | 2,100,000 |
| DISABLED PERSONS | | 23,500,000 | - | - | - | - | 23,500,000 |
| FAMILY HEALTH PLUS | | 310,595,000 | - | - | - | - | 310,595,000 |
| FINANCIAL ASSISTANCE | | - | - | - | - | - | - |
| HOME HEALTH RATE INCREASE | | - | - | - | - | - | - |
| INPATIENT NURSING HOME PHARMACIES | | 458,700,000 | 673,761,064 | - | - | - | 1,132,461,064 |
| MEDICAID INDIGENT CARE | | 191,680,204 | 234,046,648 | 61,110,218 | 63,936,673 | 61,872,241 | 612,645,984 |
| MEDICAL ASSISTANCE | | - | 206,238,935 | 345,000,000 | 271,000,000 | 356,000,000 | 1,178,238,935 |
| NYC MEDICAID | | - | - | - | - | - | - |
| PHYSICIAN SERVICES | | - | - | - | - | - | - |
| PRIMARY CARE CASE MANAGEMENT | | - | - | - | - | - | - |
| PSNL CRE WRKR RECR & RETEN NYC (***) | | - | - | - | - | - | - |
| PSNL CRE WRKR RECR & RETEN ROS (****) | | - | - | - | - | - | - |
| SUPPLEMENTAL MEDICAL INSURANCE | | - | - | - | - | - | - |
| **OFFICE OF HEALTH INSURANCE PROGRAM** | **9,661,600** | | | | | | |
| OFFICE OF HEALTH INSURANCE | | 327,377 | 791,790 | 122,313 | 224,583 | 343,107 | 1,809,170 |
| **OFFICE OF HEALTH SYSTEMS MANAGEMENT** | **51,651,100** | | | | | | |
| OFFICE HEALTH SYSTEMS MANAGEMENT | | 3,602,862 | 5,293,399 | 1,134,688 | 1,647,544 | 787,878 | 12,466,371 |
| **OFFICE OF LONG TERM CARE** | **15,528,213** | | | | | | |
| ADULT HOME INITIATIVE | | - | - | - | - | - | - |
| ENABLE AIR CONDITIONING | | - | - | - | - | - | - |
| ENABLE QUALITY OF LIFE | | - | - | - | - | - | - |
| QUALITY PROG ADULT CARE FACILITIES | | - | - | - | - | - | - |
| **TOTAL** | **21,113,482,579** | **1,135,194,419** | **1,457,592,996** | **509,431,045** | **413,273,347** | **473,842,444** | **3,989,334,251** |
| Transfer to the General Fund - State Purposes Account (for administration of the program) | 89,000 | | | | | | |
| Reclass of SUNY Hospital Disprop Share to Transfer | | (2,057,682) | (2,334,461) | (861,171) | (955,371) | (765,173) | (6,973,858) |
| Reconciling Adjustment (P-Card and T-Card) | | (2,026) | 2,051 | (44) | (423) | 231 | (211) |
| **TOTAL APPROPRIATED AMOUNT** | **$ 21,113,571,579** | **$ 1,133,134,711** | **$ 1,455,260,586** | **$ 508,569,830** | **$ 412,317,553** | **$ 473,077,502** | **$ 3,982,360,182** |

(*) Includes amounts appropriated in SFY 2014-15, as well as prior year appropriations that were reappropriated.
(**) Disbursements from the HCRA Resources Fund includes direct grant payments to program beneficiaries, services and expenses for administration of grant programs, and transfers to the Public Goods Pool to finance payments made by the State's fiscal agent.
(***) Full title is: NYC Personal Care Workforce Recruitment and Retention Rates Grants.
(****) Full title is: Personal Care Workforce Recruitment and Retention Rates Grants.

**STATE OF NEW YORK**
**SCHEDULE OF DISBURSEMENTS OF FEDERAL AWARDS - December 2014**
**AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009(*)**

**APPENDIX C**

| Federal CFDA No. | Federal Agency | Program | December | Life-to-Date |
|---|---|---|---|---|
| **Education** | | | | |
| 10.579 | Department of Agriculture | Child Nutrition Discretionary Grants Limited Availability | $ - | $ 5,824,761.24 |
| 11.557 | Department of Commerce | Broadband Technology Opportunities Program (BTOP) | - | 10,057,887.00 |
| 45.025 | National Endowment for the Arts | Promotion of the Arts - Partnership Agreements | - | 399,900.00 |
| 84.033 | Department of Education | Federal Work-Study Program | - | 2,102,760.00 |
| 84.063 | Department of Education | Federal Pell Grant Program | - | 147,198,591.00 |
| 84.384 | Department of Education | Statewide Data Systems, Recovery Act | (316,064.11) | 16,735,502.35 |
| 84.385 | Department of Education | Teacher Incentive Fund, Recovery Act | 89,512.35 | 13,530,907.00 |
| 84.386 | Department of Education | Education Technology State Grants, Recovery Act | - | 53,551,200.24 |
| 84.387 | Department of Education | Education for Homeless Children and Youth, Recovery Act | - | 6,039,255.00 |
| 84.388 | Department of Education | School Improvement Grants, Recovery Act | 28,337,480.29 | 260,866,068.00 |
| 84.389 | Department of Education | Title I Grants to Local Education Agencies, Recovery Act | - | 906,803,696.00 |
| 84.390 | Department of Education | Rehabilitation Services - Vocational Rehabilitation Grants to States, Recovery Act | - | 25,694,044.00 |
| 84.391 | Department of Education | Special Education Grants to States, Recovery Act | - | 755,867,980.05 |
| 84.392 | Department of Education | Special Education - Preschool Grants, Recovery Act | - | 34,302,395.00 |
| 84.394 | Department of Education | State Fiscal Stabilization Fund (SFSF) - Education State Grants, Recovery Act | - | 2,468,557,791.00 |
| 84.395 | Department of Education | State Fiscal Stabilization Fund (SFSF) - Race-to-the-Top Incentive Grants, Recovery Act | 23,001,406.19 | 498,350,062.39 |
| 84.397 | Department of Education | State Fiscal Stabilization Fund (SFSF) - Government Services, Recovery Act | - | 527,364,018.81 |
| 84.398 | Department of Education | Independent Living State Grants, Recovery Act | - | 856,884.00 |
| 84.399 | Department of Education | Independent Living Services for Older Individuals Who are Blind, Recovery Act | - | 2,297,731.00 |
| 84.410 | Department of Education | Education Jobs Fund | - | 616,479,620.00 |
| 93.407 | Health and Human Services | ARRA - Scholarships for Disadvantaged Students | - | 411,249.00 |
| | | **Total Education** | **51,112,334.72** | **6,353,292,303.08** |
| **Energy and Environment** | | | | |
| 10.086 | Department of Agriculture | Aquaculture Grants Program (AGP) | - | 7,611.86 |
| 10.688 | Department of Agriculture | Recovery Act of 2009: Wildland Fire Management | - | 763,000.00 |
| 66.039 | Environmental Protection Agency | National Clean Diesel Emissions Reduction Program | - | 1,000,000.00 |
| 66.040 | Environmental Protection Agency | State Clean Diesel Grant Program | - | 1,635,086.95 |
| 66.454 | Environmental Protection Agency | Water Quality Management Planning | - | 4,132,731.39 |
| 66.458 | Environmental Protection Agency | Capitalization Grants for Clean Water State Revolving Funds | - | 432,564,200.00 |
| 66.468 | Environmental Protection Agency | Capitalization Grants for Drinking Water State Revolving Funds | - | 86,811,000.00 |
| 66.805 | Environmental Protection Agency | Leaking Underground Storage Tank Trust Fund Corrective Action Program | - | 9,212,000.00 |
| 81.042 | Department of Energy | Weatherization Assistance for Low-Income Persons | - | 395,730,364.84 |
| 81.122 | Department of Energy | Electricity Delivery and Energy Reliability, Research, Development and Analysis | - | 1,234,857.92 |
| | | **Total Energy and Environment** | **-** | **933,090,852.96** |
| **Food and Nutrition Services** | | | | |
| 10.568 | Department of Agriculture | Emergency Food Assistance Program (Administrative Costs) | - | 4,891,302.00 |
| 93.705 | Health and Human Services | Aging Home-Delivered Nutrition Services for States | - | 2,042,446.00 |
| 93.707 | Health and Human Services | Aging Congregate Nutrition Services for States | - | 4,148,718.00 |
| | | **Total Food and Nutrition Services** | **-** | **11,082,466.00** |
| **Health and Social Services** | | | | |
| 10.557 | Department of Agriculture | Special Supplemental Nutrition Program for Women, Infants and Children (WIC) | - | 5,468,978.00 |
| 10.561 | Department of Agriculture | State Administrative Matching Grants for the Supplemental Nutrition Assistance Program | - | 24,402,283.00 |
| 10.578 | Department of Agriculture | WIC Grants To States (WGS) | - | 4,172,768.48 |
| 14.257 | Department of Housing and Urban Development | Homelessness Prevention and Rapid Re-Housing Program (Recovery Act Funded) | - | 26,951,329.00 |
| 84.393 | Department of Education | Special Education - Grants for Infants and Families, Recovery Act | - | 26,406,387.04 |
| 93.563 | Health and Human Services | Child Support Enforcement | - | 101,131,818.69 |
| 93.658 | Health and Human Services | Foster Care- Title IV-E | - | 54,639,114.00 |
| 93.659 | Health and Human Services | Adoption Assistance | - | 60,062,684.00 |
| 93.708 | Health and Human Services | ARRA - Head Start | - | 5,577,399.87 |
| 93.712 | Health and Human Services | ARRA - Immunization | - | 4,275,750.26 |
| 93.713 | Health and Human Services | ARRA - Child Care and Development Block Grant | - | 96,785,640.00 |

**STATE OF NEW YORK** **APPENDIX C**

**SCHEDULE OF DISBURSEMENTS OF FEDERAL AWARDS - December 2014**

**AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009(*)**

| Federal CFDA No. | Federal Agency | Program | December | Life-to-Date |
|---|---|---|---|---|
| 93.714 | Health and Human Services | ARRA - Emergency Contingency Fund for Temporary Assistance for Needy Families (TANF) State Programs | - | 723,023,290.00 |
| 93.725 | Health and Human Services | ARRA - Communities Putting Prevention to Work: Chronic Disease Self-Management Program | - | 1,166,708.33 |
| 93.778 | Health and Human Services | Medical Assistance Program (FMAP) | 5,924,900.48 | 13,975,707,228.54 |
| 94.006 | Corporation for National and Community Service | AmeriCorps | - | 6,672,738.91 |
| | | **Total Health and Social Services** | **5,924,900.48** | **15,116,444,118.12** |
| **Housing** | | | | |
| 84.397 | Department of Education | State Fiscal Stabilization Fund (SFSF) - Government Services, Recovery Act | - | 21,875,000.00 |
| 93.710 | Health and Human Services | ARRA - Community Services Block Grant | - | 85,384,063.91 |
| | | **Total Housing** | **-** | **107,259,063.91** |
| **Labor** | | | | |
| 17.207 | Department of Labor | Employment Service/Wanger-Peyser Funded Activities | - | 22,855,217.00 |
| 17.225 | Department of Labor | Unemployment Insurance | 5,460,023.25 | 16,664,469,153.96 |
| 17.235 | Department of Labor | Senior Community Service - Employment Program | - | 1,539,762.38 |
| 17.258 | Department of Labor | Workforce Investment Act - Adult Program | - | 31,516,111.00 |
| 17.259 | Department of Labor | Workforce Investment Act - Youth Activities | - | 71,526,360.00 |
| 17.260 | Department of Labor | Workforce Investment Act - Dislocated Workers | - | 70,633,412.47 |
| 17.275 | Department of Labor | Program of Competitive Grants for Worker Training and Placement in High Growth and Emerging Industry Sectors | - | 1,112,175.14 |
| | | **Total Labor** | **5,460,023.25** | **16,863,652,191.95** |
| **Public Protection** | | | | |
| 11.558 | Department of Commerce | State Broadband Data and Development Grant Program | 277,239.25 | 7,097,102.11 |
| 12.401 | Department of Defense | National Guard Military Operations and Maintenance (O&M) Projects | - | 7,416,726.40 |
| 16.588 | Department of Justice | Violence Against Women Formula Grants | - | 7,274,394.35 |
| 16.800 | Department of Justice | Recovery Act - Internet Crimes against Children Task Force Program (ICAC) | - | 1,618,399.10 |
| 16.801 | Department of Justice | Recovery Act - State Victim Assistance Formula Grant Program | - | 1,788,999.08 |
| 16.802 | Department of Justice | Recovery Act - State Victim Compensation Formula Grant Program | - | 2,828,986.58 |
| 16.803 | Department of Justice | Recovery Act - Edward Byrne Memorial Justice Assistance Grant (JAG) Program/ Grants to States and Territories | - | 66,946,360.41 |
| | | **Total Public Protection** | **277,239.25** | **94,970,968.03** |
| **Transportation** | | | | |
| 20.205 | Department of Transportation | Highway Planning and Construction | 164,406.00 | 932,274,099.32 |
| 20.319 | Department of Transportation | High-Speed Rail Corridors and Intercity Passenger Rail Service - Capital Assistance Grants | 2,916,678.05 | 39,254,498.42 |
| 20.509 | Department of Transportation | Formula Grants for Other Than Urbanized Areas | - | 23,215,239.28 |
| | | **Total Transportation** | **3,081,084.05** | **994,743,837.02** |
| | | **TOTAL ARRA DISBURSEMENTS** | **$ 65,855,581.75** | **$ 40,474,535,801.07** |

(*)On February 17, 2009, President Obama signed into law the American Recovery and Reinvestment Act of 2009 (ARRA). This Act contains provisions for direct Federal aid for fiscal relief consisting of increases in the Federal matching rate for eligible State Medicaid expenditures and funds provided through the Federal State Fiscal Stabilization Fund to restore proposed reductions in education, higher education, and to maintain essential government services.

APPENDIX D

STATE OF NEW YORK
STATEMENT OF CASH FLOW - PUBLIC GOODS POOL
FISCAL YEAR 2014-2015

| | 1st Quarter April - June | 2nd Quarter July - September | 2014 OCTOBER | 2014 NOVEMBER | 2014 DECEMBER | 2014-2015 |
|---|---|---|---|---|---|---|
| **OPENING CASH BALANCE** | **$ 249,281,804.49** | **$ 300,577,699.85** | **$ 270,791,872.38** | **$ 277,640,396.10** | **$ 164,417,439.31** | **$ 249,281,804.49** |
| **RECEIPTS:** | | | | | | |
| Patient Services | 702,857,910.35 | 692,322,562.55 | 246,559,226.46 | 154,837,307.51 | 313,108,448.84 | 2,109,685,455.71 |
| Covered Lives | 283,970,689.03 | 264,758,078.40 | 90,650,915.67 | 46,247,391.04 | 129,079,813.34 | 814,706,887.48 |
| Provider Assessments | 23,415,365.51 | 23,116,080.06 | 10,991,253.00 | 4,223,555.55 | 10,181,771.25 | 71,928,025.37 |
| 1% Assessments | 83,682,193.18 | 86,602,263.82 | 32,080,109.41 | 26,843,446.50 | 31,244,223.00 | 260,452,235.91 |
| DASNY- MOE/Recast receivables | - | - | - | - | - | - |
| Interest Income | 53,284.37 | 57,610.89 | 22,912.79 | 20,685.99 | 20,125.76 | 174,619.80 |
| Unassigned | (705.00) | 8,390.00 | (8,390.00) | 78,217.09 | (78,217.09) | (705.00) |
| **Total Receipts** | **1,093,978,737.44** | **1,066,864,985.72** | **380,296,027.33** | **232,250,603.68** | **483,556,165.10** | **3,256,946,519.27** |
| **PROGRAM DISBURSEMENTS:** | | | | | | |
| Poison Control Centers | - | - | - | - | - | - |
| School Based Health Center Grants | - | - | - | (5,288,000.00) | - | (5,288,000.00) |
| ECRIP Distributions | - | - | - | - | (1,048,883.00) | (1,048,883.00) |
| **Total Program Disbursements** | **-** | **-** | **-** | **(5,288,000.00)** | **(1,048,883.00)** | **(6,336,883.00)** |
| **Excess (Deficiency) of Receipts over Disbursements** | **1,093,978,737.44** | **1,066,864,985.72** | **380,296,027.33** | **226,962,603.68** | **482,507,282.10** | **3,250,609,636.27** |
| **OTHER FINANCING SOURCES (USES):** | | | | | | |
| **Transfers From Other Pools:** | | | | | | |
| Medicaid Disproportionate Share | 84,497.00 | - | - | - | - | 84,497.00 |
| Health Facility Assessment Fund - Hospital Quality Contribution | 9,690,181.00 | 10,125,443.00 | 3,488,136.00 | 3,704,812.00 | 2,994,439.00 | 30,003,011.00 |
| **Transfers From State Funds:** | | | | | | |
| HCRA Resources Fund | - | - | - | 5,288,000.00 | 1,048,883.00 | 6,336,883.00 |
| **Total Other Financing Sources** | **9,774,678.00** | **10,125,443.00** | **3,488,136.00** | **8,992,812.00** | **4,043,322.00** | **36,424,391.00** |
| **Transfers To Other Pools:** | | | | | | |
| Medicaid Disproportionate Share | - | - | - | - | - | - |
| Health Facility Assessment Fund | - | - | - | - | - | - |
| **Transfers To State Funds:** | | | | | | |
| HCRA Resources Fund | (860,289,460.55) | (869,686,230.37) | (296,543,269.60) | (285,242,027.64) | (326,779,823.29) | (2,638,540,811.45) |
| Indigent Care Fund (matched) | (192,570,854.07) | (218,725,881.63) | (70,737,087.52) | (62,231,756.78) | (61,034,747.36) | (605,300,327.36) |
| Indigent Care Fund (non-matched) | 402,794.54 | (18,364,144.19) | (9,655,282.49) | (1,704,588.05) | (715,530.54) | (30,036,750.73) |
| **Total Other Financing Uses** | **(1,052,457,520.08)** | **(1,106,776,256.19)** | **(376,935,639.61)** | **(349,178,372.47)** | **(388,530,101.19)** | **(3,273,877,889.54)** |
| **Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses** | **51,295,895.36** | **(29,785,827.47)** | **6,848,523.72** | **(113,222,956.79)** | **98,020,502.91** | **13,156,137.73** |
| **CLOSING CASH BALANCE** | **$ 300,577,699.85** | **$ 270,791,872.38** | **$ 277,640,396.10** | **$ 164,417,439.31** | **$ 262,437,942.22** | **$ 262,437,942.22** |

Source: HCRA - Office of Pool Administration

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APPENDIX E

STATE OF NEW YORK
STATEMENT OF CASH FLOW - MEDICAID DISPROPORTIONATE SHARE
FISCAL YEAR 2014-2015

| | 1st Quarter April - June | 2nd Quarter July - September | 2014 OCTOBER | 2014 NOVEMBER | 2014 DECEMBER | 2014-2015 |
|---|---|---|---|---|---|---|
| **OPENING CASH BALANCE** | **$ 521.91** | **$ 1,507.89** | **$ 2,486.01** | **$ 358.05** | **$ 63,575,681.27** | **$ 521.91** |
| **RECEIPTS:** | | | | | | |
| Interest Income | 1,849.63 | 2,825.58 | 358.05 | - | 1,650.00 | 6,683.26 |
| **Total Receipts** | **1,849.63** | **2,825.58** | **358.05** | **-** | **1,650.00** | **6,683.26** |
| **PROGRAM DISBURSEMENTS:** | | | | | | |
| Indigent Care | (190,159,937.91) | (224,059,343.52) | (62,100,876.44) | - | (122,981,040.55) | (599,301,198.42) |
| High Need Indigent Care | - | - | - | - | - | - |
| Other | - | (3,986,606.97) | (2,289,631.01) | - | (1,984,255.06) | (8,260,493.04) |
| **Total Program Disbursements** | **(190,159,937.91)** | **(228,045,950.49)** | **(64,390,507.45)** | **-** | **(124,965,295.61)** | **(607,561,691.46)** |
| **Excess (Deficiency) of Receipts over Disbursements** | **(190,158,088.28)** | **(228,043,124.91)** | **(64,390,149.40)** | **-** | **(124,963,645.61)** | **(607,555,008.20)** |
| **OTHER FINANCING SOURCES (USES):** | | | | | | |
| **Transfers From Other Pools:** | | | | | | |
| Public Goods Pool | - | - | - | - | - | - |
| Health Facility Assessment Fund | - | - | - | - | - | - |
| **Transfers From State Funds:** | | | | | | |
| HCRA Resources Indigent Care - Matched | 96,285,427.04 | 109,362,940.82 | 35,368,543.76 | 31,115,878.39 | 30,517,373.68 | 302,650,163.69 |
| HCRA Resources Indigent Care - Unmatched | (1,779,603.96) | 10,004,727.59 | (6,248,499.27) | 1,363,665.48 | 354,866.98 | 3,695,156.82 |
| HCRA Resources Indigent Care - ATB | (631,312.20) | (294,681.73) | (98,080.80) | (19,740.99) | - | (1,043,815.72) |
| Federal DHHS Fund | 96,285,427.03 | 109,362,940.81 | 35,368,543.76 | 31,115,878.39 | 30,517,373.68 | 302,650,163.67 |
| Other | 84,497.00 | - | - | - | - | 84,497.00 |
| **Total Other Financing Sources** | **190,244,434.91** | **228,435,927.49** | **64,390,507.45** | **63,575,681.27** | **61,389,614.34** | **608,036,165.46** |
| **Transfers To Other Pools:** | | | | | | |
| Public Goods Pool | (84,497.00) | - | - | - | - | (84,497.00) |
| Health Facility Assessment Fund | - | (389,977.00) | - | - | - | (389,977.00) |
| **Transfers To State Funds:** | | | | | | |
| HCRA Resources Fund Indigent Care Acct | (863.65) | (1,847.46) | (2,486.01) | (358.05) | - | (5,555.17) |
| **Total Other Financing Uses** | **(85,360.65)** | **(391,824.46)** | **(2,486.01)** | **(358.05)** | **-** | **(480,029.17)** |
| **Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses** | **985.98** | **978.12** | **(2,127.96)** | **63,575,323.22** | **(63,574,031.27)** | **1,128.09** |
| **CLOSING CASH BALANCE** | **$ 1,507.89** | **$ 2,486.01** | **$ 358.05** | **$ 63,575,681.27** | **$ 1,650.00** | **$ 1,650.00** |

Source: HCRA - Office of Pool Administration

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**STATE OF NEW YORK**
**SUMMARY OF OFF-BUDGET SPENDING REPORT**
**FISCAL YEAR 2014-2015**
**(Amounts in thousands)**

**APPENDIX F**

| | 2014 APRIL | 2014 MAY | 2014 JUNE | 2014 JULY | 2014 AUGUST | 2014 SEPTEMBER | 2014 OCTOBER | 2014 NOVEMBER | 2014 DECEMBER | 2015 JANUARY | 2015 FEBRUARY | 2015 MARCH | 2014-2015 TOTAL |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **DORMITORY AUTHORITY:** | | | | | | | | | | | | | |
| Education - All Other | $ - | $ - | $ - | $ 2 | $ - | $ 70 | $ 9 | $ - | | | | | $ 81 |
| Education - EXCEL | 2,929 | 7,022 | 13,359 | 3,539 | 1,310 | 1,005 | 3,860 | 544 | | | | | 33,568 |
| Department of Health - All Other | 16 | 3 | 63 | 3 | 11 | 56 | (41) | 3 | | | | | 114 |
| Community Enhancement Facilities Assistance Program (CEFAP) | 19 | - | - | 38 | 273 | 205 | - | - | | | | | 535 |
| Regional Development: | | | | | | | | | | | | | |
| Community Capital Assistance Program (CCAP)/RESTORE | - | 3 | 6 | 232 | 38 | 75 | 317 | 42 | | | | | 713 |
| Multi-modal | - | - | - | - | - | - | - | - | | | | | - |
| GenNYsis | - | - | - | 539 | - | 196 | - | - | | | | | 735 |
| CUNY Senior Colleges | 35,474 | 7,600 | 40,027 | 33,541 | 9,550 | 40,007 | 69,069 | 11,081 | | | | | 246,349 |
| CUNY Community Colleges | 1,768 | 1,190 | 3,230 | 2,327 | 549 | 3,388 | 2,334 | 837 | | | | | 15,623 |
| SUNY Dormitories | 3,861 | 2,457 | 8,169 | 5,304 | 1,896 | 9,133 | 5,952 | 2,163 | | | | | 38,935 |
| Upstate Community Colleges | 5,052 | 3,704 | 3,009 | 6,702 | 1,785 | 11,636 | 12,589 | 925 | | | | | 45,402 |
| Mental Health | 8,917 | 7,000 | 13,839 | 13,087 | 11,939 | 16,545 | 12,729 | 9,960 | | | | | 94,016 |
| Developmental Disabilities | 2,788 | 563 | 2,007 | 2,047 | 509 | 2,365 | 1,201 | 1,652 | | | | | 13,132 |
| Alcoholism and Substance Abuse | 114 | 17 | 139 | 72 | 5 | 233 | 119 | 9 | | | | | 708 |
| Brooklyn Court Officer Training Academy | 272 | 1 | 7 | - | - | - | 14 | 817 | | | | | 1,111 |
| **TOTAL DORMITORY AUTHORITY** | **61,210** | **29,560** | **83,855** | **67,433** | **27,865** | **84,914** | **108,152** | **28,033** | **-** | **-** | **-** | **-** | **491,022** |
| **EMPIRE STATE DEVELOPMENT CORP:** | | | | | | | | | | | | | |
| Regional Development: | | | | | | | | | | | | | |
| Centers of Excellence | - | - | - | - | - | - | - | - | | | | | - |
| Community Capital Assistance Program (CCAP) | 8 | 7 | - | 63 | (2) | 44 | 19 | 201 | | | | | 340 |
| Empire Opportunity | - | - | - | - | 289 | 1,887 | - | - | | | | | 2,176 |
| Community Enhancement Facilities Assistance Program (CEFAP) | - | - | - | - | - | - | - | - | | | | | - |
| State Facilities and Equipment | - | - | - | - | - | - | - | - | | | | | - |
| **TOTAL EMPIRE STATE DEVELOPMENT CORP** | **8** | **7** | **-** | **63** | **287** | **1,931** | **19** | **201** | **-** | **-** | **-** | **-** | **2,516** |
| **TOTAL OFF-BUDGET** | **$ 61,218** | **$ 29,567** | **$ 83,855** | **$ 67,496** | **$ 28,152** | **$ 86,845** | **$ 108,171** | **$ 28,234** | **$ -** | **$ -** | **$ -** | **$ -** | **$ 493,538** |

The Division of the Budget (DOB) is responsible for organizing and presenting the above schedule of 'Off Budget Spending'. Such reported disbursements are drawn from unaudited financial data provided by public authorities. Although the Office of the State Comptroller (OSC) has no reason to believe this information to be unreliable, it is important to note that these program disbursements are financed with public authority bond proceeds deposited directly into public authority accounts and all disbursements are made without any oversight by the OSC. Therefore, and pursuant to the provisions of Chapter 60, §16, of the Laws of 2006; this schedule is provided for information only.

APPENDIX G

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

| SFS Fund | ACCOUNT TITLE | September 30, 2014 | October 31, 2014 | November 30, 2014 | Change | December 31, 2014 | |
|---|---|---|---|---|---|---|---|
| | GENERAL FUND | | | | | | |
| 10050 | STATE OPERATIONS AND LOCAL ASSISTANCE | $ - | $ - | $ - | $ - | $ - | (****) |
| | TOTAL GENERAL FUND | - | - | - | - | - | |
| | CAPITAL PROJECT AND BOND REIMBURSABLE FUNDS | | | | | | |
| 30051 | HIGHWAY AND BRIDGE CAPITAL | 761,409,894.43 | 743,794,574.13 | 558,201,054.35 | 250,480,346.24 | 808,681,400.59 | (**) |
| 30101 | REHAB/REPAIR MARITIME | - | - | - | - | - | |
| 30102 | D21RVE- MARITIME | - | - | - | - | - | |
| 30103 | D36RVE- CENTRAL ADMIN | - | - | - | - | - | |
| 30104 | RESIDENCE HALL CAMPUS LET BOND PROCEEDS | 4,484,440.37 | 2,104,326.11 | 2,068,535.31 | 478,360.43 | 2,546,895.74 | |
| 30105 | REHAB/REPAIR ALBANY | - | - | - | - | - | |
| 30106 | D01RVE- ALBANY | - | - | - | - | - | |
| 30107 | REHAB/REPAIR BINGHAMTON | - | - | - | - | - | |
| 30108 | D07RVE- BINGHAMTON | - | - | - | - | - | |
| 30109 | REHAB/REPAIR BUFFALO UNIVERSITY | - | - | - | - | - | |
| 30110 | D28RVE- SUNY BUFFALO | - | - | - | - | - | |
| 30111 | REHAB/REPAIR STONYBROOK | - | - | - | - | - | |
| 30112 | D13RVE- STONYBROOK | - | - | - | - | - | |
| 30113 | REHAB/REPAIR BROOKLYN | - | - | - | - | - | |
| 30114 | D14RVE - HSC BROOKLYN | - | - | - | - | - | |
| 30115 | REHAB/REPAIR SYRACUSE | - | - | - | - | - | |
| 30116 | D15RVE- HSC SYRACUSE | - | - | - | - | - | |
| 30117 | REHAB/REPAIR BROCKPORT | - | - | - | - | - | |
| 30118 | D02RVE- BROCKPORT | - | - | - | - | - | |
| 30119 | REHAB/REPAIR BUFFALO COLLEGE | - | - | - | - | - | |
| 30120 | D03RVE -SUB BUFFALO | - | - | - | - | - | |
| 30121 | REHAB/REPAIR CORTLAND | - | - | - | - | - | |
| 30122 | D04RVE- CORTLAND | - | - | - | - | - | |
| 30123 | REHAB/REPAIR FREDONIA | - | - | - | - | - | |
| 30124 | D05RVE- FREDONIA | - | - | - | - | - | |
| 30125 | REHAB/REPAIR GENESEO | - | - | - | - | - | |
| 30126 | D06RVE- GENESEO | - | - | - | - | - | |
| 30127 | REHAB/REPAIR OLD WESTBURY | - | - | - | - | - | |
| 30128 | D31RVE- OLD WESTBURY | - | - | - | - | - | |
| 30129 | REHAB/REPAIR NEW PALTZ | - | - | - | - | - | |
| 30130 | D08RVE- NEW PALTZ | - | - | - | - | - | |
| 30131 | REHAB/REPAIR ONEONTA | - | - | - | - | - | |
| 30132 | D09RVE- ONEONTA | - | - | - | - | - | |
| 30133 | REHAB/REPAIR OSWEGO | - | - | - | - | - | |
| 30134 | D10RVE- OSWEGO | - | - | - | - | - | |
| 30135 | REHAB/REPAIR PLATTSBURGH | - | - | - | - | - | |
| 30136 | D11RVE- PLATTSBURGH | - | - | - | - | - | |
| 30137 | REHAB/REPAIR POTSDAM | - | - | - | - | - | |
| 30138 | D12RVE- POTSDAM | - | - | - | - | - | |
| 30139 | REHAB/REPAIR PURCHASE | - | - | - | - | - | |
| 30140 | D29RVE- PURCHASE | - | - | - | - | - | |
| 30141 | REHAB/REPAIR FOR UTICA/ROME | - | - | - | - | - | |
| 30142 | D27RVE- CAMPUS RESERVE | - | - | - | - | - | |
| 30143 | REHAB/REPAIR ALFRED | - | - | - | - | - | |
| 30144 | D22RVE- ALFRED | - | - | - | - | - | |
| 30145 | REHAB/REPAIR CANTON | - | - | - | - | - | |
| 30146 | D23RVE- CANTON | - | - | - | - | - | |
| 30147 | REHAB/REPAIR COBLESKILL | - | 36,572.36 | - | - | - | |
| 30148 | D24RVE- COBLESKILL | - | - | - | - | - | |
| 30149 | REHAB/REPAIR DELHI | - | - | - | - | - | |
| 30150 | D25RVE- DELHI | - | - | - | - | - | |
| 30151 | REHAB/REPAIR FARMINGDALE | - | - | - | - | - | |
| 30152 | D26RVE- FARMINGDALE | - | - | - | - | - | |
| 30153 | REHAB/REPAIR MORRISVILLE | - | - | - | - | - | |
| 30154 | D27RVE- MORRISVILLE | - | - | - | - | - | |
| 30351 | STATE PARK INFRASTRUCTURE | 95,265,459.31 | 101,487,528.57 | 108,009,666.82 | 10,280,369.31 | 118,290,036.13 | |
| 30501 | CW/CA IMPLEMENTATION DEC | 169.29 | 169.29 | 169.29 | - | 169.29 | |
| 30502 | CW/CA IMPLEMENTATION STATE | - | - | - | - | - | |
| 30503 | CW/CA IMPLEMENTATION ERDA | - | - | - | - | - | |
| 30504 | CW/CA IMPLEMENTATION EFC | - | - | - | - | - | |
| 31506 | HAZARDOUS WASTE CLEAN UP | 101,948,232.93 | 98,337,631.52 | 103,164,196.47 | 3,970,859.82 | 107,135,056.29 | |
| 31701 | YOUTH FACILITIES IMPROVEMENT | 4,030,091.53 | 6,073,910.52 | 6,611,285.18 | (2,366,765.10) | 4,244,520.08 | |
| 31801 | HOUSING ASSISTANCE | 13,150,846.05 | 13,150,846.05 | 13,150,846.05 | 822,000.00 | 13,972,846.05 | |
| 31851 | HOUSING PROG FD-HSG TR FD CORP | - | - | - | - | - | |
| 31852 | HOUSING PROG FD AFFORD HSG CORP | 46,229,225.31 | 46,229,225.31 | 46,229,225.31 | (19,765,892.97) | 26,463,332.34 | |
| 31853 | HOUSING PROG FD-DEPT OF SOCIAL SERVICES | 89,335,816.92 | 89,216,697.42 | 89,235,571.48 | (9,115,049.65) | 80,120,521.83 | |
| 31854 | HOUSING PROG FD-HFA | - | - | - | - | - | |
| 31951 | HIGHWAY FAC PURPOSE | 12,498,223.63 | 12,501,016.67 | 12,530,591.01 | 38,472.34 | 12,569,063.35 | |
| 32213 | NY RACING ACCOUNT | 438,750.00 | 438,750.00 | 648,750.00 | 275,000.00 | 923,750.00 | |

APPENDIX G

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

| SFS Fund | ACCOUNT TITLE | September 30, 2014 | October 31, 2014 | November 30, 2014 | Change | December 31, 2014 |
|---|---|---|---|---|---|---|
| 32301 | OPWDD-STATE FACILITIES PRE 12/99 | - | - | - | - | - |
| 32302 | DSAS-COMMUINTY FACILITIES | - | - | - | - | - |
| 32303 | OMH-COMMUNITY FACILITIES | 93,870,485.33 | 95,110,370.30 | 102,189,954.60 | 4,993,444.26 | 107,183,398.86 |
| 32304 | OASAS-COMMUNITY FACILITIES | - | - | - | - | - |
| 32305 | OPWDD-COMMUNITY FACILITIES | 179,128,158.98 | 181,694,077.02 | 182,200,020.09 | 740,000.00 | 182,940,020.09 |
| 32306 | DASNY - OMH ADMIN | 35,015,275.86 | 30,291,004.75 | 30,872,576.23 | 679,371.14 | 31,551,947.37 |
| 32307 | DASNY - OPWDD ADMIN | 8,840,710.03 | 5,768,126.31 | 5,768,126.31 | - | 5,768,126.31 |
| 32308 | DASNY - OASAS ADMIN | 767,890.45 | 278,545.69 | 278,545.69 | - | 278,545.69 |
| 32309 | OMH -STATE FACILITIES | 125,441,044.24 | 119,581,399.79 | 123,943,649.87 | (18,664,214.54) | 105,279,435.33 |
| 32310 | OPWDD -STATE FACILITIES | - | - | - | - | - |
| 32311 | OASAS -STATE FACILITIES | 1,001,820.45 | 1,085,078.75 | 1,303,102.85 | 20,302.30 | 1,323,405.15 |
| 32351 | CORR. FACILITIES CAPITAL IMPROVEMENT | 11,110.01 | 11,110.01 | - | - | - |
| 32352 | DOCS-REHABILITATION PROJECTS | 100,338,146.48 | 118,657,257.31 | 17,555,605.06 | 17,811,272.50 | 35,366,877.56 |
| 33001 | STORM RECOVERY ACCOUNT | 10,001,126.05 | 10,001,126.05 | 10,001,126.05 | - | 10,001,126.05 |
| | **TOTAL CAPITAL AND BOND REIMBURSABLE FUNDS** | **1,683,206,917.65** | **1,675,849,343.93** | **1,413,962,598.02** | **240,677,876.08** | **1,654,640,474.10** |
| | **STATE SPECIAL REVENUE FUNDS** | | | | | |
| 20451 | TUITION REIMBURSEMENT FUND | - | - | - | - | - |
| 20452 | VOCATIONAL SCHOOL SUPERVISION | - | - | - | - | - |
| 20501 | LOCAL GOVERNMENT RECORDS MGMT | - | - | - | - | - |
| 20810 | CHILD HEALTH INSURANCE | 90,890,238.26 | 113,855,777.72 | 63,110,696.08 | 23,275,659.64 | 86,386,355.72 |
| 20812 | HOSPITAL BASED GRANTS PROGRAM | 65.55 | 65.55 | 65.55 | 0.01 | 65.56 |
| 20818 | EPIC PREMIUM ACCOUNT | 12,610,466.15 | 24,764,808.32 | - | - | - |
| 20901 | LOTTERY-EDUCATION | 1,345,329,395.13 | 1,177,052,802.57 | 1,040,883,351.68 | (165,833,745.40) | 875,049,606.28 |
| 20904 | VLT EDUCATION | - | - | - | - | - |
| 21001 | ENVIR FAC CORP ADM ACCT | - | - | - | - | - |
| 21002 | ENCON ADMIN ACCT | 1,690,958.01 | 2,293,801.06 | 2,481,519.35 | 286,519.97 | 2,768,039.32 |
| 21053 | WASTE MGMT AND CLEANUP | - | - | - | - | - |
| 21061 | HAZARDOUS BULK STORAGE | - | - | - | - | - |
| 21065 | FEDERAL GRANTS INDIRECT COST RECOVERY ACCOUNT | 3,475,925.78 | 4,131,046.74 | 4,763,417.19 | 963,724.36 | 5,727,141.55 |
| 21066 | ENCON-LOW LEVEL RADIOACTIVE WASTE SITING | 3,875,900.58 | 4,154,409.48 | 4,627,453.04 | (428,558.44) | 4,198,894.60 |
| 21067 | ENCON-RECREATION | 11,835,298.95 | 12,219,645.18 | 12,060,977.44 | (642,848.91) | 11,418,128.53 |
| 21077 | PUBLIC SAFETY RECOVERY ACCOUNT | 42,234.27 | 52,746.95 | 73,800.38 | (1,080.00) | 72,720.38 |
| 21080 | ENCON CONSERVATIONIST MAGAZINE ACCT | - | - | - | - | - |
| 21081 | ENVIRONMENTAL REGULATORY | 32,142,116.18 | 27,731,690.78 | 26,882,856.96 | (111,711.93) | 26,771,145.03 |
| 21082 | NATURAL RESOURCES ACCOUNT | 20,615,962.06 | 20,956,649.05 | 20,732,143.17 | (642,542.45) | 20,089,600.72 |
| 21084 | MINED LAND RECLAMATION ACCT | - | - | - | - | - |
| 21087 | GREAT LAKES RESTORATION INITIATIVE | - | - | - | - | - |
| 21201 | AUDIT AND CONTROL OIL SPILL | 468,295.56 | 508,009.63 | 635,761.20 | 61,774.20 | 697,535.40 |
| 21202 | HEALTH DEPT OIL SPILL | 151,708.09 | 167,748.82 | 206,587.14 | 19,549.76 | 226,136.90 |
| 21203 | DEPT OF ENVIRONMENTAL CONSERVATION OIL SPILL | 7,615,654.95 | 9,901,977.94 | 10,714,447.77 | 1,330,967.81 | 12,045,415.58 |
| 21204 | OIL SPILL COMPENSATION | - | - | - | - | - |
| 21205 | LICENSE FEE SURCHARGES | - | - | - | - | - |
| 21401 | PUBLIC TRANSPORTATION SYSTEMS | 230,395.17 | - | 5,925,202.97 | (1,583,644.64) | 4,341,558.33 |
| 21402 | METROPOLITAN MASS TRANSPORTATION | - | - | 173,966,298.47 | 498,249,454.03 | 672,215,752.50 |
| 21451 | OPERATING PERMIT PROGRAM | 21,457,640.77 | 22,039,746.12 | 20,247,109.99 | 388,021.46 | 20,635,131.45 |
| 21452 | MOBILE SOURCE | 552,737.76 | 32,526.52 | - | - | - |
| 21902 | HEALTH-SPARC'S | - | - | - | - | - |
| 21903 | OPWDD PROVIDER OF SERVICE | 52,597,581.24 | 60,350,608.96 | 64,205,123.47 | 8,140,067.07 | 72,345,190.54 |
| 21907 | MENTAL HYGIENE PROGRAM | - | - | - | - | - |
| 21909 | MENTAL HYGIENE PATIENT INCOME ACCOUNT | 331,738,888.43 | 458,641,324.64 | 231,306,714.99 | 81,476,267.34 | 312,782,982.33 |
| 21911 | FINANCIAL CONTROL BOARD | 585,324.78 | 198,400.75 | 495,158.59 | 219,508.00 | 714,666.59 |
| 21912 | RACING REGULATION ACCOUNT | 7,572,904.25 | 4,970,010.63 | 4,793,915.78 | 549,801.41 | 5,343,717.19 |
| 21913 | NY METROPOLITAN TRANSPORTATION COUNCIL | 15,220,133.21 | 13,656,516.89 | 14,454,819.10 | 1,933,003.75 | 16,387,822.85 |
| 21919 | CYBER SECURITY UPGRADE | - | - | - | - | - |
| 21937 | SU DORM INCOME REIMBURSE | 304,490.40 | 220,604.87 | 1,064,445.88 | 4,005,638.13 | 5,070,084.01 |
| 21943 | ENERGY RESEARCH ACCOUNT | 11,064,416.93 | 12,906,666.93 | 12,906,666.93 | - | 12,906,666.93 |
| 21945 | CRIMINAL JUSTICE IMPROVEMENT | - | - | - | - | - |
| 21950 | FINGERPRINT IDENTIFICATION AND TECH ACCOUNT | - | - | - | - | - |
| 21959 | ENV LAB REF FEE | 1,267,896.05 | 1,425,621.02 | 1,503,997.27 | (1,503,997.27) | - |
| 21962 | CLINICAL LAB FEE | 20,660,994.87 | 17,871,791.82 | 16,572,366.81 | 621,911.87 | 17,194,278.68 |
| 21964 | PUBLIC EMP REL BOARD | - | - | - | - | - |
| 21978 | INDIRECT COST RECOVERY | 3,830,077.73 | 5,191,374.29 | 1,157,021.62 | (623,504.58) | 533,517.04 |
| 21979 | HIGH SCHOOL EQUIVALENCY PROGRAM | - | - | - | - | - |
| 21989 | MULTI - AGENCY TRAINING ACCOUNT | - | - | - | - | - |
| 22003 | BELL JAR COLLECTION ACCOUNT | - | - | - | - | - |
| 22004 | INDUSTRY AND UTILITY SERVICE | - | 23,141.94 | 97,895.06 | (97,895.06) | - |
| 22006 | REAL PROPERTY DISPOSITION | 224,594.93 | 273,387.24 | 336,217.14 | 29,733.44 | 365,950.58 |
| 22007 | PARKING ACCOUNT | - | - | - | - | - |
| 22009 | ASBESTOS SAFETY TRAINING | 38,698.23 | 60,232.55 | 26,325.41 | (26,325.41) | - |
| 22032 | BATAVIA SCHOOL FOR THE BLIND | 8,712,225.52 | 10,266,747.43 | 11,508,304.96 | 515,955.75 | 12,024,260.71 |
| 22034 | INVESTMENT SERVICES | - | - | - | - | - |
| 22036 | SURPLUS PROPERTY ACCOUNT | - | - | - | - | - |
| 22039 | FINANCIAL OVERSIGHT | 928,473.18 | 173,038.20 | 712,579.37 | 250,846.60 | 963,425.97 |

APPENDIX G

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

| SFS Fund | ACCOUNT TITLE | September 30, 2014 | October 31, 2014 | November 30, 2014 | Change | December 31, 2014 | |
|---|---|---|---|---|---|---|---|
| 22046 | REGULATION INDIAN GAMING | 56,706,697.18 | 57,275,264.52 | 57,871,543.48 | 1,764,766.61 | 59,636,310.09 | |
| 22053 | ROME SCHOOL FOR THE DEAF | 2,743,834.62 | 4,089,660.25 | 5,075,181.84 | 370,900.44 | 5,446,082.28 | |
| 22054 | DSP-SEIZED ASSETS | - | - | - | 216,528.14 | 216,528.14 | |
| 22055 | ADMINISTRATIVE ADJUDICATION | 1,204,315.71 | 28,324.24 | 1,938,903.52 | (1,938,903.52) | - | |
| 22056 | FEDERAL SALARY SHARING | - | 91,001.59 | 172,566.29 | 189,913.62 | 362,479.91 | |
| 22062 | NYC ASSESSMENT ACCT | - | - | - | - | - | |
| 22063 | CULTURAL EDUCATION ACCOUNT | 1,494,587.48 | 2,427,703.55 | 1,579,422.47 | 1,903,759.97 | 3,483,182.44 | |
| 22078 | LOCAL SERVICE ACCOUNT | - | - | - | - | - | |
| 22085 | DHCR MORTGAGE SERVICES | 2,843,752.34 | 2,702,428.90 | 3,702,316.79 | (140,100.60) | 3,562,216.19 | |
| 22087 | DMV-COMPULSORY INS PRGM | - | - | - | - | - | |
| 22090 | HOUSING INDIRECT COST RECOVERY | 5,093,811.12 | 4,812,900.34 | 5,027,460.49 | 303,644.68 | 5,331,105.17 | |
| 22094 | ACCIDENT PREVENTION COURSE PROGRAM | - | - | - | - | - | |
| 22100 | DHCR-HOUSING CREDIT AGENCY APPLY FEE | - | - | 85,325.80 | 268,755.84 | 354,081.64 | |
| 22130 | LOW INCOME HOUSING CREDIT MONITORING | - | - | - | - | - | |
| 22135 | EFC-CORPORATION ADMINISTRATION | - | - | - | - | - | |
| 22144 | MONTROSE VETERAN'S HOME | - | - | - | - | - | |
| 22151 | DEFERRED COMPENSATION ADMIN | 122,255.20 | - | - | 64,121.60 | 64,121.60 | |
| 22156 | RENT REVENUE OTHER - NYC | 18,967,085.71 | 24,696,584.37 | 26,650,796.69 | (20,471,650.83) | 6,179,145.86 | |
| 22158 | RENT REVENUE | 86,813.43 | 409,353.89 | 460,837.79 | 27,380.57 | 488,218.36 | |
| 22168 | TAX REVENUE ARREARAGE ACCOUNT | - | - | - | - | - | |
| 22654 | S.U. NON-RESIDENT REV. OFFSET | 27,702,299.13 | 27,704,092.45 | 27,705,756.81 | 2,107.96 | 27,707,864.77 | |
| 22802 | STATE POLICE MV ENFORCE | - | - | - | - | - | |
| 23001 | DOT - HIGHWAY SAFETY PRGM | 5,962,738.59 | 6,180,819.21 | 6,080,776.50 | 331,768.35 | 6,412,544.85 | |
| 23101 | EFC DRINKING WATER PROGRAM | - | - | - | - | - | |
| 23102 | DOH DRINKING WATER PROGRAM | 9,674,857.40 | 7,047,232.69 | 7,580,315.59 | 469,649.06 | 8,049,964.65 | |
| 23151 | NYCCC OPERATING OFFSET | 34,077,288.77 | 35,978,347.52 | 38,080,114.71 | 2,785,146.05 | 40,865,260.76 | |
| 23701 | COMMERCIAL GAMING REVENUE | - | - | - | - | - | |
| 23702 | COMMERCIAL GAMING REGULATION | 499,453.92 | 566,143.88 | 5,578,643.29 | 554,085.43 | 6,132,728.72 | |
| | **TOTAL STATE SPECIAL REVENUE FUNDS** | **2,174,911,483.57** | **2,180,102,777.99** | **1,936,043,202.82** | **437,524,423.88** | **2,373,567,626.70** | |
| | **FEDERAL FUNDS** | | | | | | |
| 25000-25099 | FEDERAL USDA/FOOD AND NUTRITION SERVICES FUND | 22,512,599.70 | 5,292,460.41 | 29,481,726.82 | (19,981,412.33) | 9,500,314.49 | |
| 25100-25199 | FEDERAL HEALTH AND HUMAN SERVICES FUND | 526,501,306.94 | 82,126,074.15 | 191,243,645.91 | 175,763,950.70 | 367,007,596.61 | |
| 25200-25249 | FEDERAL EDUCATION GRANTS FUND | 48,143,855.44 | 61,769,368.71 | 35,279,892.08 | (1,575,276.17) | 33,704,615.91 | |
| 25300-25899 | FEDERAL OPERATING GRANTS FUND | 337,068,376.67 | 239,240,037.08 | 989,782,093.84 | (641,897,545.74) | 347,884,548.10 | |
| 31351 | MILITARY AND NAVAL AFFAIRS | 7,597,140.89 | 7,187,937.44 | 7,187,937.44 | (353,784.69) | 6,834,152.75 | |
| 31354 | DEPARTMENT OF TRANSPORTATION | 204,034,511.86 | 223,440,698.37 | 209,135,689.17 | (56,381,577.17) | 152,754,112.00 | (**) |
| 31350-31449 | FEDERAL CAPITAL PROJECTS FUND (ALL OTHER) | 35,765,509.51 | 14,530,097.32 | 14,034,017.24 | 966,290.98 | 15,000,308.22 | |
| 25900-25949 | UNEMPLOYMENT INSURANCE ADMINISTRATION | 1,245,658.12 | 1,244,621.12 | 1,244,271.12 | (195.00) | 1,244,076.12 | |
| 25950 | FEDERAL UNEMPLOYMENT INS OCCUPATIONAL TRAINING | - | - | - | - | - | |
| 26001-26049 | DOL EMPLOYMENT AND TRAINING GRANTS | 517,966.32 | 1,300,444.65 | 7,201,088.21 | (7,159,361.30) | 41,726.91 | |
| | **TOTAL FEDERAL FUNDS** | **1,183,386,925.45** | **636,131,739.25** | **1,484,590,361.83** | **(550,618,910.72)** | **933,971,451.11** | (***) |
| | **AGENCY FUNDS** | | | | | | |
| 60201 | EMPLOYEES HEALTH INSURANCE ACCT | - | - | - | - | - | |
| 60901 | MMIS - STATE AND FEDERAL | - | - | - | - | - | |
| | **TOTAL AGENCY FUNDS** | **-** | **-** | **-** | **-** | **-** | |
| | **ENTERPRISE FUND** | | | | | | |
| 50318 | OGS CONVENTION CENTER ACCOUNT | - | - | - | - | - | |
| | **TOTAL ENTERPRISE FUND** | **-** | **-** | **-** | **-** | **-** | |
| | **INTERNAL SERVICE FUNDS** | | | | | | |
| 55001 | CENTRALIZED SERVICES-FLEET MGMT | 466,098.18 | 264,223.13 | 200,016.51 | (31,277.75) | 168,738.76 | |
| 55002 | CENTRALIZED SERVICES-DATA PROCESSING | 1,608,733.50 | 1,795,660.67 | 1,795,866.82 | (1,795,866.82) | - | |
| 55003 | CENTRALIZED SERVICES-PRINTING | 2,659,589.66 | 2,749,227.54 | 2,979,673.62 | 51,447.83 | 3,031,121.45 | |
| 55004 | CENTRALIZED SERVICES-REAL PROPERTY-LABOR | 363,143.53 | - | - | - | - | |
| 55005 | CENTRALIZED SERVICES-DONATED FOODS | - | - | - | - | - | |
| 55006 | CENTRALIZED SERVICES-PERSONAL PROPERTY | - | - | - | - | - | |
| 55007 | CENTRALIZED SERVICES-CONSTRUCTION SERVICES | 3,363,216.99 | 3,447,798.72 | 3,180,940.94 | 501,630.15 | 3,682,571.09 | |
| 55008 | CENTRALIZED SERVICES-PASNY | 17,923,836.13 | 26,589,168.55 | 28,626,384.58 | 1,949,104.06 | 30,575,488.64 | |
| 55009 | CENTRALIZED SERVICES-ADMIN SUPPORT | - | - | - | - | - | |
| 55010 | CENTRALIZED SERVICES-DESIGN AND CONSTR | - | 771,244.03 | 6,523,508.59 | 3,870,741.11 | 10,394,249.70 | |
| 55011 | CENTRALIZED SERVICES-INSURANCE | 2,875,043.90 | 2,477,385.56 | 2,336,254.82 | (376,340.81) | 1,959,914.01 | |
| 55012 | CENTRALIZED SERVICES-SECURITY CARD ACCESS | 5,229.10 | - | 19,554.20 | (8,140.88) | 11,413.32 | |
| 55013 | CENTRALIZED SERVICES-COP'S | - | - | - | - | - | |
| 55014 | CENTRALIZED SERVICES-FOOD SERVICES | - | - | - | - | - | |
| 55015 | CENTRALIZED SERVICES-HOMER FOLKS | - | - | - | - | - | |
| 55016 | CENTRALIZED SERVICES-IMMICS | 26,961.54 | 26,961.54 | 26,961.54 | - | 26,961.54 | |
| 55017 | DOWNSTATE WAREHOUSE | 430,764.91 | 638,286.36 | 655,128.64 | 195,609.65 | 850,738.29 | |
| 55018 | BUILDING ADMINISTRATION | - | - | - | - | - | |
| 55019 | LEASE SPACE INITIATIVE | - | - | - | - | - | |
| 55020 | OGS ENTERPRISE CONTRACTING ACCT | 84,234,471.47 | 86,973,446.91 | 83,839,947.48 | (8,593,576.49) | 75,246,370.99 | |

APPENDIX G

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

| SFS Fund | ACCOUNT TITLE | September 30, 2014 | October 31, 2014 | November 30, 2014 | Change | December 31, 2014 |
|---|---|---|---|---|---|---|
| 55021 | NYS MEDIA CENTER | 1,599,596.67 | 1,844,875.43 | 2,263,647.36 | 421,849.07 | 2,685,496.43 |
| 55022 | BUSINESS SERVICES CENTER | 1,907,826.44 | 1,812,179.84 | 1,975,025.49 | 367,318.83 | 2,342,344.32 |
| 55052 | ARCHIVES RECORD MGMT I.S. | - | - | - | - | - |
| 55053 | FEDERAL SINGLE AUDIT | - | - | - | - | - |
| 55055 | CIVIL SERVICE LAW:SEC. 11 ADMIN | - | - | - | - | - |
| 55056 | CIVIL SERVICE EHS OCCUP HEALTH PROG | - | - | - | - | - |
| 55057 | BANKING SERVICES ACCOUNT | 875,471.11 | 34,622.15 | 3,279.96 | 57,261.82 | 60,541.78 |
| 55058 | CULTURAL RESOURCE SURVEY | 2,775,068.81 | 2,589,301.23 | 2,867,445.67 | 122,264.34 | 2,989,710.01 |
| 55059 | NEIGHBOR WORK PROJECT | 10,164,097.91 | 10,505,201.58 | 10,413,086.09 | 339,252.16 | 10,752,338.25 |
| 55060 | AUTOMATIC/PRINT CHARGBACKS | 3,614,793.63 | 1,844,056.31 | 2,544,938.39 | (1,105,166.50) | 1,439,771.89 |
| 55061 | OFT NYT ACCT | 8,980,150.47 | 9,888,697.05 | 10,468,269.14 | 161,407.60 | 10,629,676.74 |
| 55062 | DATA CENTER ACCOUNT | 50,956,418.92 | 51,416,139.07 | 51,128,671.18 | 304,271.70 | 51,432,942.88 |
| 55063 | HUMAN SVCE TELECOM ACCT | - | - | - | - | - |
| 55066 | CYBER SECURITY INTRUSION ACCT | 1,688,610.19 | 1,784,119.08 | 1,646,320.86 | (28,360.71) | 1,617,960.15 |
| 55067 | DOMESTIC VIOLENCE GRANT | 179,733.65 | 186,968.34 | 202,153.43 | (23,870.80) | 178,282.63 |
| 55069 | CENTRALIZED TECHNOLOGY SERVICES | 4,002,810.73 | 5,259,273.14 | 8,279,730.57 | 27,014,389.19 | 35,294,119.76 |
| 55071 | LABOR CONTACT CENTER ACCT | 388,141.11 | 465,299.49 | 544,477.88 | 267,847.17 | 812,325.05 |
| 55072 | HUMAN SERVICES CONTACT CNTR ACCT | 263,455.16 | 490,303.48 | 537,085.56 | (67,289.60) | 469,795.96 |
| 55073 | TAX CONTACT CENTER ACCT | - | - | - | - | - |
| 55201 | JOINT LABOR MANAGEMENT ADMIN | - | - | - | - | - |
| 55251 | EXECUTIVE DIRECTION INTERNAL AUDIT | 2,703,991.20 | 2,866,326.16 | 3,365,296.86 | 238,752.04 | 3,604,048.90 |
| 55252 | CIO INFORMATION TECHNOLOGY CENTRALIZED SERVICES | 3,003,977.16 | 4,018,832.43 | 1,220,551.76 | 1,503,170.52 | 2,723,722.28 |
| 55300 | HEALTH INSURANCE INTERNAL SERVICE | 12,838,982.10 | 13,604,060.06 | 13,204,102.15 | (717,565.86) | 12,486,536.29 |
| 55301 | CIVIL SERVICE EMPLOYEE BENEFITS DIV ADM | 1,959,506.42 | 2,290,647.95 | 2,391,715.81 | 158,010.20 | 2,549,726.01 |
| 55350 | CORR INDUSTRIES INTERNAL SERVICE | 16,895,446.65 | 19,518,696.69 | 22,883,656.66 | 2,162,493.64 | 25,046,150.30 |
| | **TOTAL INTERNAL SERVICE FUNDS** | **238,755,167.24** | **256,153,002.49** | **266,123,692.56** | **26,939,364.86** | **293,063,057.42** |
| | **GRAND TOTAL - TEMPORARY LOANS OUTSTANDING** | **$ 5,280,260,493.91** | **$ 4,748,236,863.66** | **$ 5,100,719,855.23** | **$ 154,522,754.10** | **$ 5,255,242,609.33** |

(*) Temporary Loans are authorized pursuant to Subdivision 5 of Section 4 of the State Finance Law and Chapter 55, Part I, Section 1 and 1A, of the Laws of 2014-15. The loans represent authorizations made by the Legislature to allow certain funds/accounts to make appropriated payments regardless of the fund (cash) balance. Such loans are made from the State's Short-Term Investment Pool (STIP) and are intended to satisfy temporary cash shortfalls whenever scheduled disbursements exceed available revenues during the fiscal year. Generally, temporary loans are repaid from the first cash receipts of the fund or account; however, in some cases actual revenues are not sufficient to repay all loans made to the fund or account and a transfer from the General Fund "Repayment of Receivables" appropriation is approved by the Budget Director. The balances reported here in Appendix G are the actual fund balances as of the close of business on the last day of the reporting month and do not include post-closing adjustments. Please refer to Schedule 1 for a detailed analysis of the 'reported' cash balances of the fund group.

(**) The Fund 31354 temporary loan balance includes $36.3 million of costs previously disallowed by the Federal Highway Administration. These costs are systematically being transferred to Fund 30051 based upon a realignment plan with the Department of Transportation. A total of $33.5 million will be transferred to Fund 30051 on or before March 31, 2015.

(***) Except for DOT-Highways see note (**), temporary loans to federal funds are typically reimbursed within 2-3 days. Such loans are made pursuant to federal regulations which require the State to disburse funds prior to making a reimbursement claim from the U.S. Treasury.

(****) Per Section 72 of the State Finance Law, the General Fund includes the Local Assistance Fund (10000) and State Purpose Fund (10050).