
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 January 29, 2017
- the 45-day period expires on January 14, 2017
- the 30-day period expires on December 30, 2016

**ANDREW M. CUOMO
GOVERNOR**

**ROSSANA ROSADO
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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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

Program Rules for New York State Grown and Certified

I.D. No. AAM-35-16-00017-A

Filing No. 1040

Filing Date: 2016-11-15

Effective Date: 2016-11-30

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

Action taken: Addition of Part 161 to Title 1 NYCRR.

Statutory authority: Agriculture and Markets Law, sections 16, 18, 156-f and 156-h

Subject: Program rules for New York State Grown and Certified.

Purpose: Inform interested parties of the program; its purpose, participation requirements, qualifying product and rules of participation.

Text of final rule: Title One of the Official Compilation of Codes, Rules and Regulations of the State of New York is amended by adding thereto a new Part 161, to read as follows:

PART 161

NEW YORK STATE GROWN AND CERTIFIED PROGRAM

161.1 Purpose

This Part has been promulgated to allow producers of farm or forest products, grown, harvested, raised and bred in New York and processors and/or manufacturers of farm and forest products manufactured in New York using farm and forest products predominantly grown, harvested or raised in the state by New York State Grown and Certified Program producers, to use the New York State Grown and Certified Seal on labels and

labeling associated with such product, provided that, as more specifically set forth in this Part, the producer, processor or manufacturer has: (a) been verified to grow, harvest, raise, process and/or manufacture the product using good agricultural or handling practices; and/or (b) operates in an environmentally responsible manner.

161.2 Definitions

For the purpose of this Part, the following terms shall have the following meanings:

(a) “Environmentally Responsible Manner” means participation in: (i) the Agricultural Environmental Management Program, administered by the Department of Agriculture and Markets (“AEM Program”), with the completion of Tier 2 of the program, or higher, within three years of admission into the New York State Grown and Certified Program; or (ii) another program, either identified in this Part or determined by the Commissioner to demonstrate environmental responsibility sufficient to qualify for participation in the New York State Grown and Certified Program.

(b) “Farm products” means agricultural and horticultural products grown and/or produced in New York, including: vegetable and fruit products; grains, livestock and meats; milk, poultry; eggs; nuts; honey; maple tree sap and maple products produced therefrom; as well dairy products that have been processed or manufactured in New York from milk predominantly produced in New York. Except as otherwise provided in this subdivision, a farm product is produced in New York if it is, solely, the product of land or trees located in New York.

(c) “Forest products” means trees, logs, firewood, lumber, paper and related products that have been produced or processed in New York. A forest product is produced in New York if it: (i) consists solely of trees, or parts thereof, grown in New York or (ii) it has been manufactured in New York from trees grown predominantly in New York.

(d) “Good Agricultural Practices” (GAP) and Good Handling Practices (GHP) mean the voluntary audit programs bearing those names administered by the United States Department of Agriculture.

(e) “GAP or GHP Certification” means that the processes employed by the producer have been verified under the United States Department of Agriculture’s GAP or GHP Program.

(f) “GAP or GHP Certified Equivalent” means a program with annual third-party audits to verify that the participant operates using good agricultural and/or handling practices, which program is either identified in this Part or which has been determined to be a GAP or GHP Certified equivalent by the Commissioner.

(g) “Horticultural products” means nursery stock, ornamental shrubs, ornamental trees and flowers.

(h) “Seal” means the official New York State Grown and Certified seal.

161.3 Qualifications for New York State Grown and Certified Producers, Processors and Manufacturers

(a) New York State Grown and Certified is a voluntary program open to:

(1) producers of farm products;

(2) processors and/or manufacturers of food products manufactured in New York, including wine, spirits, beer and cider, using farm products of New York State Grown and Certified Program producers at levels to be established by the Commissioner which in no event shall fall below a preponderance of the product’s ingredients;

(3) producers of forest products and equine stock born and bred in New York;

(4) processors and/or manufacturers of forest products that are processed and manufactured in New York and use forest products from New York State Certified Producers at levels established by the Commissioner which in no event shall fall below a preponderance of the product or the component parts of the product; and/or

(5) processors and/or manufacturers of such other non-food products determined by the Commissioner to qualify for the New York State Certified Program, which product is processed or manufactured in New York and uses product from New York State Certified Producers at levels established by the Commissioner which in no event shall fall below a preponderance of the product or the component parts of the product.

(b) *Qualifications for the New York State Grown and Certified Program producers, processors and manufacturers shall be established by the Commissioner and at a minimum require:*

(1) *for food products:*

(a) *certification for safe food handling practices, evidenced by: (i) GAP Certification, GHP Certification, or a GAP or GHP certified equivalent; (ii) participation in a Safe Quality Food Institute auditing program (SQF), or in an annual safe food handling training program deemed acceptable by the Commissioner; or in a modified annual food safety inspection for good manufacturing practices (GMPs) conducted by the Department's Division of Food Safety & Inspection, and/or (iii) such other good food handling practices program deemed acceptable by the Commissioner for the particular product category; and/or*

(b) *operation in an environmentally responsible manner.*

(2) *for non-food products: operation in an environmentally responsible manner.*

161.4 The New York State Grown and Certified Seal

(a) *Individuals or entities that grow, produce, raise or harvest farm products in New York and individuals or entities that process or manufacture farm products in New York predominately from farm products grown, produced, raised or harvested in the State may use the New York State Grown and Certified Seal (the "Seal") on or upon a label, labeling, package, container, advertisement, or display, in the form set forth below as applicable to the product and under the terms set forth in this Part, provided that the individual or entity has been determined to be qualified to use the Seal by the Commissioner and has executed a license agreement in the form provided by the Commissioner ("license").*

(b) *The Seal shall be in the following form: See Appendix in the back of this issue.*

161.5 Application for Participation in the New York State Grown and Certified Program

A producer, processor and/or manufacturer of farm or forest products or a breeder of horses born and bred in New York may apply to the Commissioner for permission to place the Seal on or upon a label, labeling, package, or container of, or on or upon an advertisement or display promoting, products qualifying for use of the New York State Grown and Certified Seal. Such application shall be submitted to the Commissioner, upon a form provided by the Commissioner, and shall contain the information required by the provisions of this Part as well as any other information that, in the opinion of the Commissioner, is necessary for the proper administration of the New York State Grown and Certified Program. Except as provided in section 161.6 of this Part, permission will not be granted unless an application therefor has been made and a Trademark Licensing Agreement, in a form provided by the Commissioner has been executed.

161.6 Granting permission to use the New York State Grown and Certified Seal; granting applications therefor; revoking permission therefor

The Commissioner may grant an application for permission for the Seal to be placed on a label or labeling of, or upon an advertisement or display promoting, a qualifying product, after finding the applicant is qualified to participate in this program pursuant to the terms of this Part. The Commissioner may decline to grant an application, or may suspend or revoke permission to use the Seal, whenever he or she finds, after an opportunity to be heard, that the program participant:

(a) *does not or no longer meets the qualifications set forth in section 161.3 of this Part;*

(b) *has failed or refused to produce any information demanded by the Commissioner reasonably related to the administration and enforcement of this Part;*

(c) *has failed or refused to comply with any applicable provision set forth in this Part or in the Trademark Licensing Agreement; and/or*

(d) *has, in the Commissioner's opinion, disparaged the Seal or engaged in conduct damaging the good will of the Seal.*

161.7 Conditions of use of the New York State Grown and Certified Seal

A producer, processor and/or manufacturer granted permission to use the Seal shall:

(a) *use it on articles or other publicity materials solely for the purpose of referring to the New York State Grown and Certified Program;*

(b) *use it to support the New York State Grown and Certified Program and for the purpose of promoting products to their customers and to the general public;*

(c) *use it only on products for which permission was granted by the Commissioner, pursuant to the provisions of this Part;*

(d) *use it only on high-quality products;*

(e) *comply with all federal, state, local and municipal laws and ordinances directly related to products in connection with which the Seal is used;*

(f) *not alter, amend, change, or otherwise distort the Seal in any way, except as otherwise and expressly authorized by the Commissioner;*

(g) *not challenge, contest, impair or tend to impair or use it in a way*

that invalidates or may tend to invalidate any of the Department's rights in the Seal;

(h) *not use it in any manner likely to confuse, mislead or to deceive the public, or engage in conduct that damages the value or good will of the Seal or of the New York State Grown and Certified Program;*

(i) *not claim or assert any property interest in the Seal; and*

(j) *not to register or file applications to register the Seal or a name substantially similar thereto.*

Final rule as compared with last published rule: Nonsubstantial changes were made in section 161.7(d) and (h).

Text of rule and any required statements and analyses may be obtained from: Kevin King, Director, Division of Agricultural Development, NYS Dept. of Agriculture and Markets, 10B Airline Drive, Albany, NY 12235, (518) 485-0048, email: Kevin.King@agriculture.ny.gov

Revised Job Impact Statement

The change to the proposed rule will impose no impact upon jobs or employment opportunities. The proposed rule will provide for a voluntary program whereby producers, processors, and manufacturers of farm or forest products grown, harvested, or raised in New York, or that predominantly use such products, may apply for and receive permission to use a "New York State Grown and Certified Seal" on the label or labeling of such products, if the program participants have been determined to meet certain conditions. The proposed rule, when implemented, will either have no impact upon jobs and employment opportunities, or will have a positive effect if consumers purchase farm or forest products that bear the seal rather than products from outside the state that do not.

Assessment of Public Comment

The Department received a letter from the Farm Bureau, dated October 19, 2016, that contained no objections to the provisions of the proposed rule but, rather, set forth suggestions regarding its implementation and concerns regarding certain of its provisions. The Farm Bureau suggested that the proposed rule should be implemented to ensure that farm products eligible to use the New York State Grown and Certified Seal must contain a high level of New York grown inputs -- the Department intends to implement the proposed rule, upon its adoption, to accomplish that objective. The Farm Bureau also expressed concern that the proposed rule would not allow "culls" to be labeled with such Seal and the proposed rule has been amended to allow "culls" that are, nevertheless, of high quality to bear the Seal.

The Department received no other comments regarding the proposed rule.

Education Department

EMERGENCY RULE MAKING

Education Requirements for Occupational Therapists and Occupational Therapy Assistants

I.D. No. EDU-44-16-00012-E

Filing No. 1039

Filing Date: 2016-11-15

Effective Date: 2016-11-18

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

Action taken: Amendment of sections 76.1 and 76.7 of Title 8 NYCRR.

Statutory authority: Education Law, sections 207(not subdivided), 6504(not subdivided), 6507(2)(a), 7904(2) and 7904-a(b); L. 2016, ch. 124

Finding of necessity for emergency rule: Preservation of public health and general welfare.

Specific reasons underlying the finding of necessity: The proposed rule is necessary to implement Chapter 124 of the Laws of 2016, which takes effect on November 18, 2016. This amendment to the Education Law amends the education requirements for occupational therapists and occupational therapy assistants by providing the New York State Education Department with the flexibility to issue licenses to applicants who have completed an education that exceeds the current requirements for licensure as either an occupational therapist or occupational therapy assistant, as long as they meet the other licensure requirements for these two oc-

cupational therapy professions. Specifically, Chapter 124 amends Education Law § 7904(2) to allow applicants for licensure as occupational therapists to satisfy the education requirement by having a baccalaureate or master's degree or greater, or its equivalent as determined by the Department. Chapter 124 also amends Education Law § 7904-a(b) to allow applicants for licensure as occupational therapy assistants to satisfy the education requirement by having an associate degree or greater, or its equivalent as determined by the Department.

Since the Board of Regents meets at fixed intervals, the earliest the proposed rule can be presented for regular (non-emergency) adoption, after expiration of the required 45-day public comment period provided for in the State Administrative Procedure (SAPA) Act section 201(1) and (5), would be the January 9-10, 2017 Regents meeting. Furthermore, pursuant to SAPA section 203(1), the earliest effective date of the proposed rule, if adopted at the January meeting, would be January 25, 2017, the date a Notice of Adoption would be published in the State Register. However, the provisions of Chapter 124 of the Laws of 2016 become effective November 18, 2016.

Therefore, emergency action is necessary at the October 2016 Regents meeting for the preservation of the public health and general welfare in order to provide the State Education Department with the flexibility to issue licenses to applicants who have completed an education that exceeds the current requirements for licensure as either an occupational therapist or occupational therapy assistant, as long as they meet the other licensure requirements for these two occupational therapy professions, which will increase the number of licensed professionals qualified to practice occupational therapy and help ensure continuing competency across the State.

It is anticipated that the proposed rule will be presented for adoption at the January 9-10, 2017 Regents meeting, which is the first scheduled meeting after expiration of the 45-day public comment period prescribed in the State Administrative Procedure Act for State agency rule makings.

Subject: Education requirements for Occupational Therapists and Occupational Therapy Assistants.

Purpose: Provides that licenses may be granted to applicants who have completed education exceeding current requirements for licensure.

Text of emergency rule: 1. Section 76.1 of the Regulations of the Commissioner of Education is amended, effective November 18, 2016, as follows:

To meet the professional education requirement for licensure in this State, the applicant shall present evidence of:

(a) *at least a bachelor's or master's degree in occupational therapy from a program registered by the department or accredited by a national accreditation agency which is satisfactory to the department, or its equivalent, as determined by the department;* or

(b) a certificate in occupational therapy from a program registered by the department or accredited by a national accreditation agency which is satisfactory to the department following the completion of a bachelor's degree from an institution acceptable to the department; or

(c) *(b) completion of a program satisfactory to the department of not less than four years of postsecondary study which includes the professional study of occupational therapy and which culminates in the degree or diploma accepted by the civil authorities of the country in which the studies were completed as preparation in occupational therapy in that country.*

2. Subdivision (b) of section 76.7 of the Regulations of the Commissioner of Education is amended, effective November 18, 2016, as follows:

To qualify for licensure as an occupational therapy assistant pursuant to section 7904-a of the Education Law, an applicant shall fulfill the following requirements:

(a) . . .

(b) have received an education as follows:

(1) *(b) complete[ion of] at least a two-year associate degree program for occupational therapy assistants registered by the department or accredited by a national accreditation agency which is satisfactory to the department, or its equivalent, as determined by the department;* or

(2) completion of a postsecondary program of at least two years duration that has been determined by the Board of Regents pursuant to Education Law section 6506(5) to substantially meet the requirements of Education Law section 7904-a(b);

(c) . . .

(d) . . .

(e) . . .

(f) . . .

(g) . . .

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-44-16-00012-P, Issue of November 2, 2016. The emergency rule will expire February 12, 2017.

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:

Section 207 of the Education Law grants general rule-making authority to the Board of Regents to carry into effect the laws and policies of the State relating to education.

Section 6504 of the Education Law authorizes the Board of Regents to supervise the admission to and regulation of the practice of the professions.

Subparagraph (a) of subdivision (2) of section 6507 of the Education Law authorizes the Commissioner of Education to promulgate regulations in administering the admission to the practice of the professions.

Subdivision (2) of section 7904 of the Education Law, as amended by Chapter 124 of the Laws of 2016, allows an applicant for licensure as an occupational therapist to satisfy the education requirement by completing a baccalaureate or master's degree program or greater, or its equivalent, as determined by the Department.

Subdivision (b) of section of 7904-a of the Education Law, as amended by Chapter 124 of the Laws of 2016, allows an applicant for licensure as an occupational therapy assistant to satisfy the education requirement by completing an associate degree program or greater, or its equivalent, as determined by the Department.

2. LEGISLATIVE OBJECTIVES:

The proposed amendment carries out the intent of the aforementioned statutes that the Department shall supervise the regulation of the practice of the professions for the benefit of the public. The proposed amendment will conform the Regulations of the Commissioner of Education to Chapter 124 of the Laws of 2016, which amended Article 156 of the Education Law, by amending the education requirements for occupational therapists and occupational therapy assistants to provide the Department with the flexibility to grant licenses to applicants who have completed an education, or its equivalent, that exceeds the current requirements for licensure as either an occupational therapist or occupational therapy assistant.

The proposed amendment to section 76.1 of the Regulations of the Commissioner of Education provides that to meet the professional education requirement for licensure as an occupational therapist, the applicant must present evidence of: (1) at least a bachelor's or master's degree in occupational therapy from a program registered by the Department or accredited by a national accreditation agency which is satisfactory to the Department, or its equivalent, as determined by the Department; or (2) completion of a program satisfactory to the Department of not less than four years of postsecondary study which includes the professional study of occupational therapy and which culminates in the degree or diploma accepted by the civil authorities of the country in which the studies were completed as preparation in occupational therapy in that country.

The proposed amendment to subdivision (b) of section 76.7 of the Regulations of the Commissioner of Education provides that to meet the professional education requirement for licensure as an occupational therapy assistant, an applicant must complete at least a two-year associate degree program for occupational therapy assistants registered by the Department or accredited by a national accreditation agency which is satisfactory to the Department, or its equivalent, as determined by the Department.

Chapter 124 of the Laws of 2016 further authorizes the Department to develop regulations necessary to implement it.

3. NEEDS AND BENEFITS:

Currently, pursuant to Education Law § 7904(2), the education requirement for occupational therapy licensure requires applicants to have satisfactorily completed an approved occupational therapy curriculum in a baccalaureate or master's program, or a certificate program satisfactory to the Department which is substantially equivalent to a baccalaureate degree program, in accordance with the Commissioner's Regulations. Additionally, pursuant Education Law § 7904-a(b), the current education requirement for occupational therapy assistant licensure requires applicants to have received an education consisting of the completion of a two-year associate degree program for occupational therapy assistants registered by the Department or accredited by a national accreditation agency which is satisfactory to the Department.

However, the nationally recognized accrediting agency for the profession of occupational therapy, the American Occupational Therapy Association's Accreditation Council for Occupational Therapy Education (ACOTE), has determined that occupational therapist education programs may grant either a master's degree or a doctoral degree. Additionally, ACOTE has determined that occupational therapy assistant education programs may grant either an associate degree or a baccalaureate degree.

Chapter 124 of the Laws of 2016, which takes effect on November 18, 2016, was enacted to amend the Education Law's education requirements

for licensure as an occupational therapist and occupational therapy assistant to provide the Department with the flexibility to grant licenses to applicants who have completed an education that exceeds the current requirements for licensure as either an occupational therapist or occupational therapy assistant, in recognition of the changes made to the national accreditation standards.

The proposed rule amends section 76.1 and subdivision (b) of section 76.7 of the Regulations of the Commissioner of Education to provide the Department with the flexibility to grant licenses to applicants who have completed an education, or its equivalent, that exceeds the current requirements for licensure as either an occupational therapist or occupational therapy assistant.

The proposed amendment is necessary to conform the Regulations of the Commissioner of Education to Chapter 124 of the Laws of 2016.

4. COSTS:

(a) Costs to State government: The proposed rule implements statutory requirements and will not impose any additional costs on State government beyond those imposed by the statutory requirements.

(b) Costs to local government: The proposed rule does not impose any additional costs on local government.

(c) Costs to private regulated parties: The proposed rule does not impose any additional costs to regulated parties.

(d) Costs to the regulatory agency: The proposed rule does not impose any additional costs to the Department beyond those imposed by statute.

5. LOCAL GOVERNMENT MANDATES:

The proposed rule implements the requirements of Chapter 124 of the Laws of 2016, by providing the Department with the flexibility to grant licenses to applicants who have completed an education, or its equivalent, that exceeds the current requirements for licensure as either an occupational therapist or occupational therapy assistant. It does not impose any program, service, duty or responsibility upon local governments.

6. PAPERWORK:

The proposed rule imposes no new reporting or other paperwork requirements beyond those imposed by the statute.

7. DUPLICATION:

The proposed rule is necessary to implement Chapter 124 of the Laws of 2016. There are no other State or federal requirements on the subject matter of this proposed rule. Therefore, the proposed rule does not duplicate other existing State or federal requirements.

8. ALTERNATIVES:

The proposed rule is necessary to conform the Regulations of the Commissioner of Education to Chapter 124 of the Laws of 2016. There are no significant alternatives to the proposed rule and none were considered.

9. FEDERAL STANDARDS:

Since there are no applicable federal standards regarding the education requirements for occupational therapists and occupational therapy assistants, the proposed rule does not exceed any minimum federal standards for the same or similar subject areas.

10. COMPLIANCE SCHEDULE:

The proposed amendment is necessary to conform the Regulations of the Commissioner of Education to Chapter 124 of the Laws of 2016. The proposed rule will become effective on November 18, 2016, which is the effective date of the statute. The proposed amendment does not impose any compliance schedules on regulated parties or local governments beyond the November 18, 2016 effective date.

Regulatory Flexibility Analysis

On July 21, 2016, Chapter 124 of the Laws of 2016 was enacted to amend the education requirements for occupational therapists and occupational therapy assistants to provide the Department with the flexibility to grant licenses to applicants who have completed an education that exceeds the current requirements for licensure as either an occupational therapist or occupational therapy assistant.

The proposed amendment to the Regulations of the Commissioner of Education is necessary to implement the provisions of Chapter 124 of the Laws of 2016. The proposed amendment to section 76.1 of the Regulations of the Commissioner of Education provides that to meet the professional education requirement for licensure as an occupational therapist, the applicant must present evidence of: (1) at least a bachelor's or master's degree in occupational therapy from a program registered by the Department or accredited by a national accreditation agency which is satisfactory to the Department, or its equivalent, as determined by the Department; or (2) completion of a program satisfactory to the Department of not less than four years of postsecondary study which includes the professional study of occupational therapy and which culminates in the degree or diploma accepted by the civil authorities of the country in which the studies were completed as preparation in occupational therapy in that country. The proposed amendment to subdivision (b) of section 76.7 of the Regulations of the Commissioner of Education provides that to meet the professional education requirement for licensure as an occupational therapy assistant, an applicant must have completed at least a two-year associate

degree program for occupational therapy assistants registered by the Department or accredited by a national accreditation agency which is satisfactory to the Department, or its equivalent, as determined by the Department.

The statutory education requirements for applicants for licensure as either an occupational therapist or occupational therapy assistant, which the proposed amendment implements, are comparable to the American Occupational Therapy Association's Accreditation Council for Occupational Therapy Education (ACOTE)'s education requirements for occupational therapist and occupational therapy assistant education programs. ACOTE is the nationally recognized accrediting agency for the profession of occupational therapy. Pursuant to ACOTE's standards, occupational therapist education programs may grant either a master's degree or a doctoral degree and occupational therapy assistant education programs may grant either an associate degree or a baccalaureate degree. Chapter 124 was enacted to amend the Education Law's educational requirements for licensure as an occupational therapist and occupational therapy assistant, in recognition of ACOTE's standards.

The proposed amendment will not impose any new reporting, record-keeping, or other compliance requirements, or 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

Currently, pursuant to Education Law § 7904(2), the education requirement for licensure as an occupational therapist requires applicants to have satisfactorily completed an approved occupational therapy curriculum in a baccalaureate or master's program, or a certificate program satisfactory to the Department which is substantially equivalent to a baccalaureate degree program, in accordance with the Commissioner's Regulations. Additionally, pursuant Education Law § 7904-a(b), the current education requirement for licensure as an occupational therapy assistant requires applicants to have received an education consisting of the completion of a two-year associate degree program for occupational therapy assistants registered by the Department or accredited by a national accreditation agency which is satisfactory to the Department.

However, the nationally recognized accrediting agency for the profession of occupational therapy, the American Occupational Therapy Association's Accreditation Council for Occupational Therapy Education (ACOTE), has determined that occupational therapist education programs may grant either a master's degree or a doctoral degree. Additionally, ACOTE has determined that occupational therapy assistant education programs may grant either an associate degree or a baccalaureate degree.

Chapter 124 of the Laws of 2016, which takes effect on November 18, 2016, was enacted to amend the Education Law's education requirements for licensure as an occupational therapist and occupational therapy assistant to provide the Department with the flexibility to grant licenses to applicants who have completed an education that exceeds the current requirements for licensure as either an occupational therapist or occupational therapy assistant, in recognition of the changes made to the national accreditation standards.

Chapter 124 amends Education Law § 7904(2) to allow an applicant for licensure as an occupational therapist to satisfy the education requirement by having a baccalaureate or master's degree or greater, or its equivalent as determined by the Department.

Chapter 124 amends Education Law § 7904-a(b) to allow an applicant for licensure as an occupational therapy assistant to satisfy the education requirement by having an associate degree or greater, or its equivalent as determined by the Department.

The proposed amendment to section 76.1 of the Regulations of the Commissioner of Education provides that to meet the professional education requirement for licensure as an occupational therapist, the applicant must present evidence of: (1) at least a bachelor's or master's degree in occupational therapy from a program registered by the Department or accredited by a national accreditation agency which is satisfactory to the Department, or its equivalent, as determined by the Department; or (2) completion of a program satisfactory to the Department of not less than four years of postsecondary study which includes the professional study of occupational therapy and which culminates in the degree or diploma accepted by the civil authorities of the country in which the studies were completed as preparation in occupational therapy in that country.

The proposed amendment to subdivision (b) of section 76.7 of the Regulations of the Commissioner of Education provides that to meet the professional education requirement for licensure as an occupational therapy assistant, an applicant must have completed at least a two-year associate degree program for occupational therapy assistants registered by the Department or accredited by a national accreditation agency which is

satisfactory to the Department, or its equivalent, as determined by the Department.

The proposed amendment is only applicable to applicants for licensure as either an occupational therapist or an occupational therapy assistant in New York State. The proposed amendment will not impose any adverse impact on rural areas and would not impose any new reporting, recordkeeping, or other compliance requirements, on entities in rural areas of New York State. Accordingly, no further steps were needed to ascertain the impact of the proposed amendment on entities in rural areas and none were taken. Thus, a rural area flexibility analysis is not required, and one has not been prepared.

Job Impact Statement

The proposed rule is required to implement Chapter 124 of the Laws of 2016, which amends the education requirements for occupational therapists and occupational therapy assistants to provide the Department with the flexibility to grant licenses to applicants who have completed an education that exceeds the current requirements for licensure as either an occupational therapist or occupational therapy assistant. Chapter 124 amends Education Law § 7904(2) to allow an applicant for licensure as an occupational therapist to satisfy the education requirement by having a baccalaureate or master's degree or greater, or its equivalent as determined by the Department. In addition, Chapter 124 amends Education Law § 7904-a(b) to allow an applicant for licensure as an occupational therapy assistant to satisfy the education requirement by having an associate degree or greater, or its equivalent as determined by the Department. The proposed amendment to section 76.1 of the Regulations of the Commissioner of Education provides that to meet the professional education requirement for licensure as an occupational therapist, the applicant must present evidence of: (1) at least a bachelor's or master's degree in occupational therapy from a program registered by the Department or accredited by a national accreditation agency which is satisfactory to the Department, or its equivalent, as determined by the Department; or (2) completion of a program satisfactory to the Department of not less than four years of post-secondary study which includes the professional study of occupational therapy and which culminates in the degree or diploma accepted by the civil authorities of the country in which the studies were completed as preparation in occupational therapy in that country. The proposed amendment to subdivision (b) section 76.7 of the Regulations of the Commissioner of Education provides that to meet the professional education requirement for licensure as an occupational therapy assistant, an applicant must have completed at least a two-year associate degree program for occupational therapy assistants registered by the Department or accredited by a national accreditation agency which is satisfactory to the Department, or its equivalent, as determined by the Department.

Although the proposed rule may increase the number of individuals who may be eligible for licensure as either an occupational therapist or occupational therapy assistant, it is not anticipated that the proposed rule will increase or decrease the number of jobs to be filled.

The amendment will not have a substantial adverse impact on jobs and employment opportunities. Because it is evident from the nature of the proposed amendment that it will not affect job and employment opportunities, no affirmative 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.

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Extension of Time Validity of Certificates

I.D. No. EDU-48-16-00007-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 80-1.6 of Title 8 NYCRR.

Statutory authority: Education Law, sections 207(not subdivided), 305(1), (2), 3001(2), 3004(1) and 3006(1)

Subject: Extension of time validity of certificates.

Purpose: To automatically provide for a three year time extension, instead of initial two-year extension for certain candidates.

Text of proposed rule: Section 80-1.6 of the Regulations of the Commissioner of Education is amended, effective March 1, 2017, to read as follows:

(a) [Subject] (1) *For candidates who applied for their first time extension under this section prior to March 1, 2017, subject to the limitation provided in subdivision (e) of this section and excluding expired certificates in the classroom teaching service or expired provisional certificate in the title of school administrator and supervisor, the time validity of an*

expired provisional, initial or transitional certificate may be extended for a period not to exceed two years from the expiration date of such certificate, except as provided in [subdivisions (b), (c) and (d)] subdivision (c) of this section, upon application by the holder of a teaching certificate:

[(1)] (i) who is on leave from his/her teaching duties because of childbearing, childrearing, serious illness, or extended illness;

[(2)] (ii) who is serving with the Peace Corps or other volunteer organization;

[(3)] (iii) whose service as a teacher has been discontinued as a result of abolition of teaching positions in the school district in which employed;

[(4)] (iv) who, because of extreme hardship or other circumstances beyond the control of the individual, was unable to complete the requirements for the permanent or professional certificate in a timely manner, excluding normal family commitments or inconvenience;

[(5)] (v) for a candidate who has been unable to secure employment as a teacher or who has been pursuing a career other than teaching.

(2) For candidates who were issued a two-year time extension under this subdivision prior to March 1, 2017 and the two-year time extension expired on or after August 31, 2016, the commissioner shall automatically extend the time validity of the expired certificate beyond the two-year extension provided for in subdivision (a) of this section, for a period not to exceed one year from the expiration date of the two-year extension.

(b) For holders of a provisional certificate in the pupil personnel service, holders of an initial or transitional certificate in the classroom teaching service or school leadership applying for their first time extension on or after March 1, 2017, the time validity of the expired certificate may be extended for a period not to exceed three years from the expiration date of such certificate, except as provided in subdivision (c) of this section, upon application by the holder of the certificate:

(i) who is on leave from his/her teaching duties because of childbearing, childrearing, serious illness, or extended illness;

(ii) who is serving with the Peace Corps or other volunteer organization;

(iii) whose service as a teacher has been discontinued as a result of abolition of teaching positions in the school district in which employed;

(iv) who, because of extreme hardship or other circumstances beyond the control of the individual, was unable to complete the requirements for the permanent or professional certificate in a timely manner, excluding normal family commitments or inconvenience;

(v) for a candidate who has been unable to secure employment as a teacher or who has been pursuing a career other than teaching.

[(b)] (c) The time validity of expired certificates prescribed in this section, including an expired provisional certificate in the classroom teaching service or an expired provisional certificate in the title of school administrator and supervisor, held by individuals on active duty with the Armed Forces may be extended by the commissioner, upon application by the holder of such certificate, for the time of such active service and an additional 12 months from the end of such service.

[(c) Except as otherwise provided in this subdivision, the commissioner may extend the time validity of an expired provisional, excluding an expired provisional certificate in the classroom teaching service or an expired provisional certificate in the title of school administrator and supervisor, initial or transitional certificate beyond the two-year extension provided for in subdivision (a) of this section, for a period not to exceed one additional year, if in the six months preceding the end of the two-year extension, the candidate is faced with extreme hardship or other circumstances beyond the control of the individual and is unable to complete the requirements for the professional certificate in a timely manner. The commissioner may further extend the time validity of an expired initial or transitional certificate for an additional period of not to exceed one additional year; and may extend the validity of a conditional initial certificate for a period of up to one year if a candidate took one of the revised content specialty examinations administered on or after September 2014, and is required for his/her certificate title and he/she did not receive his/her score on such examination from the department on such examination within a timeframe prescribed by the commissioner and he/she has met all the other certification requirements for the next certificate (i.e., the initial or professional certificate, as applicable).

(d) The commissioner may extend the time validity of an expired provisional, including an expired provisional certificate in the classroom teaching service or an expired provisional certificate in the title of school administrator and supervisor, or initial certificate beyond the extensions provided for in subdivisions (a) and (c) of this section, in increments of one additional year for a candidate who has applied for citizenship or permanent residency, and whose application for citizenship or permanent residency has not been acted upon by the U.S. Citizenship and Immigration Services (USCIS) until the USCIS acts upon such application. Such candidates must provide documentation satisfactory to the department that they meet these requirements, and that they have completed all academic,

testing and experience requirements for permanent or professional certification.

(e) The commissioner will only extend the time validity of an expired provisional certificate under this section if the holder of such provisional certificate submits evidence of having achieved a satisfactory level of performance on the New York State Teacher Certification Examination content specialty test(s) in the area of the certificate, when a content specialty test(s) is required.]

Text of proposed rule and any required statements and analyses may be obtained from: Kirti Goswami, New York State Education Department, 89 Washington Avenue, Room 138, Albany, NY 12234, (518) 474-6400, email: legal@nysed.gov

Data, views or arguments may be submitted to: Peg Rivers, Office of Higher Education, New York State Education Department, Room 979, Albany, NY 12234, (518) 408-1189, email: regcomments@nysed.gov

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 207(not subdivided) grants general rule-making authority to the Regents to carry into effect State educational laws and policies.

Education Law 215 authorizes the Commissioner to require reports from schools under State educational supervision.

Education Law 3001(2) establishes the qualifications of teachers in the State and requires that such teachers possess a teaching certificate issued by the Department.

Education Law 3003 establishes the qualifications of superintendents in the State and requires that superintendent to possess a certificate issued by the Department.

Education Law 3009 prohibits school district monies from being used to pay the salary of an unqualified teacher.

2. LEGISLATIVE OBJECTIVES:

The purpose of proposed amendment is intended to address concerns from the field related to teacher shortages raised by school districts and Board of Cooperative Educational Services (BOCES). The proposed amendment allows holders of certain provisional, initial or transitional certificates to apply for one three-year time extension, if they meet certain criteria, rather than applying for two separate time extensions.

3. NEEDS AND BENEFITS:

Currently, Section 80-1.6 of the Commissioner's Regulations allows holders of certain provisional, initial or transitional certificates, who meet one of the following criteria, to get a two-year extension to provide time for candidates to meet the requirements for an initial, professional or permanent certificate:

- is on leave from his/her teaching duties because of childbearing, childrearing, serious illness, or extended illness;
- is serving with the Peace Corps or other volunteer organization;
- service as a teacher has been discontinued as a result of abolition of teaching positions in the school district in which employed;
- who, because of extreme hardship or other circumstances beyond the control of the individual, was unable to complete the requirements for the permanent or professional certificate in a timely manner, excluding normal family commitments or inconvenience;
- has been unable to secure employment as a teacher or who has been pursuing a career other than teaching.

The Commissioner may then extend the time validity of an expired provisional certificate (excluding an expired provisional certificate in the classroom teaching service or an expired provisional certificate in the title of school administrator and supervisor) or an expired initial or transitional certificate beyond the two-year extension provided for one additional year, if in the six months preceding the end of the two-year extension, the candidate is faced with extreme hardship or other circumstances beyond the control of the individual and is unable to complete the requirements for the professional certificate in a timely manner.

Proposed Amendment:

Based on feedback from the field, the proposed amendment instead seeks to allow candidates to apply for just one three-year extension if they meet one of the criteria listed below instead of submitting two separate requests for an extension of their expired certificates:

- is on leave from his/her teaching duties because of childbearing, childrearing, serious illness, or extended illness;
- is serving with the Peace Corps or other volunteer organization;
- service as a teacher has been discontinued as a result of abolition of teaching positions in the school district in which employed;
- who, because of extreme hardship or other circumstances beyond the control of the individual, was unable to complete the requirements for the permanent or professional certificate in a timely manner, excluding normal family commitments or inconvenience;

- has been unable to secure employment as a teacher or who has been pursuing a career other than teaching.

The proposed amendment also eliminates the option to receive a time extension in increments of one additional year for candidates who apply for citizenship or permanent residency, and whose application for citizenship or permanent residency has not been acted upon by the U.S. Citizenship and Immigration Services (USCIS) because permanent residency is no longer required for a professional certificate in light of the regulatory changes made at the May 2016 Regents meeting.

The proposed amendment further removes the requirement that a candidate take and pass a content specialty examination prior to the issuance of a time extension because this requirement only applied to permanent teaching certificates, which are no longer issued by the Department.

4. COSTS:

a. Costs to State government: The amendment does not impose any costs on State government, including the State Education Department.

b. Costs to local government: The amendment does not impose any costs on local government, including school districts and BOCES.

c. Costs to private regulated parties: The amendment does not impose any costs on private regulated parties.

d. Costs to regulating agency for implementation and continued administration: See above.

5. LOCAL GOVERNMENT MANDATES:

The proposed amendment does not impose any additional program, service, duty or responsibility upon any local government.

6. PAPERWORK:

The proposed amendment does not impose any additional paperwork requirements; in fact, it may reduce paperwork that would currently be required of candidates to apply for two separate time extensions.

7. DUPLICATION:

The rule does not duplicate existing State or Federal requirements.

8. ALTERNATIVES:

No alternatives were considered.

9. FEDERAL STANDARDS:

There are no applicable Federal standards.

10. COMPLIANCE SCHEDULE:

It is anticipated that the proposed amendment will be permanently adopted by the Board of Regents at its February 2017 meeting. If adopted at the February meeting, the proposed amendment will become effective on March 1, 2017.

Regulatory Flexibility Analysis

The purpose of proposed amendment is intended to address concerns from the field related to teacher shortages raised by school districts and Board of Cooperative Educational Services (BOCES). The proposed amendment allows holders of certain provisional, initial or transitional certificates to apply for one three-year time extension if they meet certain criteria, rather than applying for two separate time extensions.

The amendment does not impose any new recordkeeping or other compliance requirements, and will not have an adverse economic impact, on local governments or small businesses. Because it is evident from the nature of the rule that it does not affect local governments or small businesses, no further steps were needed to ascertain that fact and one 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

1. TYPES AND ESTIMATED NUMBER OF RURAL AREAS:

This amendment applies to all certificate holders who wish to apply for a three-year time extension instead of submitting two separate requests for an extension of their expired certificates in each of the 44 rural counties with fewer than 200,000 inhabitants and the 71 towns and urban counties with a population density of 150 square miles or less.

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

Currently, Section 80-1.6 of the Commissioner's Regulations allows holders of certain provisional, initial or transitional certificates, who meet one of the following criteria, to get a two-year extension to provide time for candidates to meet the requirements for an initial, professional or permanent certificate:

- is on leave from his/her teaching duties because of childbearing, childrearing, serious illness, or extended illness;
- is serving with the Peace Corps or other volunteer organization;
- service as a teacher has been discontinued as a result of abolition of teaching positions in the school district in which employed;
- who, because of extreme hardship or other circumstances beyond the control of the individual, was unable to complete the requirements for the permanent or professional certificate in a timely manner, excluding normal family commitments or inconvenience;
- has been unable to secure employment as a teacher or who has been pursuing a career other than teaching.

The Commissioner may then extend the time validity of an expired provisional certificate (excluding an expired provisional certificate in the classroom teaching service or an expired provisional certificate in the title of school administrator and supervisor) or an expired initial or transitional certificate beyond the two-year extension provided for one additional year, if in the six months preceding the end of the two-year extension, the candidate is faced with extreme hardship or other circumstances beyond the control of the individual and is unable to complete the requirements for the professional certificate in a timely manner.

Proposed Amendment:

Based on feedback from the field, the proposed amendment instead seeks to allow candidates to apply for just one three-year extension if they meet one of the criteria listed below instead of submitting two separate requests for an extension of their expired certificates:

- is on leave from his/her teaching duties because of childbearing, childrearing, serious illness, or extended illness;
- is serving with the Peace Corps or other volunteer organization;
- service as a teacher has been discontinued as a result of abolition of teaching positions in the school district in which employed;
- who, because of extreme hardship or other circumstances beyond the control of the individual, was unable to complete the requirements for the permanent or professional certificate in a timely manner, excluding normal family commitments or inconvenience;
- has been unable to secure employment as a teacher or who has been pursuing a career other than teaching.

The proposed amendment also eliminates the option to receive a time extension in increments of one additional year for candidates who apply for citizenship or permanent residency, and whose application for citizenship or permanent residency has not been acted upon by the U.S. Citizenship and Immigration Services (USCIS) because permanent residency is no longer required for a professional certificate in light of the regulatory changes made at the May 2016 Regents meeting.

The proposed amendment further removes the requirement that a candidate take and pass a content specialty examination prior to the issuance of a time extension because this requirement only applied to permanent teaching certificates, which are no longer issued by the Department.

3. COSTS:

The proposed amendment does not impose any costs on candidates. In fact, the amendment may result in a cost savings for candidates who may otherwise have had to apply for two separate time extensions.

4. MINIMIZING ADVERSE IMPACT:

The rule seeks to provide a more flexible pathway for certain candidates with expired provisional, initial, or transitional certificates who meet specific requirements to obtain an extension of their certificate in an effort to address hardships that school districts and BOCES are facing related to teacher shortages.

5. RURAL AREA PARTICIPATION:

Copies of the rule have been provided to Rural Advisory Committee for review and comment.

Job Impact Statement

The proposed amendment allows holders of certain provisional, initial or transitional certificates to apply for one three-year time extension (if they meet certain criteria) on an expired certificate rather than applying for two separate time extensions.

Because the proposed amendment seeks to address an issue raised by the field in employing certified teachers, it is evident from the nature of the proposed rule that it will have no impact on the number of jobs or employment opportunities in New York State, and 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.

REVISED RULE MAKING NO HEARING(S) SCHEDULED

School Counseling, Certification Requirements for School Counselors and the School Counselor Program Registration Requirements

I.D. No. EDU-06-16-00004-RP

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

Proposed Action: Amendment of sections 52.21(a), (d), 80-2.1, 80-2.9(1)(iii), (2), 80-3.1, 80-5.9, 100.2(j); and addition of sections 80-3.11, 80-3.12 and 80-5.23 to Title 8 NYCRR.

Statutory authority: Education Law, sections 101(not subdivided), 207(not subdivided), 210(not subdivided), 214(not subdivided), 215(not subdivided), 305(1), (2), 308, 3001(2), 3004(1), 3006(1)(b) and 3009(1)

Subject: School counseling, certification requirements for school counselors and the school counselor program registration requirements.

Purpose: School counseling/guidance programs, certification requirements for school counselors, and school counselor program registration.

Substance of revised rule: The Commissioner of Education proposes to amend § 52.21, 80-2, 80-3, 80-5 and 100.2(j) of the Commissioner's regulations, relating to comprehensive developmental school counseling/guidance programs, certification requirements for school counselors and registration requirements for school counselor preparation programs. The following is a summary of the substance of the rule.

Subdivision (a) of section 52.21 is amended to require that programs leading to initial or professional certification in school counseling meet the new requirements outlined in subdivision (d) of section 52.21 by September 1, 2020.

A new subdivision (d) is added to section 52.21 to prescribe the requirements for institutions of higher education offering school counseling preparation programs leading to an initial certificate, and for those programs leading to a professional certificate.

The title of Subpart 80-2 is amended to clarify that the requirements of Subpart 80-2 do not apply to certificates for school counseling applied and qualified for on or after September 2, 2022.

Section 80-2.1 is amended to clarify that candidates who apply and qualify for the provisional certificate in the title school counselor on or before September 2, 2022 shall be subject to the requirements of this Subpart. Candidates who do not meet these requirements shall be subject to the requirements of Subpart 80-3 of this Part, unless otherwise specifically prescribed in this Part. Candidates with an expired provisional certificate in the title school counselor who apply for permanent certificates prior to September 2, 2022 shall be subject to this Subpart, provided that they have been issued a provisional certificate in this title and have met all requirements for the permanent certificate while under a provisional certificate that was in effect. Candidates with expired provisional certificates who apply for permanent certificates in the title school counselor on or after September 2, 2022 or who do not meet these conditions shall be subject to the requirements of Subpart 80-3 of the Part, unless otherwise specifically prescribed in this Part.

Sections 80-2.9(1)(iii) and 80-2.9(2)(iii) are amended to include the definition of pupil personnel service professional as defined in section 80-3.11.

The title of Subpart 80-3 is amended to clarify that the requirements of Subpart 80-3 for school counselor certificates shall apply for candidates who apply or qualify for such certificate on or after September 2, 2022.

Section 80-3.1 is amended to clarify that candidates who apply for a permanent certificate in the title school counselor shall be subject to the requirements of Subpart 80-2 of this Part, provided that they have been issued a provisional certificate in this title for which the permanent certificate is sought and have met all requirements for the permanent certificate while under a valid provisional certificate that was in effect after that date and that candidates who apply for certificates on or after September 2, 2022 shall be subject to the requirements of Subpart 80-3.

A new Section 80-3.11 is added to establish the requirements for both an initial certificate for school counselor, and a professional certificate for candidates who apply for a school counselor certificate on or after September 2, 2022.

A new Section 80-3.12 proscribes the requirements necessary for meeting the education requirements for school counselor certificates through individual evaluation.

Section 80-5.9 is amended to allow a candidate in a registered or approved graduate program of school counseling to obtain an internship certificate when the registered program includes internship experience, and the candidate has completed at least one-half of the semester hour requirements of the program.

A new Section 80-5.23 is added to set forth the standards and process of the Commissioner of Education to endorse the certificate of another state or territory of the United States or the District of Columbia for service as a school counselor, provided that the candidate meets the requirements set forth therein.

The title of Subdivision (j) of section 100.2 is amended to include comprehensive developmental school counseling/guidance programs. Paragraph (1) of section 100.2(j) is amended to clarify that the existing guidance programs for public schools shall apply until the 2019-2020 school year.

A new Paragraph (2) is added to section 100.2(j) to require public school districts to have a comprehensive developmental school counseling/guidance program, beginning with the 2019-2020 school year and describes the requirements thereof. The full text of the terms are available by visiting: <http://www.regents.nysed.gov/common/regents/files/1116p12hed1.pdf>

Revised rule compared with proposed rule: Substantial revisions were made in sections 52.21(d)(2), (3), 80-3.12(a)(4), 100.2(j)(2) and (3).

Text of revised proposed rule and any required statements and analyses may be obtained from Kirti Goswami, New York State Education Department, 89 Washington Avenue, Albany, NY 12234, (518) 474-6400, email: legal@nysed.gov

Data, views or arguments may be submitted to: Peg Rivers, Office of Higher Education, New York State Education Department, 89 Washington Avenue, Room 979, Albany, NY 12234, (518) 486-3633, email: regcomments@nysed.gov

Public comment will be received until: 30 days after publication of this notice.

Revised Regulatory Impact Statement

1. STATUTORY AUTHORITY:

Ed.L. § 101 continues the existence of the Education Department (SED), with the Board of Regents (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.

Ed.L. § 207 empowers the 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.

Ed.L. § 210 authorizes SED to fix the value of degrees, diplomas and certificates issued by institutions of other states or countries as presented for entrance to schools, colleges and the professions of the state.

Ed.L. § 214 provides that the institutions of The University of the State of New York shall include all secondary and higher educational institutions which are or may be incorporated in the state, and grants authority to the Board to exclude from such membership any institution failing to comply with law or with any rule of the university.

Ed.L. § 215 authorizes the Commissioner to require schools and school districts to submit reports containing such information as the Commissioner shall prescribe.

Ed.L. § 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 EdL., or of any statute relating to education.

Ed.L. § 308 authorizes the Commissioner to enforce and give effect to any provision in the EdL. or in any other general or special law pertaining to the school system of the State or any rule or direction of the Regents.

Ed.L. § 3001(2) establishes certification by SED as a qualification to teach in the public schools of NYS.

Ed.L. § 3004(1) authorizes the Commissioner to prescribe, subject to approval by the Regents, regulations governing the examination and certification of teachers employed in the public schools of NYS.

Ed.L. § 3006(1)(b) provides that the Commissioner may issue such teacher certificates as the Regents Rules prescribe.

Ed.L. § 3009(1) provides that no part of the school moneys apportioned to a district shall be applied to the payment of the salary of an unqualified teacher, nor shall his salary or part thereof, be collected by a district tax except as provided in the EdL.

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 comprehensive developmental school counseling/guidance programs for all students in grades kindergarten through twelve. It also changes the certification requirements for school counselors and requirements for school counselor preparation programs.

3. NEEDS AND BENEFITS:

The proposed amendments were published in the State Register on February 10, 2016 and SED received approximately 1,000 comments. See, <http://www.regents.nysed.gov/common/regents/files/meetings/Sep%202015/915p12hed1.pdf>. The majority of the comments surrounded § 100.2(j). The proposed amendments to § 100.2(j) were intended to broaden opportunities for students to explore the multitude of pathways from P-12 to college and career. Exposing students at a younger age, in a more comprehensive manner will serve to prepare our students for success in P-12 and beyond. The comments made clear that there was confusion surrounding the amendments, and the perceived impact on students, schools, and other licensed professionals.

To better understand the areas of concern and areas of commonality, the Department met with stakeholders in May 2016 (NYSUT, UFT, the New York State School Social Workers Association, the Association of New York State School Psychologists, the New York State School Counselors Association). SED staff revised the amendments and convened again in September 2016. Below is an overview of the major areas revised in response to public comment:

- Many commenters objected to the ASCA recommended ratio of 1:100 up to 1:250, and the ASCA Model Standards. The regulation was revised to remove the ratio and standards, which will be encouraged through guidance.

- The proposed amendment updated the title from “guidance program” to “comprehensive school counseling program.” In response to comment, the proposed amendment revises the title to include the word “guidance” to make explicitly clear that this regulation only addresses school counseling within the context of the “comprehensive school counseling/guidance program.” Additional language was also included to ensure that, school counselors will continue to make referrals to a properly licensed professional and/or certified pupil personnel service provider, for more targeted supports. This last revision was made to help clarify the roles of the school counselor compared with other licensed professionals in schools (e.g. school social workers, school psychologists).

- SED received many comments opposing the use of the title school counselor. Part 80 of the Commissioner’s Regulations provides for the certification of school counselors and has referred to the professional title of “school counselor” for several decades. Additional concerns were raised by individuals who work in NYC and hold licenses issued by the NYC under the title “guidance counselor”, as permitted by 80-2.2. To address this concern, SED revised to make clear in § 100.2(j) that, for the NYC and Buffalo, certified school counselor includes “licensed guidance counselors” pursuant to Part 80.

- § 100.2(j) required individual progress review plans for grades 7-12. The amendments expanded that for all students in P-12. In response to public comment, the regulation was revised to only require plans grades 6-12. Additionally, comment, the revised regulation no longer includes prekindergarten.

- Pupil personnel service providers were concerned that the proposed amendment expanded the scope of practice of school counselors. Additional language was included to ensure that nothing within § 100.2(j) prohibits certified or licensed school psychologists or certified or licensed school social workers pursuant to Part 80 from providing other direct student services within their applicable scope of practice.

- Part 80-3.11 Certification. On or after September 2, 2022, candidates seeking an initial school counselor certificate must:

- o complete an approved graduate program or complete 48 semester hours of graduate school counseling coursework in six core areas. In response to comment, the six core areas were revised to, in lieu of content in best practices for implementing a school counseling program, require content in career development and college readiness (best practices for implementation are now a core content area for professional certificates).

- o complete a 100-hour practicum and a 600-hour internship. In response to comment the amendments were revised to provide that such mentoring and supervision may be provided by other qualified school personnel only if the employing school district cannot provide a certified school counselor in the school building.

- o take and receive a satisfactory passing score on a NYSED approved certification exam, if available.

- On or after September 2, 2022, candidates seeking a professional school counselor certificate must:

- o complete a registered school counselor program or a minimum of 60 semester hours of graduate study acceptable to the Department in each of the eight core areas and the subareas;

- o the two core content areas for the professional certificate were revised to, in lieu of content in career development and college readiness, require content in best practices for implementing a school counseling program. Candidates for a professional certificate will have received the content in career development and college readiness as preparation for the initial certificate.

- o earn a master’s degree in school counseling;

- o meet requirements described for an initial certificate and will be required to satisfactorily complete three years of experience as a school counselor.

- Program Registration (§ 52.21(d)) by September 1, 2020)

- o Initial certificate-must provide a minimum of 48 semester hours of graduate study in an approved school counseling program and in six core areas, and their subareas. In response to comment, the core areas for the initial certificate have been revised to, in lieu of content in best practices for implementing a school counseling program, require content in career development and college readiness (best practices for implementation have been transferred to the core content areas required for a professional certificate).

- o Professional certificate-must provide a minimum of 12 additional semester hours in two core areas of graduate study in an approved certificate of advanced study. In response to comment, in lieu of content in career development and college readiness, content in best practices for implementing a school counseling program is required.

- o Initial/professional certificate-must provide a minimum of 60 semester hours of graduate study in an approved school counseling program leading to a master’s or higher degree and in the eight core content areas (following those in the 48 and 12 credit registered programs).

4. COSTS:

(a) Costs to State government: None.

(b) Costs to local government: The current rule requires a general guidance program, designed in coordination with the teaching staff for K-6 students. For 7-12 students a more comprehensive program is required. The proposed amendment requires both district and building-level comprehensive school counseling plans. For grades K-5, the proposed amendment requires the program to be designed by a certified school counselor in coordination with the teaching staff and any appropriate pupil personnel service providers for the purpose of preparing students to participate effectively in their current and future educational programs, to provide information related to college and careers, and to assist students who may exhibit challenges to academic success, including but not limited to attendance or behavioral concerns, and where appropriate make a referral to a properly licensed professional and/or certified pupil personnel service provider, as appropriate, for more targeted supports. For grades 6-12, the proposed amendment requires certified school counselors to provide an annual individual progress review plan which shall reflect each student's educational progress and career plans. The existing rule requires the plan for 7-12 students.

It is anticipated that for the apx. 700 districts who already have elementary school counselors, the proposed amendment would not impose additional costs. Those 350 districts could develop building-level and district plans and individual progress review plans for grade 6 within their current school counselor job responsibilities by the 2019-2020 school year. Of the remaining 350 school districts with no elementary school counselor, we project that approximately half of those districts, (175 districts), some districts have sixth grade within their middle/high schools, wherein a school counselor already exists. However, for the remaining districts with grade six in schools without a school counselor, we project that the remaining districts may need to hire, on average, a quarter-time counselor, with larger districts needing more than one half time school counselor and smaller districts perhaps sharing the cost of an additional school counselor so that the cost would be less than one four time counselor. With the average salary of a school counselor estimated to be \$68,000 with fringe benefits added, the cost of a 1/4-time school counselor would be approximately \$17,000. Therefore, the anticipated added cost of adding building-level plans and individual progress review plans to grade six is estimated to be: \$17,000 (.25FTE) X 175 districts (one quarter of the districts) = \$2,975,000.

For candidates seeking a school counselor certificate, the proposed amendment provides that if, and when, a certification exam is available, such candidates will be required to pay a fee to SED for the exam.

(c) Costs to private regulated parties: None.

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

5. LOCAL GOVERNMENT MANDATES:

The amendment is necessary to implement policy enacted by the Regents related to enhancing existing guidance programs by requiring comprehensive developmental school counseling/guidance programs for all students in kindergarten through twelve. It also requires certified school counselors to provide an annual individual progress review plan for each 6-12 student. Districts are must annually update building-level and district-level comprehensive school counseling plans, and make them available online. Districts must also establish an advisory council to review and advise on implementation of the program.

6. PAPERWORK:

See Section 5.

7. DUPLICATION:

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

8. ALTERNATIVES:

The proposal to enhance school counselor preparation programs and comprehensive developmental school counseling/guidance programs arose from the work of the SCAC. The proposed amendment is necessary to implement Regents policy to meet the diverse and evolving needs of students by enhancing existing public school guidance programs to require comprehensive developmental school counseling/guidance programs for all students in K-12. It also amends the requirements of school counselor preparation programs necessary to support comprehensive developmental school counseling programs.

In an effort to reduce the potential costs of the comprehensive developmental school counseling program and in response to public comment, the proposed amendment removes the recommended ratios. It was further amended to only expand the individual progress review plans to students in grade six, rather than for students in pre-kindergarten through six. Such alternatives were considered, and proposed to minimize the impact of the comprehensive developmental school counseling/guidance programs.

9. FEDERAL STANDARDS:

There are no related federal standards.

10. COMPLIANCE SCHEDULE:

It is anticipated regulated parties will be able to achieve compliance by the effective date which provides districts until the 2019-2020 school year to have a comprehensive developmental school counseling/guidance program. Further, institutions of higher education offering a school counseling preparation program have until September 1, 2020 to meet the program registration requirements. Candidates seeking school counselor certificates on or after September 2, 2022 must meet the requirements.

Revised Regulatory Flexibility Analysis

Small Businesses:

The proposed amendment is necessary to implement policy enacted by the Board of Regents relating to enhancing existing public school district guidance programs to require comprehensive developmental counseling/guidance programs for all students in grades kindergarten through twelve. The proposed amendment also makes changes to the certification requirements for school counselors and the requirements for school counselor preparation programs in order to support comprehensive developmental school counseling programs.

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 approximately 680 public school districts in the State who will be required to expand existing guidance programs to meet the needs of students in grades kindergarten through twelve through a comprehensive developmental school counseling/guidance program. The proposed amendment will also apply to institutions of higher education with registered school counseling preparation programs that lead to certification in school counseling.

2. COMPLIANCE REQUIREMENTS:

The proposed amendment makes the following major changes to the existing guidance programs in the public schools of this State:

- All public schools are still required to have a guidance program for all students.
- All students in K-12 should have access to certified school counselor, which for the city school district of the City of New York and the city school district of Buffalo shall include licensed guidance counselors pursuant to Part 80 of the Commissioner's regulations.
- Provide all public school students in 6-12 with annual individual progress review plans reflecting each student's educational progress and career plans conducted by certified school counselors.
- Comprehensive school counseling plans that are updated annually should be made available on the district website.
- Districts must establish a school counselor advisory council to review and advise the district on implementation issues relating to the comprehensive developmental school counseling program.

The proposed amendment makes the following major changes to the certification requirements for school counselors:

- Part 80-3.11 Certification. On or after September 2, 2022, candidates seeking an initial school counselor certificate must:
 - o complete an approved graduate program or complete 48 semester hours of graduate school counseling coursework in six core areas. In response to comment, the six core areas were revised to, in lieu of content in best practices for implementing a school counseling program, require content in career development and college readiness (best practices for implementation are now a core content area for professional certificates).
 - o complete a 100-hour practicum and a 600-hour internship. In response to comment the amendments were revised to provide that such mentoring and supervision may be provided by other qualified school personnel only if the employing school district cannot provide a certified school counselor in the school building.
 - o take and receive a satisfactory passing score on a NYSED approved certification exam, if available.
- On or after September 2, 2022, candidates seeking a professional school counselor certificate must:
 - o complete a registered school counselor program or a minimum of 60 semester hours of graduate study acceptable to the Department in each of the eight core areas and the subareas;
 - o the two core content areas for the professional certificate were revised to, in lieu of content in career development and college readiness, require content in best practices for implementing a school counseling program. Candidates for a professional certificate will have received the content in career development and college readiness as preparation for the initial certificate.
 - o earn a master's degree in school counseling;
 - o meet requirements described for an initial certificate and will be

required to satisfactorily complete three years of experience as a school counselor.

Program Registration (§ 52.21(d)) by September 1, 2020)

o Initial certificate-must provide a minimum of 48 semester hours of graduate study in an approved school counseling program and in six core areas, and their subareas. In response to comment, the core areas for the initial certificate have been revised to, in lieu of content in best practices for implementing a school counseling program, require content in career development and college readiness (best practices for implementation have been transferred to the core content areas required for a professional certificate).

o Professional certificate-must provide a minimum of 12 additional semester hours in two core areas of graduate study in an approved certificate of advanced study. In response to comment, in lieu of content in career development and college readiness, content in best practices for implementing a school counseling program is required.

o Initial/professional certificate-must provide a minimum of 60 semester hours of graduate study in an approved school counseling program leading to a master's or higher degree and in the eight core content areas (following those in the 48 and 12 credit registered programs).

3. PROFESSIONAL SERVICES:

The proposed amendment does not impose any professional services requirements on school districts, school counselor candidates or school counselor preparation programs.

4. COMPLIANCE COSTS:

The current rule requires a general guidance program, designed in coordination with the teaching staff for K-6 students. For 7-12 students a more comprehensive program is required. The proposed amendment requires both district and building-level comprehensive school counseling plans. For grades K-5, the proposed amendment requires the program to be designed by a certified school counselor in coordination with the teaching staff and any appropriate pupil personnel service providers for the purpose of preparing students to participate effectively in their current and future educational programs, to provide information related to college and careers, and to assist students who may exhibit challenges to academic success, including but not limited to attendance or behavioral concerns, and where appropriate make a referral to a properly licensed professional and/or certified pupil personnel service provider, as appropriate, for more targeted supports. For grades 6-12, the proposed amendment requires certified school counselors to provide an annual individual progress review plan which shall reflect each student's educational progress and career plans. The existing rule requires the plan for 7-12 students.

It is anticipated that for the apx. 700 districts who already have elementary school counselors, the proposed amendment would not impose additional costs. Those 350 districts could develop building-level and district plans and individual progress review plans for grade 6 within their current school counselor job responsibilities by the 2019-2020 school year. Of the remaining 350 school districts with no elementary school counselor, we project that approximately half of those districts, (175 districts), some districts have sixth grade within their middle/high schools, wherein a school counselor already exists. However, for the remaining districts with grade six in schools without a school counselor, we project that the remaining districts may need to hire, on average, a quarter-time counselor, with larger districts needing more than one half time school counselor and smaller districts perhaps sharing the cost of an additional school counselor so that the cost would be less than one four time counselor. With the average salary of a school counselor estimated to be \$68,000 with fringe benefits added, the cost of a 1/4-time school counselor would be approximately \$17,000. Therefore, the anticipated added cost of adding building-level plans and individual progress review plans to grade six is estimated to be: \$17,000 (.25FTE) X 175 districts (one quarter of the districts) = \$2,975,000.

For candidates seeking a school counselor certificate, the proposed amendment provides that if, and when, a certification exam is available, such candidates will be required to pay a fee to SED for the exam.

5. ECONOMIC AND TECHNOLOGICAL FEASIBILITY:

The proposed amendment requires school districts to post comprehensive developmental school counseling plans on the district website. Such actions may require minimal costs to add such documentation to an existing school district website.

6. MINIMIZING ADVERSE IMPACT:

The proposed amendment is necessary to implement policy enacted by the Board of Regents related to meeting the diverse and evolving needs of students by enhancing existing public school district guidance programs to require comprehensive developmental counseling programs for all students in grades prekindergarten through twelve provided by certified school counselors. The proposed amendment also makes changes to the requirements of school counselor preparation programs necessary to support comprehensive developmental school counseling programs.

Because the Regents policy upon which the proposed amendment is

based uniformly applies to all school districts throughout the State, it is not appropriate to establish differing compliance or reporting requirements or timetables or to exempt school districts in rural areas from coverage by the proposed amendment.

7. LOCAL GOVERNMENT PARTICIPATION:

Comments on the proposed rule were solicited from school districts through the offices of the district superintendents of each supervisory district in the State, and from the chief school officers of the five big city school districts. The proposed amendment arose from recommendations made by the SCAC which was comprised of 8 school counselors from across New York State and 8 representatives from school counselor preparation programs. Membership included two New York State United Teachers representatives, and one United Federation of Teachers representative.

Revised Rural Area Flexibility Analysis

1. TYPES AND ESTIMATED NUMBER OF RURAL AREAS:

The proposed amendment applies to school districts, and candidates seeking a certificate in school counseling in this State, including those who live and work, or are 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 institutions of higher education with registered school counseling preparation programs, which include those in rural areas of the State.

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

See the Needs and Benefits and Paperwork sections of the Regulatory Impact Statement submitted herewith. The proposed amendment does not impose any additional compliance requirements upon rural areas but merely implements policy enacted by the Board of Regents to enhance existing public school district guidance programs to require comprehensive developmental counseling/guidance programs for all students in grades kindergarten through twelve. The proposed amendment also makes changes to the requirements of school counselor preparation programs necessary to support comprehensive developmental school counseling programs.

The proposed amendment imposes no additional professional services requirements on school districts in rural areas.

3. COMPLIANCE COSTS:

The current rule requires a general guidance program, designed in coordination with the teaching staff for K-6 students. For 7-12 students a more comprehensive program is required. The proposed amendment requires both district and building-level comprehensive school counseling plans. For grades K-5, the proposed amendment requires the program to be designed by a certified school counselor in coordination with the teaching staff and any appropriate pupil personnel service providers for the purpose of preparing students to participate effectively in their current and future educational programs, to provide information related to college and careers, and to assist students who may exhibit challenges to academic success, including but not limited to attendance or behavioral concerns, and where appropriate make a referral to a properly licensed professional and/or certified pupil personnel service provider, as appropriate, for more targeted supports. For grades 6-12, the proposed amendment requires certified school counselors to provide an annual individual progress review plan which shall reflect each student's educational progress and career plans. The existing rule requires the plan for 7-12 students.

It is anticipated that for the apx. 700 districts who already have elementary school counselors, the proposed amendment would not impose additional costs. Those 350 districts could develop building-level and district plans and individual progress review plans for grade 6 within their current school counselor job responsibilities by the 2019-2020 school year. Of the remaining 350 school districts with no elementary school counselor, we project that approximately half of those districts, (175 districts), some districts have sixth grade within their middle/high schools, wherein a school counselor already exists. However, for the remaining districts with grade six in schools without a school counselor, we project that the remaining districts may need to hire, on average, a quarter-time counselor, with larger districts needing more than one half time school counselor and smaller districts perhaps sharing the cost of an additional school counselor so that the cost would be less than one four time counselor. With the average salary of a school counselor estimated to be \$68,000 with fringe benefits added, the cost of a 1/4-time school counselor would be approximately \$17,000. Therefore, the anticipated added cost of adding building-level plans and individual progress review plans to grade six is estimated to be: \$17,000 (.25FTE) X 175 districts (one quarter of the districts) = \$2,975,000.

For candidates seeking a school counselor certificate, the proposed amendment provides that if, and when, a certification exam is available, such candidates will be required to pay a fee to SED for the exam.

4. MINIMIZING ADVERSE IMPACT:

The proposed amendment is necessary to implement policy enacted by the Board of Regents related to meeting the diverse and evolving needs of

students by enhancing existing public school district guidance programs to require comprehensive developmental counseling/guidance programs for all students in grades prekindergarten through twelve provided by certified school counselors. The proposed amendment also makes changes to the requirements of school counselor preparation programs necessary to support comprehensive developmental school counseling programs.

Because the Regents policy upon which the proposed amendment is based uniformly applies to all school districts throughout the State, it is not appropriate to establish differing compliance or reporting requirements or timetables or to exempt school districts 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. The proposed amendment was also based upon recommendations made by School Counselor Advisory Council which was comprised of 8 school counselors from across New York State, including Mount Markham Central School District and Hamburg Central School District, and representatives from school counselor preparation programs located across the State.

Revised Job Impact Statement

The proposed amendment is necessary to implement policy enacted by the Board of Regents to enhance existing public school district guidance programs to require comprehensive developmental counseling/guidance programs for all students in grades kindergarten through twelve. The proposed amendment also makes changes to the certification requirements for school counselors and the requirements for school counselor preparation programs to support comprehensive developmental school counseling/guidance programs in the public school districts of this state.

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.

Assessment of Public Comment

Since publication of a Notice of Proposed Rule Making in the State Register on February 10, 2016, the State Education Department received approximately 1,000 individual comments. The majority of the comments received related to the amendments to Commissioner's regulation § 100.2(j). The proposed amendments to Commissioner's regulation § 100.2(j) were intended to broaden the opportunities for students to explore the multitude of pathways from P-12 to college and career. Exposing students to opportunities at a younger age and in a more comprehensive manner will only serve to prepare our students for success in P-12 and beyond. However, it was evident from the comments received that there was confusion surrounding the proposed amendments to the guidance program, and the perceived impact on students, schools, and other licensed professionals.

Below is an overview of the major areas which were revised in response to public comment and concerns from the field. For the full Assessment of Public Comment please visit: <http://www.regents.nysed.gov/common/regents/files/1116p12hed1.pdf>

- Student to School Counselor Ratios - deleted reference to ratios:

The proposed amendment was designed to encourage schools to use ratios for certified school counselors to students that conform to the American School Counselor Association standards. The ASCA recommended the following ratios for school counselors to students: 1:100 with a maximum of 1:250. Across New York State some schools meet this recommended ratio but some schools have a ratio of up to 1:700 or 1:800 (based on BEDS data¹). In the 2013-14 school year, the statewide average ratio was 1:418. In response to a significant number of comments objecting to including a recommended ratio in regulation, the regulation has been revised and no longer recommends any such ratio. Instead, the Department will continue to encourage the use of the ASCA standards in guidance.

- The American School Counselor Association (ASCA) Model – deleted reference to the ASCA Model:

The ASCA model is nationally recognized for developing comprehensive school counseling standards aimed at increasing student outcomes. The proposed amendment presented to the Board in September 2015 required school counseling programs to address multiple student competencies in accordance with the ASCA Model including career/college readiness standards, and academic and social/emotional development standards. It also included language that referenced "other comparable national and/or New York State recognized standards." While the ASCA standards were praised for their quality by many stakeholders, others were concerned about prescribing the specific national standards developed by

ASCA in regulation. The Department revised the regulation to remove the reference to the ASCA Model and standards, and will instead encourage the use of such standards through guidance.

- Comprehensive School Counseling Program – added the word Guidance throughout the regulation when referring to the School Counseling Program:

The proposed amendments to the regulations presented to the Board in September 2015 updated the title of the required program from "guidance program" to "comprehensive school counseling program." This change was made to recognize that school counselors serve all students in schools and that the national movement over the past several decades has been to eliminate the word "guidance" when referring to school counseling. However, that change in the title of the program led to confusion in the field about the nature of the counseling. In response to public comment, the proposed amendment revises the title of the program to include the word "guidance" to make explicitly clear that this regulation only addresses school counseling within the context of the "comprehensive school counseling/guidance program." This program is designed for the purpose of preparing students to participate effectively in their current and future educational programs, to provide information related to college and careers, and to assist students who may exhibit challenges to academic success including, but not limited to, attendance or behavioral concerns. Additional language was also included to ensure that, where appropriate, school counselors will continue to make referrals to a properly licensed professional and/or certified pupil personnel service provider, for more targeted supports. This last revision was made to help clarify the roles of the school counselor compared with other licensed professionals in schools (e.g., school social workers, school psychologists).

The comprehensive school counseling/guidance program was not intended to be confused with the more targeted mental health and behavioral supports that may be provided to students by other certified/licensed professionals. In response to public comment and to avoid confusion about the purpose of the rule, the title of the program within the regulation was revised and is now called the "comprehensive school counseling/guidance program."

- School Counselor v. Guidance Counselor – added specific language to reference Part 80 of the Commissioner's regulations:

Consistent with the certification title prescribed by Part 80 of the Commissioner's Regulations, the proposed regulation continues to use the title of school counselor. However, the Department received many comments opposing the use of the title school counselor instead of guidance counselor. Part 80 of the Commissioner's Regulations provides for the certification of school counselors and has referred to the professional title of "school counselor" for several decades. Additional concerns were raised by individuals who work in New York City and hold licenses issued by the City of New York under the title "guidance counselor", as permitted by Commissioner's Regulation § 80-2.2. To address this concern, the Department revised the language to make clear in the beginning of Commissioner's regulations § 100.2(j) that, for the city school district of the City of New York and the city school district of Buffalo, certified school counselor shall include "licensed guidance counselors" pursuant to Part 80 of the Commissioner's regulations.

- Individual Annual Progress Review Plans – revised the language to include grades 6 – 12, rather than P-12:

The existing regulation required individual progress review plans for students in grades 7-12. The proposed regulation expanded that requirement for all students in P-12 public schools, with P-6 plans to be provided in small groups. In response to public comment, the regulation has been revised to now only require individual progress review plans for students in grades 6-12.

- Duration of the Comprehensive School Counseling/Guidance Program – changed the grade level requirement from P-12 to K-12:

The proposed regulation expanded the program to serve students in pre-kindergarten through grade 12. However, in response to public comment, the revised regulation limits the program for students in grades K-12.

- Scope of Practice of Pupil Personnel Service Providers – added language to be clear that these proposed regulations would not change the scope of practice for other licensed or certified professionals.

The Department received much feedback from other pupil personnel service providers who were concerned that this proposed regulation would expand the scope of practice of school counselors, and impinge upon the scope of practice of other certified or licensed individuals. Additional language was included to ensure that nothing within Commissioner's regulation § 100.2(j) would prohibit certified or licensed school psychologists or certified or licensed school social workers pursuant to Part 80 of the Commissioner's Regulations from providing other direct student services within their applicable scope of practice.

Office of Higher Education: Highlights of Recommended Revisions

In response to the comments received, the Department made the following major changes:

- Part 80-3.11 Certification

- On or after September 2, 2022 (previously 2020), candidates seeking an initial school counselor certificate:

- o must complete a NYSED approved graduate school counselor program (minimum of 48 semester hours) or complete 48 semester hours of graduate school counseling coursework in six core areas and the subareas for these core areas. In response to public comment, the six core content areas for the initial certificate have been revised to, in lieu of content in best practices for implementing a school counseling program, require content in career development and college readiness, including use of a variety of research-based school counseling approaches to provide services to meet the career needs of all students. Best practices for implementation have been transferred to the core content areas required for a professional certificate.

- o complete a 100-hour practicum and a 600-hour internship as described in section 52.21 (d). In response to public comment and to ensure that candidates receive adequate supervision during the internship the proposed amendments were revised to provide that such mentoring and supervision may be provided by other qualified school personnel only if the employing school district cannot provide a certified school counselor in the school building in which the internship occurs.

- o must take and receive a satisfactory passing score on a NYSED approved certification exam, if available.

- On or after September 2, 2022 (previously 2020), candidates seeking a professional school counselor certificate:

- o must complete a school counselor program registered by the Department pursuant to Section 52.21(d); or complete a minimum of 60 semester hours of graduate study acceptable to the Department in each of the eight core areas and the subareas;

- o in response to public comment, the two core content areas for the professional certificate have been revised to, in lieu of content in career development and college readiness, require content in best practices for implementing a school counseling program. Candidates for a professional certificate will have received the core content in career development and college readiness as preparation for the initial certificate.

- o earn a master's degree in school counseling;

- o meet requirements described for an initial certificate and will be required to satisfactorily complete three years of experience as a school counselor.

- Section 52.21(d) Program Registration

- By September 1, 2020 (previously 2018), school counseling programs leading to:

- o Initial certificate - must provide a minimum of 48 semester hours of graduate study in an approved school counseling program and in six core areas, and the subareas for those content areas. In response to public comment, the core content areas for the initial certificate have been revised to, in lieu of content in best practices for implementing a school counseling program, require content in career development and college readiness, including use of a variety of research-based school counseling approaches to provide services to meet the career needs of all students. Best practices for implementation have been transferred to the core content areas required for a professional certificate.

- o Professional certificate - must provide a minimum of 12 additional semester hours in two core areas of graduate study in an approved certificate of advanced study. In response to public comment, the two core content areas for the professional certificate have been revised to, in lieu of content in career development and college readiness, require content in best practices for implementing a school counseling program. Candidates for a professional certificate will have received the core content in career development and college readiness as preparation for the initial certificate.

- o Initial/professional certificate - must provide a minimum of 60 semester hours of graduate study in an approved school counseling program which leads to a master's or higher degree and in the eight core content areas (following those in the 48 and 12 credit registered programs).

¹ Basic Educational Data System (BEDS).

Department of Environmental Conservation

EMERGENCY RULE MAKING

Chemical Bulk Storage (CBS)

I.D. No. ENV-19-16-00006-E

Filing No. 1038

Filing Date: 2016-11-14

Effective Date: 2016-11-14

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

Action taken: Amendment of Part 597 of Title 6 NYCRR.

Statutory authority: Environmental Conservation Law, sections 1-0101, 3-0301, 3-0303, 17-0301, 17-0303, 17-0501, 17-1743, 27-1301, 37-0101 through 37-0107 and 40-0101 through 40-0121

Finding of necessity for emergency rule: Preservation of public health.

Specific reasons underlying the finding of necessity: The New York State Department of Health (NYSDOH) has requested that the New York State Department of Environmental Conservation (DEC) add perfluorooctanoic acid (PFOA-acid, Chemical Abstracts Service (CAS) No. 335-67-1), ammonium perfluorooctanoate (PFOA-salt, CAS No. 3825-26-1), perfluorooctane sulfonic acid (PFOS-acid, CAS No. 1763-23-1), and perfluorooctane sulfonate (PFOS-salt, CAS No. 2795-39-3) to 6 NYCRR Section 597.3, List of Hazardous Substances. DEC has concluded that these four substances meet the definition of a hazardous substance based upon the conclusion of the NYSDOH that prolonged exposure to significantly elevated levels of these compounds can affect health and, consequently, pose a threat to public health in New York State when improperly treated, stored, transported, disposed of or otherwise managed. NYSDOH scientists have concluded that it is essential to list these chemicals as hazardous substances. See the Regulatory Impact Statement for additional information, including NYSDOH's letter requesting that these chemicals be added to the List of Hazardous Substances (Section 597.3).

It is essential to immediately identify PFOA-acid, PFOA-salt, PFOS-acid, and PFOS-salt as hazardous substances pursuant to 6 NYCRR Section 597.3, thereby making them hazardous wastes pursuant to Environmental Conservation Law Section 27-1301, and enabling DEC to exert its enforcement authorities and to expend funds from the Hazardous Waste Remedial Fund to clean up the contaminant. The emergency rule will provide DEC with authority to take immediate action to protect public health. To the extent elevated levels of PFOA-related and PFOS-related substances are identified throughout the State, DEC needs the authority to act expeditiously.

Subject: Chemical Bulk Storage (CBS).

Purpose: To amend Part 597 of the CBS regulations.

Text of emergency rule: 6 NYCRR Part 597 is amended to read as follows:
Existing subdivision 597.1(a) through paragraph 597.1(b)(1) remain unchanged.

Existing paragraph 597.1(b)(2) is amended to read as follows:

(2) Chemical [a]Abstracts [s]Service number or CAS number is the unique identifier for a chemical substance assigned by the CAS division of the American Chemical Society.

Existing paragraph 597.1(b)(3) through section 597.2 remain unchanged.

Existing section 597.3 is amended to read as follows:

597.3 List of hazardous substances

Table 1 sets forth the list of hazardous substances in alphabetical order. Table 2 sets forth the list of hazardous substances in Chemical Abstracts Service (CAS) number order.

Table 1 and Table 2 are amended to read as follows:

Table 1 – Alphabetical Order

CASRN	Substance	RQ Air (pounds)	RQ Land/ Water (pounds)	Notes
3825-26-1	Ammonium Perfluorooctanoate	1	1	

2795-39-3	Perfluorooctane Sulfonate	1	1
1763-23-1	Perfluorooctane Sulfonic Acid	1	1
335-67-1	Perfluorooctanoic Acid	1	1

Table 2 – CAS Number Order

CASRN	Substance	RQ Air (pounds)	RQ Land/ Water (pounds)	Notes
335-67-1	Perfluorooctanoic Acid	1	1	
1763-23-1	Perfluorooctane Sulfonic Acid	1	1	
2795-39-3	Perfluorooctane Sulfonate	1	1	
3825-26-1	Ammonium Perfluorooctanoate	1	1	

Existing subdivision 597.4(a) is amended to read as follows:

(a) Prohibition of releases.

The release of a hazardous substance which is required to be reported pursuant to subdivision (b) of this section is prohibited unless:

(1) such release is authorized; [or]

(2) such release is continuous and stable in quantity and rate and has been reported pursuant to paragraph (b)(4) of this section[.]; or

(3) such release is of fire-fighting foam containing Perfluorooctanoic Acid (CAS No. 335-67-1), Ammonium Perfluorooctanoate (CAS No. 3825-26-1), Perfluorooctane Sulfonic Acid (CAS No. 1763-23-1), or Perfluorooctane Sulfonate (CAS No. 2795-39-3) used for fighting fires (but not for training purposes) and occurs on or before April 25, 2017. In the event there is a release of such foam that exceeds the reportable quantity of any hazardous substance, the release must be reported pursuant to subdivision (b) of this section.

Existing subdivision 597.4(b) remains unchanged.

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. ENV-19-16-00006-EP, Issue of May 11, 2016. The emergency rule will expire January 12, 2017.

Text of rule and any required statements and analyses may be obtained from: Russ Brauksieck, NYS Department of Environmental Conservation, 625 Broadway, Albany, NY 12233-7020, (518) 402-9553, email: derweb@dec.ny.gov

Additional matter required by statute: Negative Declaration, Coastal Assessment Form, and Short Environmental Assessment Form have been completed for the proposed rule making that was filed on April 25, 2016 with the initial Notice of Emergency Adoption.

Summary of Regulatory Impact Statement

Full text of the Regulatory Impact Statement is available on the New York State Department of Environmental Conservation's website at <http://www.dec.ny.gov/regulations/104968.html>

1. STATUTORY AUTHORITY

The State law authority that empowers the New York State Department of Environmental Conservation (Department) to create a list of hazardous substances is found in Title one of Article 37 of the Environmental Conservation Law (ECL), sections 37-0101 through 37-0111, entitled "Substances Hazardous to the Environment" (Article 37). The Department is authorized to adopt regulations to implement ECL provisions (ECL sections 3-0301(2)(a) and (m)) which includes listing "substances hazardous to the public health, safety or environment" which "because of their quantity, concentration, or physical, chemical or infectious characteristics cause physical injury or illness when improperly treated, stored, transported, disposed of, or otherwise managed" in 6 NYCRR Part 597.

2. LEGISLATIVE OBJECTIVES

The legislative objectives underlying Article 37 are directed toward establishing a list of hazardous substances which pose a threat to public health or the environment. The emergency rule adds perfluorooctanoic acid (PFOA-acid, Chemical Abstracts Service (CAS) No. 335-67-1), ammonium perfluorooctanoate (PFOA-salt, CAS No. 3825-26-1), perfluorooctane sulfonic acid (PFOS-acid, CAS No. 1763-23-1), and perfluorooctane sulfonate (PFOS-salt, CAS No. 2795-39-3) to the list of hazardous substances in 6 NYCRR Section 597.3 (Section 597.3). The proposed rule, upon adoption, makes the amendments permanent.

rooctane sulfonate (PFOS-salt, CAS No. 2795-39-3) to the list of hazardous substances in 6 NYCRR Section 597.3 (Section 597.3). The proposed rule, upon adoption, makes the amendments permanent.

3. NEEDS AND BENEFITS

The purpose of the emergency rule and proposed rule is to:

1. Add PFOA-acid, PFOA-salt, PFOS-acid, and the PFOS-salt to Section 597.3;

2. Allow fire-fighting foam containing PFOA-acid, PFOA-salt, PFOS-acid, or PFOS-salt to be used to fight fires (but not for any other purposes) on or before April 25, 2017; and

3. Correct the list of hazardous substances by providing units for the reportable quantities (RQs).

Needs and Benefits of Adding PFOA-acid, PFOA-salt, PFOS-acid, and PFOS-salt to the List of Hazardous Substances

The Department promulgated an emergency rule on January 27, 2016 to add PFOA-acid to the list of hazardous substances in Section 597.3. Since then, the Department became aware of three additional substances that need to be added to the list of hazardous substances. These additional substances have physical, chemical, and toxicological properties similar to PFOA-acid. The Department decided to allow the January 27, 2016 emergency rule to expire and to undertake the emergency and proposed rule to include all four substances on the list of hazardous substances.

The Department has concluded that these four substances meet the definition of hazardous substance based upon the conclusion of the New York State Department of Health (NYSDOH) that the combined weight of evidence from human and experimental animal studies indicates that prolonged exposure to significantly elevated levels of these compounds can affect health and, consequently, pose a threat to public health in New York State when improperly treated, stored, transported, disposed of or otherwise managed. NYSDOH scientists have concluded that it is essential to list these chemicals as hazardous substances. See the Regulatory Impact Statement for additional information, including NYSDOH's letter requesting that these chemicals be added to the List of Hazardous Substances (Section 597.3).

There are at least three benefits of listing these substances as hazardous substances in Part 597. First, if a mixture containing one of these substances in concentrations of 1% or more is stored in an aboveground tank of 185 gallons or more or any size underground tank, the tank would be subject to the requirements of the Chemical Bulk Storage (CBS) regulations (6 NYCRR Parts 596 – 599) with the purpose of preventing leaks and spills to protect public health and the environment. Second, releases to the environment are prohibited (subdivision 597.4(a)). Any release of one pound or more of these substances must be reported to the Department's spill hotline (subdivision 597.4(b)). Third, if one of these substances is released, the Department is authorized to pursue clean-up of the contamination under one of the Department's remedial programs (6 NYCRR Part 375) and may expend funds under the "State Superfund" if a responsible party is unwilling or unable to undertake the remediation.

Need and Benefit of Allowing Continued Use of Fire-Fighting Foam

These four substances have been used in Aqueous Film-Forming Foam (AFFF). While their use was restricted or reportedly removed from new products by December 2015, AFFF containing these substances are likely stored at some facilities since the reported shelf-life of AFFF is up to 25 years. In accordance with existing 6 NYCRR subdivision 597.4(a), the release of a hazardous substance is prohibited. This rule adds a provision allowing entities with fire-fighting foam time to determine if stored foam contains these hazardous substances. If so, the facility would be required to arrange for proper disposal of the foam by April 25, 2017. Replacement foam may not contain a hazardous substance at a concentration that would result in the release of more than the RQ (one pound) when used as a fire-fighting foam. Prior to April 25, 2017, entities storing this foam would be allowed to use the foam, as needed, to fight fires to protect public safety but not for any other purpose such as training. If the foam is used to fight a fire and there is a release of one pound or more of a hazardous substance, the release must be reported to the Department's spill hotline to allow the Department to determine if remediation of the release is appropriate.

Need for Correction of the List of Hazardous Substances

A correction is being made to the tables listing hazardous substances. It was determined that the units for RQs were left off the table causing some uncertainty regarding when a release would need to be reported. This rule adds units back to the column heading of the table.

4. COSTS

Costs to Regulated Parties

Because the use of these chemicals is limited by United States Environmental Protection Agency (USEPA) and the CBS tank system requirements for handling and storing these chemicals do not apply until April 25, 2018, the Department expects that compliance costs will be minimal. For example, if a facility is storing one of these substances in a 5,000 gallon aboveground storage tank, the two-year registration fee would be \$125. If the facility were to discontinue storage by April 25, 2018, when the stor-

age and handling standards go into effect, there would be no substantive costs beyond payment of the registration fee. If the facility were to continue to store one of these substances, it would be subject to the costs of complying with the handling and storage requirements in Parts 598 and 599.

With one possible exception (entities with fire-fighting foam), the release prohibition should not present unusual compliance costs for persons who may be in possession of PFOA-containing or PFOS-containing substances. Since the Department recognizes the important societal interest of ensuring the availability of materials to control fires, persons have until April 25, 2017 to determine if foam contains hazardous substances and replace the foam if necessary. If fire-fighting foam contains a hazardous substance, it cannot be released to the environment after April 25, 2017. The Department anticipates that replacement foams would be purchased and that old foam containing a hazardous substance would be disposed of in accordance with applicable requirements. The cost to replace the foam ranges from \$16 to \$32 per gallon, depending on the amount and type of foam. Since use of these substances has been restricted or phased-out, the Department is uncertain how many regulated parties may be in possession of fire-fighting foams that contain one of these substances.

The costs of complying with the requirements of Part 375 to implement a remedial program where the four substances are primary contaminants will vary widely as costs depend upon many factors. Thus, it is not possible to meaningfully estimate potential remedial costs other than to note that remedial program costs for other hazardous substances range from the thousands to millions of dollars.

Costs to the Department, State, and Local Government

The Department will incur costs to administer the CBS program and to oversee of site remediation by responsible parties. In cases where a responsible party is unwilling or unable to undertake remediation, the costs of the remediation would be incurred by the Department (subject to efforts to recover the costs).

State and local governments will incur costs making determinations regarding whether products containing one of these substances are stored at their facilities.

5. LOCAL GOVERNMENT MANDATES

No additional recordkeeping, reporting, or other requirements not already created by statute or described above would be imposed on local governments. This is not a local government mandate.

6. PAPERWORK

The emergency rule and proposed rule contain no substantive changes to existing reporting and record keeping requirements, except for those newly subject to this regulation.

7. DUPLICATION

The listing of PFOA-acid, PFOA-salt, PFOS-acid, and PFOS-salt as hazardous substances in Part 597 causes no duplication, overlap or conflict with any other state or federal government programs or rules.

8. ALTERNATIVES

The only alternative to listing PFOA-acid, PFOA-salt, PFOS-acid, and PFOS-salt as hazardous substances considered by the Department, the no action alternative, was not taken. The Department declined to take no action because, as determined by NYSDOH, the combined weight of evidence from human and experimental animal studies indicates that prolonged exposure to significantly elevated levels of these compounds can affect health and, consequently, pose a threat to public health in New York State when improperly treated, stored, transported, disposed of, or otherwise managed.

9. FEDERAL STANDARDS

Listing PFOA-acid, PFOA-salt, PFOS-acid, and PFOS-salt as hazardous substances exceeds the current federal approach, as USEPA has not listed these substances as any of the substances defined as hazardous substances under the federal Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), 42 U.S.C. Section 9601, et seq., or under the applicable regulation, 40 CFR Part 302 ("Designation, Reportable Quantities, and Notification"). Under the Toxic Substances Control Act, USEPA worked with industry to voluntarily phase out the use of PFOA-related substances by December 2015, and proposed a significant new use rule, completed in 2002, to limit production and importation of PFOA-related substances.

10. COMPLIANCE SCHEDULE

A facility that stores one of these substances that is subject to the CBS registration requirements is required to submit its registration application to the Department when it becomes subject to regulation. If a facility is already storing one of these substances and is subject to the registration requirements, the requirement became effective on April 25, 2016, the effective date of this emergency rule. If a facility begins storing one of these substances and is subject to the registration requirements, it must obtain a valid registration certificate prior to storing the material. Facilities with existing storage are not required to comply with the handling and storage

requirements for hazardous substances until April 25, 2018 (6 NYCRR subdivision 598.1(h)). The Department expects that facilities that currently store one of these substances will phase out storage of the substance prior to April 25, 2018, and, therefore, will not have significant CBS compliance requirements beyond the registration requirement.

Existing Part 597 prohibits the release of a hazardous substance to the environment (subdivision 597.4(a)). This emergency rule and proposed rule allow entities storing fire-fighting foam to use the foam until April 25, 2017 while they determine if the foam contains one of these hazardous substances. If the foam does contain one of the substances, the foam must not be released to the environment after April 25, 2017. However, if the foam is used to fight a fire and there is a release of one pound or more of a hazardous substance, the release needs to be reported to the Department's spill hotline (subdivision 597.4(b)).

Listing these substances as hazardous substances results in sites contaminated with one of these substances being subject to the inactive hazardous waste disposal sites regulatory requirements of Part 375, which sets forth requirements for remediation. Remedial programs for a site tend to be complex, multi-phased, and take from a few to many years to complete.

Summary of Regulatory Flexibility Analysis

Full text of the Regulatory Flexibility Analysis for Small Businesses & Local Governments is available on the New York State Department of Environmental Conservation's website at <http://www.dec.ny.gov/regulations/104968.html>

1. EFFECT OF RULE

The purpose of the emergency rule and proposed rule is to:

1. Add perfluorooctanoic acid (PFOA-acid, Chemical Abstracts Service (CAS) No. 335-67-1), ammonium perfluorooctanoate (PFOA-salt, CAS No. 3825-26-1), perfluorooctane sulfonic acid (PFOS-acid, CAS No. 1763-23-1), and perfluorooctane sulfonate (PFOS-salt, CAS No. 2795-39-3) to 6 NYCRR Section 597.3;

2. Allow fire-fighting foam containing PFOA-acid, PFOA-salt, PFOS-acid, or PFOS-salt (all four substances) to be used to fight fires (but not for training or any other purposes) on or before April 25, 2017, a use which would not otherwise be allowed under the regulation since the release of a hazardous substance is prohibited; and

3. Correct the list of hazardous substances by providing units for reportable quantities (RQs).

The emergency rule and proposed rule apply statewide in all 62 counties of New York State (State). The listing of the hazardous substances has two effects. First, facilities storing all four substances are now (upon the effective date of the emergency rule) subject to registration requirements (6 NYCRR Part 596) with the New York State Department of Environmental Conservation (Department) under the Department's Chemical Bulk Storage (CBS) program. Facilities must comply with the applicable handling and storage requirements (6 NYCRR Parts 598-599).

Production of all four substances has already been restricted or reportedly phased out and replaced with alternative substances. Facilities storing products containing any of the four substances manufactured prior to the manufacturing phase-out will be subject to CBS registration requirements. Older stocks of fire-fighting foam containing any of the four substances will be subject to the CBS registration requirements. If the stored foam contains PFOA-acid, PFOA-salt, PFOS-acid, and PFOS-salt, the facility would be required to arrange for the proper disposal of the foam by April 25, 2017. Small businesses are not likely to store these foams in quantities (explained below). Large local government agencies (fire departments, fire districts) possibly maintain stocks of fire-fighting foam that could be subject to the registration requirement. The number of facilities that would be required to register as CBS facilities is expected to be small and go to zero as stocks of the four substances are eliminated.

Most facilities subject to the CBS regulations are municipal facilities, manufacturing facilities, and utilities. There are over 1,400 registered CBS facilities. The Department believes that the great majority of facility owners and operators are likely small businesses. Local governments have registered over 580 CBS facilities. The Department believes that the types of facilities registered by local governments are water and wastewater treatment facilities and are not expected to store any of the four substances.

The Department only collects information regarding the name, address, and contact information for the owner and operator of registered facilities. Hence, the Department cannot estimate the number of small businesses which are CBS regulated (6 NYCRR Parts 596 through 599) or will be regulated due to the emergency rule and proposed rule.

The second effect of the promulgation of this rule is the permanent prohibition of releases of any of the four substances to the environment. The prohibition takes effect on April 25, 2017 for fire-fighting foams. The release prohibition now applies to the four substances including any older stocks of fire-fighting foams and any material containing the four substances stored by small businesses or local governments. This will require local government and small businesses to dispose of materials containing

the four substances. Releases of listed hazardous substances above the reportable quantity (RQ) given in Part 597 (one pound for the four substances) must be reported to the Department's Spill Hotline (subdivision 597.4(b)).

The number of sites that will become remedial sites because of the addition of these four substances to Part 597 is unknown. The Department has placed one site on the Registry of Inactive Hazardous Waste Disposal Sites (Registry) as a result of adding PFOA-acid to Part 597 (Site Registry ID No. 442046). The Department expects that other sites that used the any of the four substances in commercial or industrial processes may have environmental contamination. Locations where disposal of the substances occurred or where the substances were components of materials released to the environment may become remedial sites subject to the requirements of Part 375.

The Department anticipates that remediation issues would be most significant for areas where the substances were either manufactured, used to make other products, released, or disposed of. Based upon currently available information, the four substances have not been manufactured in New York State, but have been used here to create other products. It is not known how many small businesses or local governments own properties that will be subject to the regulatory requirements of Part 375 because of contamination from these four substances.

2. COMPLIANCE REQUIREMENTS

This rule makes no changes to any substantive requirement for CBS facilities other than to place the four substances on the list of hazardous substances in Part 597.

Facilities that store the any of the four substances in amounts and in tanks that make them subject to the registration requirements of 6 NYCRR Part 596 must include tank systems on facility registrations with the Department and pay the registration fee associated with the CBS program. The fees range from \$50 per tank for tanks with capacities less than 550 gallons to \$125 per tank for capacities greater than 1,100 gallons.

If a facility is already storing any of the four substances and is subject to the registration requirements, the registration requirement became effective on April 25, 2016, the effective date of this emergency rule. A facility planning to start storing PFOA-acid, PFOA-salt, PFOS-acid, or PFOS-salt must obtain a valid registration certificate prior to storage. Facilities with existing storage of these substances are not required to comply with the handling and storage requirements for hazardous substances until April 25, 2018 (6 NYCRR subdivision 598.1(h)). The Department anticipates that facilities that currently store any of the four substances will phase out their storage of the substance prior to April 25, 2018 and therefore would not have substantive CBS compliance requirements beyond the registration requirement.

Listing the four substances as hazardous results in sites otherwise meeting regulatory criteria to be subject to the inactive hazardous waste disposal sites regulatory requirements of Part 375 for the first time. In these cases, requirements for investigation and cleanup are established by Part 375 and by Department orders and agreements with regulated entities. Part 375 sets forth site investigation requirements which determine the nature and extent of environmental contamination, evaluate remedial alternatives, design and construct a remedy, complete the operation and maintenance activities required to achieve the site remedial action objectives, and maintain any institutional or engineering controls which make the remedy effective. Remedial programs for a site tend to be complex, multi-phased, and take from a few to many years to complete.

3. PROFESSIONAL SERVICES

No new or additional professional services will be needed for small businesses or local governments to comply with this rule. Facilities continuing to store the substances after April 25, 2018, when the storage and handling standards go into effect, may need professional services to meet hazardous substances handling and storage requirements.

A small business or local government which becomes a remedial party subject Part 375 remedial program requirements, will require consulting and contractual services, including professional engineers or qualified environmental professionals as defined in Part 375 and contractual services needed to undertake site investigation field work, analyses of environmental samples, or other specialized services.

4. COMPLIANCE COSTS

Production of the four substances has been phased out and the substantive CBS tank system requirements for their handling and storage will not apply until April 25, 2018. The Department expects that the compliance costs for meeting the CBS requirements will be minimal. If the facility discontinues storage by April 25, 2018, when the storage and handling standards go into effect, there will be no other substantive costs.

The release prohibition will not present significant compliance costs for small businesses and local governments.

Part 375 compliance costs for remedial program implementation where any of the four substances are the primary contaminants will vary widely. Costs are related to the following: quantity released to the environment,

media contaminated (e.g., soil, groundwater, surface water, sediment, bedrock), the horizontal and vertical extent of contamination, the accessibility of contamination, whether there are human or environmental receptors to protect while a remedial program is undertaken, the difficulty of removing the substances from the contaminated environmental media, the anticipated future use of the area of contamination, and other factors. It is not possible to meaningfully estimate the potential costs to small businesses and local governments resulting from listing the substances as hazardous. Remedial program costs for other hazardous substances have ranged from the thousands to millions of dollars on a case-by-case basis.

5. ECONOMIC AND TECHNOLOGICAL FEASIBILITY

The economic and technological feasibility for small businesses or local governments related to compliance with this rule depends upon which requirements apply. If small businesses or local governments are required to comply with CBS registration requirements only, no significant impediments will be faced. If a CBS facility decides to store the substances after April 25, 2018, when the storage and handling standards go into effect, costs would be incurred to comply with handling and storage requirements. Costs could include design, construction, and maintenance of tank systems to meet the technical requirements for release prevention, release detection, and containment of potential spills. No technological feasibility issues will exist, but costs would be incurred commensurate with storage amounts.

The economic and technical feasibility of complying with the requirements to remediate a site contaminated by the substances for a small business or local government is explained above in compliance costs.

6. MINIMIZING ADVERSE IMPACT

The Department is adopting this emergency rule and proceeding with this proposed rule based upon the conclusion of NYSDOH that the combined weight of evidence from human and experimental animal studies indicates that prolonged exposure to significantly elevated levels of these compounds can affect health and, consequently, pose a threat to public health in New York State when improperly treated, stored, transported, disposed of or otherwise managed. See the Regulatory Impact Statement for additional information, including NYSDOH's letter requesting that these chemicals be added to the List of Hazardous Substances (Section 597.3).

7. SMALL BUSINESS AND LOCAL GOVERNMENT PARTICIPATION

The Department will ensure public notice and input by issuing public notices in the State Register and newspapers, publication in the Department's Environmental Notice Bulletin, holding a comment period of at least 45 days, and holding public hearings. Interested parties, including small businesses and local governments, will have the opportunity to submit comments and participate in public hearings. The Department will post relevant rule making documents on the Department's website.

8. CURE PERIOD OR OTHER OPPORTUNITY FOR AMELIORATIVE ACTION

There can be no ameliorative actions or cure period regarding the prohibition against releasing the four substances to the environment because the prohibition is absolute and intended to prevent the harm that would come to public health. Prolonged exposure to significantly elevated levels of these compounds can affect health and, consequently, pose a threat to public health in New York State when improperly treated, stored, transported, disposed of or otherwise managed. The concept of a cure period does not apply in the case of a remedial program.

If a facility subject to the CBS facility registration requirement for the any of the four substances fails to register its facility in accordance with Part 596, the facility owner/operator will be subject to penalties that have been in place and exercised by the Department for all types of parties for decades, including small businesses and local governments. Therefore, no additional ameliorative actions or cure period established for this rule regarding CBS registration or handling and storage requirements.

9. INITIAL REVIEW OF THE RULE

DEC would conduct an initial review of the rule within three years of the promulgation of the final rule.

Rural Area Flexibility Analysis

1. TYPES AND ESTIMATED NUMBER OF RURAL AREAS

There are 44 counties in New York State (State) that have populations of less than 200,000 people and 71 towns in non-rural counties where the population density is less than 150 people per square mile. Since the emergency rule and proposed rule apply statewide, they apply to all rural as well as non-rural areas of the State. The emergency rule adds perfluorooctanoic acid (PFOA-acid, Chemical Abstracts Service (CAS) No. 335-67-1), ammonium perfluorooctanoate (PFOA-salt, CAS No. 3825-26-1), perfluorooctane sulfonic acid (PFOS-acid, CAS No. 1763-23-1), and perfluorooctane sulfonate (PFOS-salt, CAS No. 2795-39-3) to the list of hazardous substances in 6 NYCRR Section 597.3 (Section 597.3). This rule also provides time for facilities storing fire-fighting foam containing one or more of these newly listed hazardous substances to properly dispose

of it, and makes a correction to the tables of hazardous substances in Part 597 by providing units for reportable quantities (RQs). There is no reason to believe that the actions under this rule will disproportionately impact rural areas.

2. REPORTING, RECORDKEEPING, OTHER COMPLIANCE REQUIREMENTS, AND NEED FOR PROFESSIONAL SERVICES

This emergency rule and proposed rule makes no changes to reporting, recordkeeping, or other compliance requirements for Chemical Bulk Storage (CBS) facilities other than to place PFOA-acid, PFOA-salt, PFOS-acid, and PFOS-salt on the list of hazardous substances in Section 597.3.

Facilities that store PFOA-acid, PFOA-salt, PFOS-acid, or PFOS-salt in specified quantities and use certain tanks that make them subject to the registration requirements of 6 NYCRR Part 596 must include these tank systems in their facility registration with the Department, and pay a registration fee associated with the CBS program. Facilities regulated under 6 NYCRR Parts 596-599 most commonly store hazardous substances in stationary aboveground tank systems with a capacity greater than 185 gallons.

A facility that stores PFOA-acid, PFOA-salt, PFOS-acid, or PFOS-salt that is subject to the CBS registration requirements, as explained above, must submit its registration application to the Department and pay the commensurate fee at the time it becomes subject to regulation. If the facility is already storing PFOA-acid, PFOA-salt, PFOS-acid, or PFOS-salt, and is subject to the registration requirements, the registration requirements became effective on April 25, 2016, the effective date of this emergency rule. If a facility plans to start storing PFOA-acid, PFOA-salt, PFOS-acid, or PFOS-salt, and is subject to the registration requirement, it must obtain a valid registration certificate prior to storing the material. A facility with existing storage of PFOA-acid, PFOA-salt, PFOS-acid, or PFOS-salt is not required to comply with the handling and storage requirements for hazardous substances until April 25, 2018 (subdivision 598.1(h)). Since the Department anticipates that facilities that currently store PFOA-acid, PFOA-salt, PFOS-acid, or PFOS-salt will phase out storage of the substance prior to April 25, 2018, they will not have substantive CBS compliance requirements regarding these chemicals beyond the registration requirement.

Existing Part 597 prohibits the release of a hazardous substance to the environment unless a release is authorized or is continuous and stable and has been reported to the Department (subdivision 597.4(a)). This rule in addition allows entities with fire-fighting foam to use the foam to fight fires on or before April 25, 2017 while they determine if the foam contains PFOA-acid, PFOA-salt, PFOS-acid, or PFOS-salt. If the foam contains one of these hazardous substances, the foam must be disposed of in accordance with appropriate regulations by April 25, 2017. Replacement foam may not contain a hazardous substance at a concentration that would result in the release of more than the RQ (one pound) when used as a fire-fighting foam. However, if the foam is used to fight a fire and there is a release of a hazardous substance above the RQ stated in Part 597 for the substance (one pound for these hazardous substances), the release must be reported to the Department's spill hotline (subdivision 597.4(b)).

Listing PFOA-acid, PFOA-salt, PFOS-acid, and PFOS-salt as hazardous substances results in sites contaminated with PFOA-acid, PFOA-salt, PFOS-acid, or PFOS-salt being subject to the inactive hazardous waste disposal sites regulatory requirements of 6 NYCRR Part 375. In these cases, requirements for investigation and cleanup are established by Part 375 and by Department orders and agreements with regulated entities. Part 375 sets forth requirements for the investigation of site conditions to determine the nature and extent of environmental contamination, evaluate remedial alternatives, design and construct a remedy, complete the operation and maintenance activities required to achieve the remedial action objectives for the site, and maintain any institutional or engineering controls needed to maintain the effectiveness of the remedy. Remedial programs for a site tend to be complex, multi-phased, and take from a few to many years to complete.

No new or additional professional services are anticipated to be needed by facilities located in rural areas to comply with the emergency rule and proposed rule regarding the CBS requirements if they discontinue storing PFOA-acid, PFOA-salt, PFOS-acid, and PFOS-salt before the handling and storage requirements take effect on April 25, 2018. If facilities continue to store after April 25, 2018, when the storage and handling standards go into effect, facility owners/operators may need professional services to assist them in meeting the handling and storage requirements for hazardous substances.

If an owner/operator in a rural area becomes a remedial party subject to requirements to implement a remedial program under Part 375, it would likely require consulting and contractual services to assist in carrying out the remedial program. This could include professional engineers or qualified environmental professionals, as defined in Part 375, and contractual services needed to complete site investigation field work, analyses of environmental samples, or other specialized services.

3. COSTS

The Department does not anticipate a variation in compliance costs for different types of public and private entities in rural areas. Since PFOS-acid, PFOS-salt, and PFOS-related substances was restricted beginning in 2002 and, under the EPA's Stewardship Program addressing PFOA-related substances, eight companies voluntarily removed PFOA-acid, PFOA-salt, and PFOA-related substances from new products by December 2015, and because the substantive CBS tank system requirements for handling and storing PFOA-acid, PFOA-salt, PFOS-acid, and PFOS-salt will not apply until April 25, 2018, the Department expects that the compliance costs for meeting the CBS requirements will be minimal. Hazardous substances regulated under Parts 596-599 are most commonly stored in stationary aboveground tank systems with a capacity greater than 185 gallons. Registration fees apply to each regulated tank and depend upon the capacity of each tank. The fees range from \$50 per tank for tanks with capacities less than 550 gallons to \$125 per tank for capacities greater than 1,100 gallons. If a facility discontinues storage by April 25, 2018, when the storage and handling standards go into effect, there will be no other substantive costs.

The prohibition of releases of hazardous substances is not expected to present significant compliance costs for public or private entities in rural areas with the possible exception of entities in possession of fire-fighting foams (Aqueous Film Forming Foam - AFFF) that contain PFOA-related or PFOS-related substances. This emergency rule and proposed rule adds a provision to allow facilities with fire-fighting foam the time necessary to determine if stored foam contains one or more of these substances. If the stored foam contains one of these substances, the facility would be required to arrange for the disposal of the foam by April 25, 2017. Replacement foam may not contain a hazardous substance. The older foams may be disposed of as solid waste in a permitted landfill since these substances do not meet the definition of Resource Conservation and Recovery wastes when disposed properly. The cost to replace the foam ranges from \$16 to \$32 per gallon, dependent on the amount and type of foam that is being stored. Prior to April 25, 2017, entities storing this foam will be allowed to use the foam, as needed, to fight fires to protect public safety. However, if the foam containing one or more of these hazardous substances is released to the environment in an amount that exceeds the RQ (one pound), the release must be reported to the spill hotline to allow the Department to determine if any remediation of the release is appropriate.

The costs of complying with the requirements of Part 375 to implement a remedial program where PFOA-acid, PFOA-salt, PFOS-acid, or PFOS-salt are the primary contaminants, will vary widely as the costs depend upon many factors. These include the quantity released to the environment, the media contaminated (e.g., soil, groundwater, surface water, sediment, bedrock), the horizontal and vertical extent of contamination for each medium, the accessibility of the contamination, whether there are human or environmental receptors that must be protected while a remedial program is being undertaken, the difficulty of removing PFOA-acid, PFOA-salt, PFOS-acid and PFOS-salt from the contaminated environmental media, the future anticipated use of the area of contamination, and other factors. Because of the wide variety of scenarios, it is not possible to meaningfully estimate the potential costs to persons managing PFOA-acid, PFOA-salt, PFOS-acid and PFOS-salt in rural areas resulting from the listing of PFOA-acid, PFOA-salt, PFOS-acid and PFOS-salt as hazardous substances other than to note that remedial program costs for other hazardous substances can range from the thousands to millions of dollars on a case-by-case basis.

4. MINIMIZING ADVERSE IMPACT

The Department is adopting this emergency rule and proceeding with this proposed rule based upon the conclusion of the New York State Department of Health (NYSDOH) that the combined weight of evidence from human and experimental animal studies indicates that prolonged exposure to significantly elevated levels of these compounds can affect health and, consequently, pose a threat to public health in New York State when improperly treated, stored, transported, disposed of or otherwise managed. NYSDOH scientists have concluded that it is essential to list these chemicals as hazardous substances. See the Regulatory Impact Statement for additional information, including NYSDOH's letter requesting that these chemicals be added to the List of Hazardous Substances (Section 597.3).

This action does not lend itself to the mitigating measures listed in State Administrative Procedure Act section 202-bb(2), but there are existing requirements established in the regulations that help to minimize adverse impacts. For example, the CBS regulations allow a two-year period after a new chemical is added to the list of hazardous substances before the handling and storage requirements of Part 598 apply to facilities with existing storage of the chemical (subdivision 598.1(h)). In addition, the Department has determined through other rule making actions that the remaining regulatory compliance provisions, including the storage, handling, release prohibition, and disposal provisions, appropriately apply to persons managing hazardous substances in rural areas.

5. RURAL AREA PARTICIPATION

The Department is providing statewide outreach to persons who are subject to this emergency and proposed rule, including those in rural areas. The Department will ensure public notice and input by issuing public notices in the State Register, newspapers, and the Department's Environmental Notice Bulletin; holding a comment period of at least 45 days; and holding public hearings. Interested parties will have the opportunity to submit written comments and participate in the public hearings. The Department will also post relevant rule making documents on the Department's website.

6. INITIAL REVIEW OF THE RULE

The Department will conduct an initial review of the rule within three years of the promulgation of the final rule.

Job Impact Statement

1. NATURE OF IMPACT

Through the emergency rule and proposed rule, the New York State Department of Environmental Conservation (Department):

1. Adds perfluorooctanoic acid (PFOA-acid, Chemical Abstracts Service No. 335-67-1), ammonium perfluorooctanoate (PFOA-salt, CAS No. 3825-26-1), perfluorooctane sulfonic acid (PFOS-acid, CAS No. 1763-23-1), and perfluorooctane sulfonate (PFOS-salt, CAS No. 2795-39-3) to the list of hazardous substances in 6 NYCRR Section 597.3 (Section 597.3);

2. Allows fire-fighting foam containing PFOA-acid, PFOA-salt, PFOS-acid, or PFOS-salt to be used to fight fires (but not for training or any other purposes) on or before April 25, 2017, a use which would not otherwise be allowed under the regulation since the release of a hazardous substance is prohibited; and

3. Corrects the list of hazardous substances by providing units for reportable quantities (RQs).

The substantive effects of listing of these substances in Section 597.3 is to (1) make the handling and storage of PFOA-acid, PFOA-salt, PFOS-acid, and PFOS-salt subject to the registration and other regulatory standards for Chemical Bulk Storage (CBS) facilities (6 NYCRR Parts 596-599); (2) prohibit the unauthorized release of PFOA-acid, PFOA-salt, PFOS-acid, and PFOS-salt to the environment (subdivision 597.4(a)) and require that any releases above the RQ (one pound) be reported to the Department (subdivision 597.4(b)); and (3) make the investigation and remediation of releases of PFOA-acid, PFOA-salt, PFOS-acid, and PFOS-salt to the environment subject to the Department's remedial program requirements (6 NYCRR Part 375).

The substantive effect of allowing fire-fighting foam to be used to fight fires (but not for training or any other purposes) on or before April 25, 2017 is to provide entities the time necessary to determine if stored foam contains one or more of these hazardous substances and replace any foams as necessary. If stored foam contains one of these substances, a facility would have to arrange for the proper disposal of the foam in accordance with all local, state, and federal requirements. Replacement foam may not contain a hazardous substance at a concentration that would result in the release of more than the RQ (one pound) when used as a fire-fighting foam. The older foams may be disposed of as solid waste in a permitted landfill since these substances are not Resource Conservation and Recovery Act wastes when disposed properly.

The effect of correcting the tables listing hazardous substances is to include the units for RQs to remove uncertainty regarding when a release must be reported.

Under the federal Toxic Substances Control Act, the United States Environmental Protection Agency (USEPA) has worked with industry to voluntarily phase out the use of PFOA-related substances by December 2015, and proposed a significant new use rule (SNUR) to limit the production and importation of PFOA-related substances in anticipation of the phase-out deadline (80 FR 2885; January 21, 2015). USEPA completed the SNUR to limit the production and importation of PFOS-related substances in 2002.

Since production of PFOA-related and PFOS-related substances has already been reportedly phased out or restricted, and alternative substances have been developed to take the place of these hazardous substances, the Department does not expect this rule to have a significant impact on jobs and employment either in terms of lost jobs or the creation of new jobs. Employment opportunities should remain the same or may increase somewhat due to remediation activities.

2. CATEGORIES AND NUMBERS AFFECTED

Since PFOA-acid, PFOA-salt, PFOS-acid, and PFOS-salt are reportedly no longer being produced in the United States, the CBS regulations would only apply to stored PFOA-containing or PFOS-containing materials produced before the phase-out. Since replacement materials are already in place and the number of facilities storing PFOA or PFOS in quantities large enough to be subject to the CBS regulations is expected to be small, the number of jobs affected is expected to be small. Existing employees may be required to arrange for the disposal of older stocks of PFOA-acid, PFOA-salt, PFOS-acid, and PFOS-salt containing materials,

but this should not require the creation of new jobs or the loss of existing jobs.

Where PFOA-acid, PFOA-salt, PFOS-acid, and PFOS-salt has previously been released to the environment in ways that make the resulting contamination subject to a 6 NYCRR Part 375 remedial program, a limited number of jobs may be created in order to complete the necessary investigations and remediation of the sites. Job categories would include, for example, drilling contractors and other heavy equipment operators, field investigation technicians, hydrogeologists, engineers, analytical chemists and technicians, and others with training and experience related to site remediation.

The number of sites that may become remedial sites because of the addition of PFOA-acid, PFOA-salt, PFOS-acid, and PFOS-salt to Section 597.3 is unknown. The Department has placed one site on the Registry of Inactive Hazardous Waste Disposal Sites (Registry) as a result of adding PFOA-acid to Section 597.3 (Site Registry ID No. 442046). The Department expects that other sites that used PFOA-acid, PFOA-salt, PFOS-acid, or PFOS-salt in commercial or industrial processes may have PFOA-acid, PFOA-salt, PFOS-acid, or PFOS-salt environmental contamination. Locations where PFOA-acid, PFOA-salt, PFOS-acid, or PFOS-salt disposal occurred or where PFOA-acid, PFOA-salt, PFOS-acid, or PFOS-salt were components of materials released to the environment may become remedial sites subject to the requirements of Part 375. Nationally, research by the United States Department of Defense (DoD) found that approximately 600 DoD sites are categorized as fire/crash/training areas and thus have the potential for contamination with perfluoroalkyl compounds (including PFOA-related and PFOS-related substances) due to historical use of aqueous film-forming foams (AFFF) [Strategic Environmental Research and Development Program (SERDP), FY 2014 Statement of Need (SON), Environmental Restoration (ER) Program Area, "In Situ Remediation of Perfluoroalkyl Contaminated Groundwater," SON Number: ERSON-14-02, October 25, 2012]. It is possible that the Department will list additional Registry sites. The work needed to investigate and remediate these sites may be accomplished by existing staff or new jobs may be added depending upon the number and complexity of sites.

3. REGIONS OF ADVERSE IMPACT

There are no regions of the State expected to be disproportionately impacted by the emergency rule and proposed rule as they apply statewide. There is no reason to expect that PFOA-acid, PFOA-salt, PFOS-acid, or PFOS-salt issues will be concentrated in one area over another to any significant degree.

4. MINIMIZING ADVERSE IMPACT

For the reasons described above, the emergency rule and proposed rule are not expected to have a significant adverse impact on jobs and employment.

5. SELF-EMPLOYMENT OPPORTUNITIES

The emergency rule and proposed rule are not expected to impact self-employment opportunities.

6. INITIAL REVIEW OF RULE

The Department will conduct an initial review of the rule within three years of the promulgation of the final rule.

Assessment of Public Comment

The agency received no public comment.

REVISED RULE MAKING NO HEARING(S) SCHEDULED

Science-Based State Sea-Level Rise Projections

I.D. No. ENV-45-15-00028-RP

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

Proposed Action: Addition of Part 490 to Title 6 NYCRR.

Statutory authority: Environmental Conservation Law, section 3-0319

Subject: Science-based State sea-level rise projections.

Purpose: To establish a common source of sea-level rise projections for consideration in relevant programs and decision-making.

Text of revised rule: Chapter IV Quality Services

Subchapter I Climate Change

Part 490 Projected Sea-Level Rise

490.1 Purpose

This Part establishes science-based projections of sea-level rise for New York State's tidal coast, including the marine coasts of Nassau, Suffolk and Westchester counties and the five boroughs of New York City, and the main stem of the Hudson River, north from New York City to the federal dam at Troy.

490.2 Applicability

This Part applies to consideration of sea-level rise by the Department, other State agencies, and applicants for relevant permits, approvals, and funding in the context of programs specified in the Community Risk and Resiliency Act.

490.3 Definitions

For the purposes of this Part, the following definitions apply:

- (a) '2020s'. The years 2020 through 2029.
- (b) '2050s'. The years 2050 through 2059.
- (c) '2080s'. The years 2080 through 2089.
- (d) 'Baseline level'. The average level of the surface of marine or tidal water over the years 2000 through 2004.

(e) 'ClimAID model outputs'. Projections based on the outputs of global climate models, downscaled to New York, and additional information, including information to account for anticipated changes in the rates of ice melt that cannot yet be more rigorously included in quantitative models.

(f) 'Community Risk and Resiliency Act'. Chapter 355 of the Laws of 2014.

(g) 'Department'. The New York State Department of Environmental Conservation.

(h) 'High-medium projection'. The amount of sea-level rise that is unlikely (the 75th percentile of ClimAID model outputs) to be exceeded by the specified time interval.

(i) 'High projection'. The amount of sea-level rise that is associated with high rates of melt of land-based ice and is very unlikely (the 90th percentile of ClimAID model outputs) to be exceeded by the specified time interval.

(j) 'Long Island Region'. The marine coast of Nassau and Suffolk counties.

(k) 'Lower Hudson-New York City Region'. The main stem of the Hudson River, south from the mouth of Rondout Creek at Kingston, New York, and the marine coast of the five boroughs of New York City and the Long Island Sound in Westchester County.

(l) 'Low-medium projection'. The amount of sea-level rise that is likely (the 25th percentile of ClimAID model outputs) to be exceeded by the specified time interval.

(m) 'Low projection'. The amount of sea-level rise that is consistent with historical rates of sea-level rise and is very likely (the 10th percentile of ClimAID model outputs) to be exceeded by the specified time interval.

(n) 'Medium projection'. The amount of sea-level rise that is about as likely as not (the mean of the 25th and 75th percentiles of ClimAID model outputs) to be exceeded by the specified time interval.

(o) 'Mid-Hudson Region'. The main stem of the Hudson River, from the federal dam at Troy to the mouth of Rondout Creek at Kingston, New York.

(p) 'Sea-level rise'. The increase in the average level of the surface of marine or tidal water for the specified geographic region.

490.4 Projections

The tables in subdivisions (a), (b), and (c) of this section establish projected sea-level rise for the specified geographic region relative to the baseline level.

(a) Mid-Hudson Region

Time Interval	Low Projection	Low-Medium Projection	Medium Projection	High-Medium Projection	High Projection
2020s	1 inch	3 inches	5 inches	7 inches	9 inches
2050s	5 inches	9 inches	14 inches	19 inches	27 inches
2080s	10 inches	14 inches	25 inches	36 inches	54 inches
2100	11 inches	18 inches	32 inches	46 inches	71 inches

(b) New York City/Lower Hudson Region

Time Interval	Low Projection	Low-Medium Projection	Medium Projection	High-Medium Projection	High Projection
2020s	2 inches	4 inches	6 inches	8 inches	10 inches
2050s	8 inches	11 inches	16 inches	21 inches	30 inches
2080s	13 inches	18 inches	29 inches	39 inches	58 inches
2100	15 inches	22 inches	36 inches	50 inches	75 inches

(c) Long Island Region

Time Interval	Low Projection	Low-Medium Projection	Medium Projection	High-Medium Projection	High Projection
2020s	2 inches	4 inches	6 inches	8 inches	10 inches
2050s	8 inches	11 inches	16 inches	21 inches	30 inches
2080s	13 inches	18 inches	29 inches	39 inches	58 inches
2100	15 inches	21 inches	34 inches	47 inches	72 inches

Revised rule compared with proposed rule: Substantial revisions were made in sections 490.1, 490.2 and 490.3.

Text of revised proposed rule and any required statements and analyses may be obtained from Mark Lowery, NYSDEC, Office of Climate Change, 625 Broadway, Albany, NY 12233-3251, (518) 402-8448, email: mark.lowery@dec.ny.gov

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

Public comment will be received until: 30 days after publication of this notice.

Additional matter required by statute: Pursuant to Article 8 of the Environmental Conservation Law (the State Environmental Quality Review Act), a Short Environmental Assessment Form, a Negative Declaration and a Coastal Assessment Form have been prepared and are on file.

Summary of Revised Regulatory Impact Statement

INTRODUCTION

On September 22, 2014, Governor Cuomo signed into law the Community Risk and Resiliency Act, Chapter 355 of the Laws of 2014 (CRRA). CRRA is intended to ensure that decisions regarding certain State permits and expenditures consider climate risk, including sea-level rise. Among other things, CRRA requires the Department of Environmental Conservation (Department) to adopt regulations establishing science-based State sea-level rise projections. Therefore, the Department is proposing to establish a new 6 NYCRR Part 490, Projected Sea-level Rise (Part 490). Part 490 will establish projections of sea-level rise in three specified geographic regions over various time intervals, but will not impose any requirements on any entity.

STATUTORY AUTHORITY

The statutory authority to promulgate Part 490 is found in Environmental Conservation Law (ECL) § 3-0319, which was added by CRRA. ECL § 3-0319 requires the Department to adopt regulations establishing science-based State sea-level rise projections by January 1, 2016. The promulgation of Part 490 by the Department will fulfill this statutory requirement.

LEGISLATIVE OBJECTIVES

CRRA was enacted with the purpose of ensuring that decisions regarding certain state permits, regulations, and expenditures include consideration of the effects of climate risk, including sea-level rise, and extreme weather events. Part 490 will implement one component of this objective by providing a common source of sea-level rise projections for consideration within these programs.

NEEDS and BENEFITS

CRRA enumerates several permitting, regulatory and funding programs in which the applicants, the Department, or other relevant State agencies shall be required to consider future climate risk, including sea-level rise. Adoption of Part 490 will help to ensure that sea-level rise projections are incorporated into these decision-making processes in a consistent, transparent manner and will contribute to regulatory certainty.

Stakeholder Outreach

The Department conducted outreach to stakeholders in several fora prior to proposing Part 490. This outreach included interaction with the authors of various reports regarding sea-level rise in order to gain understanding of the most current and applicable science. For example, the Department held a teleconference with the authors of two reports on March 6, 2015. Moreover, the Department held individual discussions with certain particularly interested stakeholders, such as the City of New York on June 1, 2015. In addition, the Department's stakeholder outreach included five public informational and listening sessions, at which Department staff presented background on CRRA and the scientific information the Department considered in developing Part 490. These meetings were advertised through Departmental press release and in the Department's Environmental Notice Bulletin, and were held on June 23-25 at locations in Albany, New York City, and Nassau and Suffolk Counties. At these meetings, the Department received input from stakeholders on Part 490.

Summary of Projection Format

Based in part on this input, the Department proposes to adopt five projections for each of three regions of the State. The three regions of the State are Long Island, New York City and the Lower Hudson River

upstream to Kingston, and the Mid-Hudson River from Kingston upstream to the federal dam at Troy. These three regions exhibit small differences in relative sea-level rise due to local conditions. The five projections for these three regions are low, low-medium, medium, high-medium and high. These qualitative terms refer to the rate of rise, not to ultimate water levels, as warming of the Earth system has already resulted in a long-term commitment of at least six feet of global sea-level rise (Strauss, 2013¹). In other words, while there is some uncertainty regarding the precise rate at which sea level will rise, there is relative certainty that global sea level will ultimately rise at least six feet over current levels. Finally, each of these projections is presented for four different time periods: the 2020s, 2050s, and 2080s, and the year 2100.

Revisions to Part 490

The Department made substantial revisions to Part 490 in response to public comments received on the initial notice of proposed rulemaking. First, the Department substantially revised the definition of “high projection” in subdivision 490.3(i). Pursuant to this revision, in addition to being “very unlikely” to occur, the “high projection” is defined as being “associated with high rates of melt of land-based ice.” This revision is intended to acknowledge the fact that, if the high projection is reached by a given time interval, it would be associated with high rates of melt of land-based ice. Second, the Department substantially revised the definition of the term “low projection” in subdivision 490.3(m). Pursuant to this revision, in addition to being “very likely” to be exceeded, the “low projection” is defined as being “consistent with historical rates of sea-level rise.” This revision accounts for the fact that future sea-level rise is not projected to be consistent with historical trends, but is instead projected to accelerate with increased warming. In addition, the Department made changes to Sections 490.1 and 490.2 to expand upon the purpose and applicability of Part 490.

ClimAID Report

The Department’s proposed sea-level rise projections in Part 490 are based on sea-level rise projections included in Horton et al. (2014²), prepared for the New York State Energy Research and Development Authority, also known as the ClimAID report. ClimAID’s projections are based on the outputs of more than 20 global climate models, downscaled to New York, using the Intergovernmental Panel on Climate Change’s (IPCC) Representative Concentration Pathways (RCP) 4.5 and 8.5 as inputs. RCP 4.5 describes a scenario in which global greenhouse gas emissions increase only slightly before declining around the year 2040, leading to a stabilization of atmospheric greenhouse gas concentrations shortly after the year 2100. RCP 8.5 assumes no significant global emission-reduction policies are implemented and emissions increase, leading to higher atmospheric greenhouse gas concentrations.

Comparison of ClimAID Report to Other Reports

As required by ECL § 3-0319, the Department considered various sources of information in proposing to adopt projections in Part 490 based on the ClimAID report. This includes projections prepared for the National Climate Assessment and the New York State Resiliency Institute for Storms and Emergencies (RISE).

The Department has considered numerous factors in proposing to base Part 490 on the ClimAID projections rather than on more conservative, less protective projections based primarily on process modeling. First, adoption of projections based on the ClimAID report ensures that regulators, planners and others have access to projections developed specifically for New York State and accounting for regional and local factors not considered in development of global sea-level rise projections. Second, the ClimAID research was conducted by the same research team that provided the NPCC projections, using the same methodologies, which have been peer reviewed and published in established scientific journals. Third, ClimAID provides projections for the entire tidal coast of the state, including the Hudson River upstream to the federal dam in Troy, rather than just Long Island and New York City. Fourth, New York City has already adopted the NPCC/ClimAID projections for its planning purposes; a State regulation based on alternative projections could create confusion among the public, planners and regulated community.

Finally, the proposed projection distribution (low, low-medium, medium, high-medium and high) constitutes a range suitable for risk-based planning and review of projects of varying projected life times and criticality. Although unlikely to occur in the more immediate future, the inclusion of higher sea-level rise projections in Part 490 allows for decision makers to consider the possibility in the context of the programs specified by CRR.

Perhaps most importantly, the question for decision makers is not if a critical sea level will be reached, but when. Strauss (2013³) calculated that historic greenhouse gas emissions have already committed the globe to a mean sea-level rise of 6.2 feet over current levels. Even more conservative projections of rates of sea-level rise indicate sea-level rise of approximately six feet within the next 150 years. Thus, a full range of projections in Part 490 that includes higher values is appropriate to allow for consideration of a level of sea-level rise that will likely occur at some point, even if the timing of such occurrence is uncertain.

COSTS

Part 490 will not impose any costs on any entity because the regulation consists only of sea-level rise projections and does not impose any standards or compliance obligations. Therefore, there are no costs associated with Part 490. Likewise, the regulation will also not impose any additional costs on the Department or local government entities.

LOCAL GOVERNMENT MANDATES

Part 490 will not create any mandates for local governments, including any additional recordkeeping, reporting, or other requirements.

PAPERWORK

No additional record keeping, reporting, or other requirements will be imposed under this rulemaking.

DUPLICATION

This proposal does not duplicate, overlap, or conflict with any other federal or State regulations or statutes.

ALTERNATIVES

Alternatives to this proposal include: (1) No action, or not establishing Part 490, (2) basing the adopted projections on other scientific reports, and (3) using an alternative projection format.

1) No Action - Not establishing Part 490 is not an available alternative because ECL § 3-0319 requires the Department to adopt a regulation establishing science-based State sea-level rise projections.

2) Other Reports – The Department considered basing its proposed projections on several alternative scientific reports other than the ClimAID report, including Parris et al., (2012⁴), completed for the National Climate Assessment, and Zhang et al., (2014⁵), prepared for RISE. The Department also reviewed and considered information contained in reports of the Intergovernmental Panel on Climate Change (Church et al., 2013⁶), New York State Sea Level Rise Task Force⁷ and the New York City Panel on Climate Change.⁸ The Department rejected basing the projections in Part 490 on any of these other reports because, among other reasons, the ClimAID report covers the entire tidal coast of the State, accounts for local and regional variations in sea-level rise, and incorporates the possibility of rapid ice melt.

3) Other Formats – The Department considered using a different projection format in Part 490, such as different geographic regions or time intervals. The Department is proposing Part 490 in a format that includes five projections for each of three geographic regions based on stakeholder input and because it is consistent with the format of the ClimAID report.

FEDERAL STANDARDS

There are no federal rules or other legal requirements relevant to Part 490. Therefore, this proposal does not result in the imposition of requirements that exceed any minimum standards of the federal government for the same or similar subject areas.

COMPLIANCE SCHEDULE

There is no compliance schedule required by the establishment of Part 490 because the rule does not impose any compliance obligations on any entity.

¹ Strauss, B. 2013. Rapid accumulation of committed sea-level rise from global warming. Proc. Natl. Acad. Sci. USA. doi: 10.1073/pnas.1312464110

² Horton, R., D. Bader, C. Rosenzweig, A. DeGaetano, and W. Solecki. 2014. Climate Change in New York State: Updating the 2011 ClimAID Climate Risk Information. New York State Energy Research and Development Authority (NYSEDA), Albany, New York.

³ Strauss. 2013. Op. cit.

⁴ Parris, A., P. Bromirski, V. Burkett, D. Cayan, M. Culver, J. Hall, R. Horton, K. Knuuti, R. Moss, J. Obeysekera, A. Sallenger, and J. Weiss. 2012. Global Sea Level Rise Scenarios for the US National Climate Assessment. NOAA Tech Memo OAR CPO-1. 37 pp.

⁵ Zhang, Minghua, Henry Bokuniewicz, Wuyin Lin, Sung?128;Gheel Jang, and Ping Liu. 2014: Climate Risk Report for Nassau and Suffolk, New York State Resiliency Institute for Storms and Emergencies (NYS RISE), NYS RISE Technical Report TR?128;0?128;14?128;01, 49 pp.

⁶ Church, J.A. 2013. Chap. 13: Sea level change, in climate change 2013: The Physical Science Basis, edited by T.F. Stocker, D. Qin, G.-K. Plattner, M. Tignor, S.K. Allen, J. Boschung, A. Nauels, Y.xia, V. Bex, and P. Midgley, pp 1137-1216. Cambridge Univ. Press, Cambridge, U.K.

⁷ New York State Sea Level Rise Task Force: Report to the Legislature. 2010. New York State Department of Environmental Conservation. 103 pp.

⁸ Horton et al. 2015. Op. cit.

Revised Regulatory Flexibility Analysis

A revised RFASBLG is not required for Part 490. The Department is proposing this rulemaking to provide a common source of sea-level rise

projections for consideration within programs specified by the Community Risk and Resiliency Act, Chapter 355 of the Laws of 2014. Because the proposed rule will not impose any requirements on any entity, no small business or local governments will be directly affected by the rule.

Revised Rural Area Flexibility Analysis

A revised RAFA is not required for Part 490. The Department is proposing this rulemaking to provide a common source of sea-level rise projections for consideration within programs specified by the Community Risk and Resiliency Act, Chapter 355 of the Laws of 2014. Because the proposed rule will not impose any requirements on any entity, it will not create any new or additional effect on rural communities.

Revised Job Impact Statement

A revised JIS is not required for Part 490. The Department is proposing this rulemaking to provide a common source of sea-level rise projections for consideration within programs specified by the Community Risk and Resiliency Act, Chapter 355 of the Laws of 2014. Because the proposed rule will not impose any requirements on any entity, it will not have any effect on jobs or employment opportunities.

Assessment of Public Comment

Comments Received from November 10, 2015 through December 28, 2015

The Community Risk and Resiliency Act, Chapter 355 of the Laws of 2014 (CRRA), is intended to ensure that decisions regarding certain State permits and expenditures consider climate risk, including sea-level rise. CRRA created a new Environmental Conservation Law (ECL) § 3-0319 that requires the Department of Environmental Conservation (Department) to adopt regulations establishing science-based State sea-level rise projections. To fulfill this statutory requirement, the Department is establishing a new 6 NYCRR Part 490, Projected Sea-level Rise (Part 490). Part 490 establishes projections of sea-level rise in three specified geographic regions over various time intervals, but does not impose any requirements on any entity.

The Department's sea-level rise projections in Part 490 are based on sea-level rise projections included in Horton et al. (2014), prepared for the New York State Energy Research and Development Authority, also known as the ClimAID report. Pursuant to CRRA, the Department, in consultation with the Department of State, is also developing implementation guidance that will describe how to consider flooding, storm surge, and the sea-level rise projections in Part 490 in the programs specified by CRRA.

The Department formally proposed Part 490 on November 10, 2015 and accepted public comments through December 28, 2015. The Department received public comments from nine individuals during the public comment period. The Department has reviewed, summarized, and responded to all relevant public comments received during the public comment period. In response to comments, the Department substantially revised the express terms of Part 490, including the definitions of the terms "low projection" and "high projection." The Department received two public comments outside of the public comment period, which the Department has also addressed despite their being outside the scope of the rulemaking.

The vast majority of commenters supported the approach the Department has taken in developing Part 490. In particular, many commenters expressed support for basing State projections on the ClimAID report, including a high projection of approximately 6 feet of sea-level rise by 2100. Moreover, the City of New York described the benefits of statewide consistency, including that adoption of projections consistent with New York City Panel on Climate Change projections will allow for coordinated decision making and avoid unnecessary confusion of competing projections. The projections in Part 490 are based on the ClimAID report, including a high projection of approximately 6 feet of sea-level rise by 2100, and are consistent with New York City Panel on Climate Change projections.

Some commenters noted that no further requirements will be imposed by Part 490, and stated that they cannot understand why the adoption of scientific sea-level rise projections imposes no requirements on anyone. As explained in the Regulatory Impact Statement (RIS), the Department is promulgating Part 490 pursuant to ECL § 3-0319. This provision does not authorize the Department to impose additional requirements through this Part 490 regulation. In addition, pursuant to CRRA, the Department, in consultation with the Department of State, is also developing implementation guidance that will describe how to consider sea-level rise in the programs specified by CRRA. While Part 490 itself does not impose any requirements, it provides a common source of sea-level rise projections for consideration within the programs specified by CRRA.

One commenter suggested that six foot of sea level rise is so unlikely that it does not reach the threshold of "plausible." This commenter stressed the uncertainty regarding the rate of future ice melt, including the lack of consensus for ice sheet collapse, and the uncertainty related to the timing

of sea-level rise in the event of rapid ice melt. The Department acknowledges the lack of expert consensus regarding the likely rate of ice sheet melt and potential for ice sheet collapse. In response to this and other comments, the Department substantially revised the definition of the term "high projection" to include that it is "associated with high rates of melt of land-based ice."

In any case, Part 490 includes a range of projections of sea-level rise. The projection distribution constitutes a range suitable for risk-based planning and review of projects of varying projected life times and criticality. Part 490 explicitly defines the "high projection" in the regulation as being "very unlikely" to occur. The Department maintains that it is prudent to include a high, albeit unlikely, projection to enable consideration of the consequences of low-probability but high-consequence events. The manner in which the high projection should be considered in the context of particular projects will be addressed through the CRRA implementation guidance currently being developed by the Department in consultation with the Department of State.

One commenter stated that, in order for the six foot of sea-level rise projection to be considered credible, the RIS must explain why certain conclusions of the Intergovernmental Panel on Climate Change (IPCC) were "ignored." The Department carefully reviewed these IPCC projections, which are based on process models that assume static or linear rates of ice sheet loss over Greenland and Antarctica. As explained in the RIS, for numerous reasons, the Department based the projections in Part 490 on the ClimAID projections, rather than on other more conservative, less protective projections based primarily on process modeling. As stated in the RIS, the Department acknowledges that the highest projections developed by some other studies are lower than the ClimAID high projections. The ClimAID projections incorporate expert judgment of ice loss based on accelerating rates of melt and seaward movement of ice, positive feedbacks and non-linearities that are not necessarily accounted for in the process-based and statistical modeling approaches described by the IPCC. In any case, Part 490 explicitly defines the high projection as "very unlikely."

One commenter suggested that the Department should adopt a "pledge and review" approach to sea-level rise values, under which projections would be based on observed rates of rise at specified tide gauges during 5-year review periods. First, ECL § 3-0319, as added by CRRA, requires the Department to consider certain specified information and reports in promulgating science-based State sea-level rise projections. Second, ECL § 3-0319 requires the Department to update its sea-level rise projection regulations at least every five years, which the Department will do through future action.

Moreover, while the Department has not yet determined the precise review process it will use, it has concerns with the pledge and review approach suggested. The first is its reliance on a limited number of tide gauges, given that local factors can affect sea-level change at individual stations so that significantly different trends are indicated, even from proximate stations. Secondly, the pledge and review approach would yield planning values based only on historical trends in rise or rates of rise, whereas CRRA requires consideration of future climate risk. As described in the RIS, the rate of sea-level rise is not projected to be constant based on historical values but is instead projected to accelerate with increased warming. In response to this and other comments, the Department substantially revised the definition of the term "low projection" to include that it is "consistent with historical rates of sea-level rise." Projections based solely on the pledge and review approach could be easily skewed by short-term, localized phenomena, and the approach would fail to account for acceleration of sea-level rise that would occur with projected warming.

One commenter raised several issues regarding the rulemaking procedure used to adopt Part 490. First, for example, this commenter claimed that this is an improper and illegal rulemaking as the proposed regulation has no context and cannot be understood by the regulated community. The Department disagrees, as this claim is incorrect. The promulgation of Part 490 complies with the State Administrative Procedure Act (SAPA) and all other rulemaking requirements. The Legislature established the context of Part 490 through the statutory language of CRRA. Moreover, the context of the regulation is further described in the RIS.

Furthermore, even before the formal proposal of Part 490 pursuant to SAPA, the Department held an extensive public stakeholder outreach process. As summarized in the RIS, this process included five public informational and listening sessions, at which Department staff presented background on CRRA, including the overall context of the regulation.

In addition, as explained in the RIS, Part 490 does not impose any requirements on any entity. Part 490 implements one component of CRRA by providing a common source of sea-level rise projections for consideration within the programs specified by CRRA. The adoption of Part 490 is the first step in the overall process to implement CRRA, as the Department is also currently preparing guidance, in consultation with the Department of State, regarding the implementation of CRRA. This guidance will

address, among other things, how consideration of the sea-level rise projections in Part 490 should be incorporated into each of the permitting and other programs enumerated in CRRA. CRRA requires this guidance to be adopted by January 1, 2017. Applicants for relevant permits or funding programs will not be required to consider Part 490's sea-level rise projections pursuant to CRRA until such guidance is adopted.

Second, this commenter also argued that precluding meaningful input while simultaneously putting into place a binding requirement affecting future regulatory enactments is illegal and is an improper attempt to insulate the regulation from challenge. Through the promulgation of Part 490, the Department neither precluded meaningful input nor put into place a binding requirement affecting future regulatory enactments. Rather than precluding meaningful input, as explained in the RIS, the Department provided several opportunities for input on Part 490, including through stakeholder outreach before the formal proposal of the regulation for public comment. Moreover, the Department will also provide additional opportunities for meaningful input on future CRRA implementation actions. Furthermore, the Department reiterated that Part 490 does not impose a binding requirement affecting future regulatory enactments. Finally, to the extent the Department undertakes any future regulatory enactments that incorporate Part 490, such future action will be subject to SAPA and other procedural rulemaking requirements, including an opportunity for public comment.

Third, the commenter also argued that the regulated community cannot meaningfully comment on the sea-level rise projection numbers in the absence of the remainder of the regulatory scheme. The RIS describes the manner in which Part 490 fits into the overall scheme of CRRA. The Legislature established the context of Part 490 through the statutory language of CRRA.

A primary reason for adopting Part 490 first, prior to the finalization of CRRA implementation guidance, is the statutory language of CRRA itself. Part 490 is the first step in the overall process to implement CRRA. The Department, in consultation with the Department of State, is currently developing CRRA implementation guidance, and applicants for relevant permits or funding programs will not be required to consider Part 490's sea-level rise projections pursuant to CRRA until such guidance is adopted.

The Department recognizes that the regulated community is interested in both the sea-level rise projections numbers in Part 490, as well as the manner in which consideration of these projections will be incorporated into the programs specified by CRRA. The Department will provide additional opportunities for meaningful input on future CRRA implementation actions. Furthermore, to the extent the Department undertakes any future regulatory enactments that incorporate Part 490, such future action will be subject to SAPA and other procedural rulemaking requirements, including an opportunity for public comment.

Finally, two commenters suggested that definitions should more clearly articulate the likelihood of particular rates of sea-level rise occurring. As described in the RIS, the projections included in Part 490 are not associated with specific probabilities. There is no way to describe an accurate probability distribution for various levels of future sea-level rise from the ClimAID projections. Rather, the Department's terminology and definitions provide a qualitative indication of the relative likelihood of the specified rise. The Department substantially revised the definitions of the terms "low projection" and "high projection" in response to these and other comments.

Department of Financial Services

EMERGENCY RULE MAKING

Business Conduct of Mortgage Loan Servicers

I.D. No. DFS-48-16-00001-E

Filing No. 1036

Filing Date: 2016-11-10

Effective Date: 2016-11-14

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

Action taken: Addition of Part 419 to Title 3 NYCRR.

Statutory authority: Banking Law, art. 12-D

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

Specific reasons underlying the finding of necessity: The legislature required the registration of mortgage loan servicers as part of the Mortgage Lending Reform Law of 2008 (Ch. 472, Laws of 2008, hereinafter, the "Mortgage Lending Reform Law") to help address the existing foreclosure crisis in the state. By registering servicers and requiring that servicers engage in the business of mortgage loan servicing in compliance with rules and regulations adopted by the Superintendent, the legislature intended to help ensure that servicers conduct their business in a manner acceptable to the Department. However, since the passage of the Mortgage Lending Reform Law, foreclosures continue to pose a significant threat to New York homeowners. The Department continues to receive complaints from homeowners and housing advocates that mortgage loan servicers' response to delinquencies and their efforts at loss mitigation are inadequate. These rules are intended to provide clear guidance to mortgage loan servicers as to the procedures and standards they should follow with respect to loan delinquencies. The rules impose a duty of fair dealing on loan servicers in their communications, transactions and other dealings with borrowers. In addition, the rule sets standards with respect to the handling of loan delinquencies and loss mitigation. The rule further requires specific reporting on the status of delinquent loans with the Department so that it has the information necessary to assess loan servicers' performance.

In addition to addressing the pressing issue of mortgage loan delinquencies and loss mitigation, the rule addresses other areas of significant concern to homeowners, including the handling of borrower complaints and inquiries, the payment of taxes and insurance, crediting of payments and handling of late payments, payoff balances and servicer fees. The rule also sets forth prohibited practices such as engaging in deceptive practices or placing homeowners' insurance on property when the servicers has reason to know that the homeowner has an effective policy for such insurance.

Subject: Business conduct of mortgage loan servicers.

Purpose: To implement the purpose and provisions of the Mortgage Lending Reform Law of 2008 with respect to mortgage loan servicers.

Substance of emergency rule: Section 419.1 contains definitions of terms that are used in Part 419 and not otherwise defined in Part 418, including "Servicer", "Qualified Written Request" and "Loan Modification".

Section 419.2 establishes a duty of fair dealing for Servicers in connection with their transactions with borrowers, which includes a duty to pursue loss mitigation with the borrower as set forth in Section 419.11.

Section 419.3 requires compliance with other State and Federal laws relating to mortgage loan servicing, including Banking Law Article 12-D, RESPA, and the Truth-in-Lending Act.

Section 419.4 describes the requirements and procedures for handling to consumer complaints and inquiries.

Section 419.5 describes the requirements for a servicer making payments of taxes or insurance premiums for borrowers.

Section 419.6 describes requirements for crediting payments from borrowers and handling late payments.

Section 419.7 describes the requirements of an annual account statement which must be provided to borrowers in plain language showing the unpaid principal balance at the end of the preceding 12-month period, the interest paid during that period and the amounts deposited into and disbursed from escrow. The section also describes the Servicer's obligations with respect to providing a payment history when requested by the borrower or borrower's representative.

Section 419.8 requires a late payment notice be sent to a borrower no later than 17 days after the payment remains unpaid.

Section 419.9 describes the required provision of a payoff statement that contains a clear, understandable and accurate statement of the total amount that is required to pay off the mortgage loan as of a specified date.

Section 419.10 sets forth the requirements relating to fees permitted to be collected by Servicers and also requires Servicers to maintain and update at least semi-annually a schedule of standard or common fees on their website.

Section 419.11 sets forth the Servicer's obligations with respect to handling of loan delinquencies and loss mitigation, including an obligation to make reasonable and good faith efforts to pursue appropriate loss mitigation options, including loan modifications. This Section includes requirements relating to procedures and protocols for handling loss mitigation, providing borrowers with information regarding the Servicer's loss mitigation process, decision-making and available counseling programs and resources.

Section 419.12 describes the quarterly reports that the Superintendent may require Servicers to submit to the Superintendent, including information relating to the aggregate number of mortgages serviced by the Servicer, the number of mortgages in default, information relating to loss mitigation activities, and information relating to mortgage modifications.

Section 419.13 describes the books and records that Servicers are required to maintain as well as other reports the Superintendent may

require Servicers to file in order to determine whether the Servicer is complying with applicable laws and regulations. These include books and records regarding loan payments received, communications with borrowers, financial reports and audited financial statements.

Section 419.14 sets forth the activities prohibited by the regulation, including engaging in misrepresentations or material omissions and placing insurance on a mortgage property without written notice when the Servicer has reason to know the homeowner has an effective policy in place.

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 February 7, 2017.

Text of rule and any required statements and analyses may be obtained from: Hadas A. Jacobi, Senior Attorney, NYS Department of Financial Services, 1 State Street, New York, NY 10004, (212) 480-5890, email: hadas.jacobi@dfs.ny.gov

Regulatory Impact Statement

1. Statutory Authority.

Article 12-D of the Banking Law, as amended by the Legislature in the Mortgage Lending Reform Law of 2008 (Ch. 472, Laws of 2008, hereinafter, the "Mortgage Lending Reform Law"), creates a framework for the regulation of mortgage loan servicers. Mortgage loan servicers are individuals or entities which engage in the business of servicing mortgage loans for residential real property located in New York. That legislation also authorizes the adoption of regulations implementing its provisions. (See, e.g., Banking Law Sections 590(2) (b-1) and 595-b.)

Subsection (1) of Section 590 of the Banking Law was amended by the Mortgage Lending Reform Law to add the definitions of "mortgage loan servicer" and "servicing mortgage loans". (Section 590(1)(h) and Section 590(1)(i).)

A new paragraph (b-1) was added to Subdivision (2) of Section 590 of the Banking Law. This new paragraph prohibits a person or entity from engaging in the business of servicing mortgage loans without first being registered with the Superintendent. The registration requirements do not apply to an "exempt organization," licensed mortgage banker or registered mortgage broker.

This new paragraph also authorizes the Superintendent to refuse to register an MLS on the same grounds as he or she may refuse to register a mortgage broker under Banking Law Section 592-a(2).

Subsection (3) of Section 590 was amended by the Subprime Law to clarify the power of the banking board to promulgate rules and regulations and to extend the rulemaking authority regarding regulations for the protection of consumers and regulations to define improper or fraudulent business practices to cover mortgage loan servicers, as well as mortgage bankers, mortgage brokers and exempt organizations. The functions and powers of the banking board have since been transferred to the Superintendent of Financial Services, pursuant to Part A of Chapter 62 of the Laws of 2011, Section 89.

New Paragraph (d) was added to Subsection (5) of Section 590 by the Mortgage Lending Reform Law and requires mortgage loan servicers to engage in the servicing business in conformity with the Banking Law, such rules and regulations as may be promulgated by the Banking Board or prescribed by the Superintendent, and all applicable federal laws, rules and regulations.

New Subsection (1) of Section 595-b was added by the Mortgage Lending Reform Law and requires the Superintendent to promulgate regulations and policies governing the grounds to impose a fine or penalty with respect to the activities of a mortgage loan servicer. Also, the Mortgage Lending Reform Law amends the penalty provision of Subdivision (1) of Section 598 to apply to mortgage loan servicers as well as to other entities.

New Subdivision (2) of Section 595-b was added by the Mortgage Lending Reform Law and authorizes the Superintendent to prescribe regulations relating to disclosure to borrowers of interest rate resets, requirements for providing payoff statements, and governing the timing of crediting of payments made by the borrower.

Section 596 was amended by the Mortgage Lending Reform Law to extend the Superintendent's examination authority over licensees and registrants to cover mortgage loan servicers. The provisions of Banking Law Section 36(10) making examination reports confidential are also extended to cover mortgage loan servicers.

Similarly, the books and records requirements in Section 597 covering licensees, registrants and exempt organizations were amended by the Mortgage Lending Reform Law to cover servicers and a provision was added authorizing the Superintendent to require that servicers file annual reports or other regular or special reports.

The power of the Superintendent to require regulated entities to appear and explain apparent violations of law and regulations was extended by the Mortgage Lending Reform Law to cover mortgage loan servicers

(Subdivision (1) of Section 39), as was the power to order the discontinuance of unauthorized or unsafe practices (Subdivision (2) of Section 39) and to order that accounts be kept in a prescribed manner (Subdivision (5) of Section 39).

Finally, mortgage loan servicers were added to the list of entities subject to the Superintendent's power to impose monetary penalties for violations of a law, regulation or order. (Paragraph (a) of Subdivision (1) of Section 44).

The fee amounts for mortgage loan servicer registration and branch applications are established in accordance with Banking Law Section 18-a.

2. Legislative Objectives.

The Mortgage Lending Reform Law was intended to address various problems related to residential mortgage loans in this State. The law reflects the view of the Legislature that consumers would be better protected by the supervision of mortgage loan servicing. Even though mortgage loan servicers perform a central function in the mortgage industry, there had previously been no general regulation of servicers by the state or the Federal government.

The Mortgage Lending Reform Law requires that entities be registered with the Superintendent in order to engage in the business of servicing mortgage loans in this state. The new law further requires mortgage loan servicers to engage in the business of servicing mortgage loans in conformity with the rules and regulations promulgated by the Banking Board and the Superintendent.

The mortgage servicing statute has two main components: (i) the first component addresses the registration requirement for persons engaged in the business of servicing mortgage loans; and (ii) the second authorizes the Superintendent to promulgate appropriate rules and regulations for the regulation of servicers in this state.

Part 418 of the Superintendent's Regulations, initially adopted on an emergency basis on July 1 2009, addresses the first component of the mortgage servicing statute by setting standards and procedures for applications for registration as a mortgage loan servicer, for approving and denying applications to be registered as a mortgage loan servicer, for approving changes of control, for suspending, terminating or revoking the registration of a mortgage loan servicer as well as setting financial responsibility standards for mortgage loan servicers.

Part 419 addresses the business practices of mortgage loan servicers in connection with their servicing of residential mortgage loans. This part addresses the obligations of mortgage loan servicers in their communications, transactions and general dealings with borrowers, including the handling of consumer complaints and inquiries, handling of escrow payments, crediting of payments, charging of fees, loss mitigation procedures and provision of payment histories and payoff statements. This part also imposes certain recordkeeping and reporting requirements in order to enable the Superintendent to monitor services' conduct and prohibits certain practices such as engaging in deceptive business practices.

Collectively, the provisions of Part 418 and 419 implement the intent of the Legislature to register and supervise mortgage loan servicers.

3. Needs and Benefits.

The Mortgage Lending Reform Law adopted a multifaceted approach to the lack of supervision of the mortgage loan industry, particularly with respect to servicing and foreclosure. It addressed a variety of areas in the residential mortgage loan industry, including: i. loan originations; ii. loan foreclosures; and iii. the conduct of business by residential mortgage loans servicers.

Until July 1, 2009, when the mortgage loan servicer registration provisions first became effective, the Department regulated the brokering and making of mortgage loans, but not the servicing of these mortgage loans. Servicing is vital part of the residential mortgage loan industry; it involves the collection of mortgage payments from borrowers and remittance of the same to owners of mortgage loans; to governmental agencies for taxes; and to insurance companies for insurance premiums. Mortgage servicers also act as agents for owners of mortgages in negotiations relating to loss mitigation when a mortgage becomes delinquent. As "middlemen," moreover, servicers also play an important role when a property is foreclosed upon. For example, the servicer may typically act on behalf of the owner of the loan in the foreclosure proceeding.

Further, unlike in the case of a mortgage broker or a mortgage lender, borrowers cannot "shop around" for loan servicers, and generally have no input in deciding what company services their loans. The absence of the ability to select a servicer obviously raises concerns over the character and viability of these entities given the central part of they play in the mortgage industry. There also is evidence that some servicers may have provided poor customer service. Specific examples of these activities include: pyramiding late fees; misapplying escrow payments; imposing illegal prepayment penalties; not providing timely and clear information to borrowers; erroneously force-placing insurance when borrowers already have insurance; and failing to engage in prompt and appropriate loss mitigation efforts.

More than 2,000,000 loans on residential one-to-four family properties are being serviced in New York. Of these over 9% were seriously delinquent as of the first quarter of 2012. Despite various initiatives adopted at the state level and the creation of federal programs such as Making Home Affordable to encourage loan modifications and help at risk homeowners, the number of loans modified, have not kept pace with the number of foreclosures. Foreclosures impose costs not only on borrowers and lenders but also on neighboring homeowners, cities and towns. They drive down home prices, diminish tax revenues and have adverse social consequences and costs.

As noted above, Part 418, initially adopted on an emergency basis on July 1 2009, relates to the first component of the mortgage servicing statute – the registration of mortgage loan servicers. It was intended to ensure that only those persons and entities with adequate financial support and sound character and general fitness will be permitted to register as mortgage loan servicers. It also provided for the suspension, revocation and termination of licensees involved in wrongdoing and establishes minimum financial standards for mortgage loan servicers.

Part 419 addresses the business practices of mortgage loan servicers and establishes certain consumer protections for homeowners whose residential mortgage loans are being serviced. These regulations provide standards and procedures for servicers to follow in their course of dealings with borrowers, including the handling of borrower complaints and inquiries, payment of taxes and insurance premiums, crediting of borrower payments, provision of annual statements of the borrower's account, authorized fees, late charges and handling of loan delinquencies and loss mitigation. Part 419 also identifies practices that are prohibited and imposes certain reporting and record-keeping requirements to enable the Superintendent to determine the servicer's compliance with applicable laws, its financial condition and the status of its servicing portfolio.

Since the adoption of Part 418, 67 entities have been approved for registration or have pending applications and nearly 400 entities have indicated that they are a mortgage banker, broker, bank or other organization exempt from the registration requirements.

All Exempt Organizations, mortgage bankers and mortgage brokers that perform mortgage loan servicing with respect to New York mortgages must notify the Superintendent that they do so, and are required to comply with the conduct of business and consumer protection rules applicable to mortgage loan servicers.

These regulations will improve accountability and the quality of service in the mortgage loan industry and will help promote alternatives to foreclosure in the state.

4. Costs.

The requirements of Part 419 do not impose any direct costs on mortgage loan servicers. Although mortgage loan servicers may incur some additional costs as a result of complying with Part 419, the overwhelming majority of mortgage loan servicers are banks, operating subsidiaries or affiliates of banks, large independent servicers or other financial services entities that service millions, and even billions, of dollars in loans and have the experience, resources and systems to comply with these requirements. Moreover, any additional costs are likely to be mitigated by the fact that many of the requirements of Part 419, including those relating to the handling of residential mortgage delinquencies and loss mitigation (419.11) and quarterly reporting (419.12), are consistent with or substantially similar to standards found in other federal or state laws, federal mortgage modification programs or servicers own protocols.

For example, Fannie Mae and Freddie Mac, which own or insure approximately 90% of the nation's securitized mortgage loans, have similar guidelines governing various aspects of mortgage servicing, including handling of loan delinquencies. In addition, over 100 mortgage loan servicers participate in the federal Making Home Affordable (MHA) program which requires adherence to standards for handling of loan delinquencies and loss mitigation similar to those contained in these regulations. Those servicers not participating in MHA have, for the most part, adopted programs which parallel many components of MHA.

Reporting on loan delinquencies and loss mitigation has likewise become increasingly common. The OCC publish quarterly reports on credit performance, loss mitigation efforts and foreclosures based on data provided by national banks and thrifts. And, states such as Maryland and North Carolina have adopted similar reporting requirements to those contained in section 419.12.

Many of the other requirements of Part 419 such as those related to handling of taxes, insurance and escrow payments, collection of late fees and charges, crediting of payments derive from federal or state laws and reflect best industry practices. The periodic reporting and bookkeeping and record keeping requirements are also standard among financial services businesses, including mortgage bankers and brokers (see, for example section 410 of the Superintendent's Regulations).

The ability by the Department to regulate mortgage loan servicers is expected to reduce costs associated with responding to consumers'

complaints, decrease unnecessary expenses borne by mortgagors, and should assist in decreasing the number of foreclosures in this state.

The regulations will not result in any fiscal implications to the State. The Department is funded by the regulated financial services industry. Fees charged to the industry will be adjusted periodically to cover Department expenses incurred in carrying out this regulatory responsibility.

5. Local Government Mandates.

None.

6. Paperwork.

Part 419 requires mortgage loan servicers to keep books and records related to its servicing for a period of three years and to produce quarterly reports and financial statements as well as annual and other reports requested by the Superintendent. It is anticipated that the quarterly reporting relating to mortgage loan servicing will be done electronically and would therefore be virtually paperless. The other recordkeeping and reporting requirements are consistent with standards generally required of mortgage bankers and brokers and other regulated financial services entities.

7. Duplication.

The regulation does not duplicate, overlap or conflict with any other regulations. The various federal laws that touch upon aspects of mortgage loan servicing are noted in Section 9 "Federal Standards" below.

8. Alternatives.

The Mortgage Lending Reform Law required the registration of mortgage loan servicers and empowered the Superintendent to prescribe rules and regulations to guide the business of mortgage servicing. The purpose of the regulation is to carry out this statutory mandate to register mortgage loan servicers and regulate the manner in which they conduct business. The Department circulated a proposed draft of Part 419 and received comments from and met with industry and consumer groups. The current Part 419 reflects the input received. The alternative to these regulations is to do nothing or to wait for the newly created federal bureau of consumer protection to promulgate national rules, which could take years, may not happen at all or may not address all the practices covered by the rule. Thus, neither of those alternatives would effectuate the intent of the legislature to address the current foreclosure crisis, help at-risk homeowners vis-à-vis their loan servicers and ensure that mortgage loan servicers engage in fair and appropriate servicing practices.

9. Federal Standards.

Currently, mortgage loan servicers are not required to be registered by any federal agencies, and there are no comprehensive federal rules governing mortgage loan servicing. Federal laws such as the Real Estate Settlement Procedures Act of 1974, 12 U.S.C. § 2601 et seq. and regulations adopted thereunder, 24 C.F.R. Part 3500, and the Truth-in-Lending Act, 15 U.S.C. section 1600 et seq. and Regulation Z adopted thereunder, 12 C.F.R. section 226 et seq., govern some aspects of mortgage loan servicing, and there have been some recent amendments to those laws and regulations regarding mortgage loan servicing. For example, Regulation Z, 12 C.F.R. section 226.36(c), was recently amended to address the crediting of payments, imposition of late charges and the provision of payoff statements. In addition, the recently enacted Dodd-Frank Wall Street Reform and Protection Act of 2010 (Dodd-Frank Act) establishes requirements for the handling of escrow accounts, obtaining force-placed insurance, responding to borrower requests and providing information related to the owner of the loan.

Additionally, the newly created Bureau of Consumer Financial Protection established by the Dodd-Frank Act may soon propose additional regulations for mortgage loan servicers.

10. Compliance Schedule.

Similar emergency regulations first became effective on October 1, 2010.

Regulatory Flexibility Analysis

1. Effect of the Rule:

The rule will not have any impact on local governments. The Mortgage Lending Reform Law of 2008 (Ch. 472, Laws of 2008, hereinafter, the "Mortgage Lending Reform Law") requires all mortgage loan servicers, whether registered or exempt from registration under the law, to service mortgage loans in accordance with the rules and regulations promulgated by the Banking Board or Superintendent. The functions and powers of the Banking Board have since been transferred to the Superintendent of Financial Services, pursuant to Part A of Chapter 62 of the Laws of 2011, Section 89. Of the 67 entities which have been approved for registration or have pending applications and the nearly 400 entities which have indicated that they are exempt from the registration requirements, it is estimated that very few are small businesses.

2. Compliance Requirements:

The provisions of the Mortgage Lending Reform Law relating to mortgage loan servicers has two main components: it requires the registration by the Department of servicers who are not a bank, mortgage banker, mortgage broker or other exempt organizations (the "MLS Registration

Regulations”), and it authorizes the Department to promulgate rules and regulations that are necessary and appropriate for the protection of consumers, to define improper or fraudulent business practices, or otherwise appropriate for the effective administration of the provisions of the Mortgage Lending Reform Law relating to mortgage loan servicers (the “Mortgage Loan Servicer Business Conduct Regulations”).

The provisions of the Mortgage Lending Reform Law requiring registration of mortgage loan servicers which are not mortgage bankers, mortgage brokers or exempt organizations became effective on July 1, 2009. Part 418 of the Superintendent’s Regulations, initially adopted on an emergency basis on July 1 2009, sets for the standards and procedures for applications for registration as a mortgage loan servicer, for approving and denying applications to be registered as a mortgage loan servicer, for approving changes of control, for suspending, terminating or revoking the registration of a mortgage loan servicer as well as the financial responsibility standards for mortgage loan servicers.

Part 419 implements the provisions of the Mortgage Lending Reform Law by setting the standards by which mortgage loan servicers conduct the business of mortgage loan servicing. The rule sets the standards for handling complaints, payments of taxes and insurance, crediting of borrower payments, late payments, account statements, delinquencies and loss mitigation, fees and recordkeeping.

3. Professional Services:

None.

4. Compliance Costs:

The requirements of Part 419 do not impose any direct costs on mortgage loan servicers. Although mortgage loan servicers may incur some additional costs as a result of complying with Part 419, the overwhelming majority of mortgage loan servicers are banks, operating subsidiaries or affiliates of banks, large independent servicers or other financial services entities that service millions, and even billions, of dollars in loans and have the experience, resources and systems to comply with these requirements. Moreover, any additional costs are likely to be mitigated by the fact that many of the requirements of Part 419, including those relating to the handling of residential mortgage delinquencies and loss mitigation (419.11) and quarterly reporting (419.12), are consistent with or substantially similar to standards found in other federal or state laws, federal mortgage modification programs or servicers own protocols.

For example, Fannie Mae and Freddie Mac, which own or insure approximately 90% of the nation’s securitized mortgage loans, have similar guidelines governing various aspects of mortgage servicing, including handling of loan delinquencies. In addition, over 100 mortgage loan servicers participate in the federal Making Home Affordable (MHA) program which requires adherence to standards for handling of loan delinquencies and loss mitigation similar to those contained in these regulations. Those servicers not participating in MHA have, for the most part, adopted programs which parallel many components of MHA.

Reporting on loan delinquencies and loss mitigation has likewise become increasingly common. The OCC publishes quarterly reports on credit performance, loss mitigation efforts and foreclosures based on data provided by national banks and thrifts. And, states such as Maryland and North Carolina have adopted similar reporting requirements to those contained in section 419.12.

Many of the other requirements of Part 419 such as those related to handling of taxes, insurance and escrow payments, collection of late fees and charges, crediting of payments derive from federal or state laws and reflect best industry practices. The periodic reporting and bookkeeping and record keeping requirements are also standard among financial services businesses, including mortgage bankers and brokers (see, for example section 410 of the Superintendent’s Regulations).

Compliance with the rule should improve the servicing of residential mortgage loans in New York, including the handling of mortgage delinquencies, help prevent unnecessary foreclosures and reduce consumer complaints regarding the servicing of residential mortgage loans.

5. Economic and Technological Feasibility:

For the reasons noted in Section 4 above, the rule should impose no adverse economic or technological burden on mortgage loan servicers that are small businesses.

6. Minimizing Adverse Impacts:

As noted in Section 1 above, most servicers are not small businesses. Many of the requirements contained in the rule derive from federal or state laws, existing servicer guidelines utilized by Fannie Mae and Freddie Mac and best industry practices.

Moreover, the ability by the Department to regulate mortgage loan servicers is expected to reduce costs associated with responding to consumers’ complaints, decrease unnecessary expenses borne by mortgagors, help borrowers at risk of foreclosure and decrease the number of foreclosures in this state.

7. Small Business and Local Government Participation:

The Department distributed a draft of proposed Part 419 to industry

representatives, received industry comments on the proposed rule and met with industry representatives in person. The Department likewise distributed a draft of proposed Part 419 to consumer groups, received their comments on the proposed rule and met with consumer representatives to discuss the proposed rule in person. The rule reflects the input received from both industry and consumer groups.

Rural Area Flexibility Analysis

Types and Estimated Numbers. Since the adoption of the Mortgage Lending Reform Law of 2008 (Ch. 472, Laws of 2008, hereinafter, the “Mortgage Lending Reform Law”), which required mortgage loan servicers to be registered with the Department unless exempted under the law, 67 entities have pending applications or have been approved for registration and nearly 400 entities have indicated that they are a mortgage banker, broker, bank or other organization exempt from the registration requirements. Only one of the non-exempt entities applying for registration is located in New York and operating in a rural area. Of the exempt organizations, all of which are required to comply with the conduct of business contained in Part 419, approximately 400 are located in New York, including several in rural areas. However, the overwhelming majority of exempt organizations, regardless of where located, are banks or credit unions that are already regulated and are thus familiar with complying with the types of requirements contained in this regulation.

Compliance Requirements. The provisions of the Mortgage Lending Reform Law relating to mortgage loan servicers has two main components: it requires the registration by the Department of servicers that are not a bank, mortgage banker, mortgage broker or other exempt organization (the “MLS Registration Regulations”), and it authorizes the Department to promulgate rules and regulations that are necessary and appropriate for the protection of consumers, to define improper or fraudulent business practices, or otherwise appropriate for the effective administration of the provisions of the Mortgage Lending Reform Law relating to mortgage loan servicers (the “MLS Business Conduct Regulations”).

The provisions of the Mortgage Lending Reform Law of 2008 requiring registration of mortgage loan servicers which are not mortgage bankers, mortgage brokers or exempt organizations became effective on July 1, 2009. Part 418 of the Superintendent’s Regulations, initially adopted on an emergency basis on July 1, 2010, sets forth the standards and procedures for applications for registration as a mortgage loan servicer, for approving and denying applications to be registered as a mortgage loan servicer, for approving changes of control, for suspending, terminating or revoking the registration of a mortgage loan servicer as well as the financial responsibility standards for mortgage loan servicers.

Part 419 implements the provisions of the Mortgage Lending Reform Law of 2008 by setting the standards by which mortgage loan servicers conduct the business of mortgage loan servicing. The rule sets the standards for handling complaints, payments of taxes and insurance, crediting borrower payments, late payments, account statements, delinquencies and loss mitigation and fees. This part also imposes certain recordkeeping and reporting requirements in order to enable the Superintendent to monitor services’ conduct and prohibits certain practices such as engaging in deceptive business practices.

Costs. The requirements of Part 419 do not impose any direct costs on mortgage loan servicers. The periodic reporting requirements of Part 419 are consistent with those imposed on other regulated entities. In addition, many of the other requirements of Part 419, such as those related to the handling of loan delinquencies, taxes, insurance and escrow payments, collection of late fees and charges and crediting of payments, derive from federal or state laws, current federal loan modification programs, servicing guidelines utilized by Fannie Mae and Freddie Mac or servicers’ own protocols. Although mortgage loan servicers may incur some additional costs as a result of complying with Part 419, the overwhelming majority of mortgage loan servicers are banks, credit unions, operating subsidiaries or affiliates of banks, large independent servicers or other financial services entities that service millions, and even billions, of dollars in loans and have the experience, resources and systems to comply with these requirements. Of the 67 entities that have been approved for registration or that have pending applications, only one is located in a rural area of New York State. Of the few exempt organizations located in rural areas of New York, virtually all are banks or credit unions. Moreover, compliance with the rule should improve the servicing of residential mortgage loans in New York, including the handling of mortgage delinquencies, help prevent unnecessary foreclosures and reduce consumer complaints regarding the servicing of residential mortgage loans.

Minimizing Adverse Impacts. As noted in the “Costs” section above, while mortgage loan servicers may incur some higher costs as a result of complying with the rules, the Department does not believe that the rule will impose any meaningful adverse economic impact upon private or public entities in rural areas.

In addition, it should be noted that Part 418, which establishes the application and financial requirements for mortgage loan servicers, autho-

rizizes the Superintendent to reduce or waive the otherwise applicable financial responsibility requirements in the case of mortgage loan servicers that service not more than 12 mortgage loans or more than \$5,000,000 in aggregate mortgage loans in New York and which do not collect tax or insurance payments. The Superintendent is also authorized to reduce or waive the financial responsibility requirements in other cases for good cause. The Department believes that this will ameliorate any burden on mortgage loan servicers operating in rural areas.

Rural Area Participation. The Department issued a draft of Part 419 in December 2009 and held meetings with and received comments from industry and consumer groups following the release of the draft rule. The Department also maintains continuous contact with large segments of the servicing industry though its regulation of mortgage bankers and brokers and its work in the area of foreclosure prevention. The Department likewise maintains close contact with a variety of consumer groups through its community outreach programs and foreclosure mitigation programs. The Department has utilized this knowledge base in drafting the regulation.

Job Impact Statement

Article 12-D of the Banking Law, as amended by the Mortgage Lending Reform Law (Ch. 472, Laws of 2008), requires persons and entities which engage in the business of servicing mortgage loans after July 1, 2009 to be registered with the Superintendent. Part 418 of the Superintendent's Regulations, initially adopted on an emergency basis on July 1, 2009, sets forth the application, exemption and approval procedures for registration as a mortgage loan servicer, as well as financial responsibility requirements for applicants, registrants and exempted persons.

Part 419 addresses the business practices of mortgage loan servicers in connection with their servicing of residential mortgage loans. Thus, this part addresses the obligations of mortgage loan servicers in their communications, transactions and general dealings with borrowers, including the handling of consumer complaints and inquiries, handling of escrow payments, crediting of payments, charging of fees, loss mitigation procedures and provision of payment histories and payoff statements. This part also imposes certain recordkeeping and reporting requirements in order to enable the Superintendent to monitor services' conduct and prohibits certain practices such as engaging in deceptive business practices.

Compliance with Part 419 is not expected to have a significant adverse effect on jobs or employment activities within the mortgage loan servicing industry. The vast majority of mortgage loan servicers are sophisticated financial entities that service millions, if not billions, of dollars in loans and have the experience, resources and systems to comply with the requirements of the rule. Moreover, many of the requirements of the rule reflect derive from federal or state laws and reflect existing best industry practices.

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Life Insurance and Annuity Non-Guaranteed Elements

I.D. No. DFS-48-16-00006-P

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

Proposed Action: Addition of Part 48 (Regulation 210) to Title 11 NYCRR.

Statutory authority: Financial Services Law, sections 202 and 302; Insurance Law, sections 301, 1106, 1113, 3201, 3203, 3209, 3219, 3220, 3223, 4216, 4221, 4223, 4224, 4231, 4232, 4238, 4239, 4240, 4511, 4513, 4518 and art. 24

Subject: Life Insurance and Annuity Non-Guaranteed Elements.

Purpose: To establish standards for the determination and readjustment of non-guaranteed elements for life insurance and annuities.

Substance of proposed rule (Full text is posted at the following State website: <http://www.dfs.ny.gov>): Section 48.0 sets forth the scope and purpose of the rule: to establish standards for the determination and any readjustment of certain non-guaranteed elements in life insurance policies and annuity contracts, or certificates thereunder, delivered or issued for delivery in this State, where those elements may vary at the insurer's or fraternal benefit society's discretion. The section also finds that a violation of Part 48 would constitute a trade practice constituting a determined violation, as defined in Insurance Law section 2402(c), in violation of section 2403.

Section 48.1 provides definitions applicable to the rule.

Section 48.2 sets forth standards and procedures for the determination and any readjustment of non-guaranteed elements.

Section 48.3 requires notification to policy owners of non-guaranteed elements at the time of issue and prior to any readjustment.

Section 48.4 requires insurers and fraternal benefit societies to file with the Superintendent documentation used in the determination and any readjustment of non-guaranteed elements and to maintain records documenting compliance with the rule.

Text of proposed rule and any required statements and analyses may be obtained from: William B. Carmello, New York State Department of Financial Services, One Commerce Plaza, 19th Floor, Albany, New York 12257, (518) 474-7929, email: William.Carmello@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 11 NYCRR 48 (Insurance Regulation 210) derives from Financial Services Law ("FSL") sections 202 and 302, and Insurance Law sections 301, 1106, 1113, 3201, 3203, 3209, 3219, 3220, 3223, 4216, 4221, 4223, 4224, 4231, 4232, 4238, 4239, 4240, 4510, 4511, 4513, 4518 and Article 24.

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, Banking Law, Financial Services Law, or any other law of this state, and to prescribe regulations interpreting the Insurance Law, among other things.

Insurance Law section 1106 provides that no foreign or alien insurer may be licensed to do any kind of insurance business, or combination of kinds of insurance business, that are not permitted to be done by domestic insurers under the Insurance Law.

Insurance Law section 1113 sets forth the kinds of insurance that may be authorized in this state, including life insurance and annuities.

Insurance Law article 24 prohibits unfair methods of competition and unfair or deceptive acts or practices. A violation of section 4224 is a defined violation under Article 24. The Superintendent may also find, in accordance with section 2405, that a particular practice is an unfair or deceptive method, act or practice. This rule puts regulated entities on notice that if the entity violates this Part the Superintendent will consider such activity to be an unfair or deceptive method act or practice.

Insurance Law section 3201 requires the prior approval of any life, annuity, accident and health, and credit unemployment policy form.

Insurance Law sections 3203, 3219, 3220 and 3223 set forth the required standard provisions for life insurance policies and annuity contracts.

Insurance Law section 3209 mandates disclosure requirements for the sale of life insurance, annuities and funding agreements and authorizes the Superintendent to promulgate regulations to implement the provisions of the section.

Insurance Law sections 4216 and 4238 set forth certain requirements for issuing group life insurance and group annuities. Sections 4216(c)(2) and 4238(d) establish certain requirements for group life insurance policies and group annuity contracts that provide for readjustment of the rate of premium.

Insurance Law sections 4221 and 4223 establish minimum nonforfeiture benefits for life insurance and annuities.

Insurance Law section 4224 proscribes unfair discrimination and other prohibited practices by insurers.

Insurance Law section 4231 establishes the rule for the distribution of surplus through the payment of dividends to eligible life insurance policyholders. Section 4231(g)(1)(D) establishes certain requirements for individual life insurance policies that provide for the prospective readjustment of the rate of premium. Section 4231(g)(1)(E) establishes certain requirements for any insurance policy, annuity or pure endowment contract, or funding agreement that provides for readjustment in the rate of premium, stipulated contribution, consideration, or deposit.

Insurance Law section 4232 establishes certain requirements for annuities and life insurance policies that provide for additional amounts to be credited to the contract or policy. Section 4232(a)(2) establishes certain requirements for annuities subject to Insurance Law section 4223 that credit additional amounts. Section 4232(b)(2) and (4) establish certain requirements for individual life insurance policies that credit additional amounts.

Insurance Law section 4239 authorizes the Superintendent to promulgate by regulation standards for the allocation and reporting of income and expenses of life insurers.

Insurance Law section 4240 authorizes a life insurer to issue variable products and to maintain the funds that support variable products (as well as other products) within separate accounts.

Insurance Law section 4510 sets forth the required and prohibited provisions for life insurance policies issued by fraternal benefit societies.

Insurance Law section 4511 sets forth the requirements and exceptions to which life insurance certificates and annuity contracts issued by fraternal benefit societies shall be subject.

Insurance Law section 4513 requires an annuity certificate or contract issued by a fraternal benefit society to conform to all applicable rules and regulations prescribed by the Superintendent.

Insurance Law section 4518 allows additional amounts of benefits, in addition to minimum benefits guaranteed, to be credited to individual life insurance policies issued by fraternal benefit societies.

2. Legislative objectives: Insurance Law sections 4216(c)(2), 4231(g)(1)(D), 4231(g)(1)(E), 4232(a)(2), 4232(b)(2), 4232(b)(4), 4238(d), and 4518 establish minimum requirements for the determination and readjustment of non-guaranteed elements in life insurance policies and annuity contracts, including any certificates thereunder. The Legislature enacted these provisions to help ensure that any determination or readjustment is made equitably and with full and adequate disclosure. This rule establishes necessary safeguards for the adequate protection of insureds.

3. Needs and benefits: This rule addresses a number of issues that have been highlighted by complaints received by the Department regarding the determination and readjustment of non-guaranteed elements in life insurance policies, particularly with respect to universal life, indeterminate premium term, and whole life insurance, and annuity contracts. The complaints have been filed by insureds whose policies lapsed or were about to lapse, in large part because the premiums they were paying were based on the current interest rate and charges under the policy at the time the policy was issued, and the interest rate under the policy decreased over time while the charges increased. The rule should assist consumers to better understand - at the time of purchase and upon any readjustment of non-guaranteed elements - how life insurance policies and annuity certificates and contracts with non-guaranteed elements subject to change at the discretion of the insurer or fraternal benefit society operate, and thereby reduce consumer dissatisfaction and the number of lapsed policies. The rule accomplishes this by requiring additional disclosures at the time the policy, contract, or certificate is issued and by requiring notice to be provided in advance of any change in the current scale of non-guaranteed elements, in order to give the owner enough time to address any projected insufficiency.

4. Costs: Readjustments to non-guaranteed elements, if any, are made at the discretion of the insurers and fraternal benefit societies subject to this rule, thereby making it difficult to establish a cost impact on insurers. Additional costs associated with mailing notices to consumers and submitting required documentation with the Department will occur upon readjustment to non-guaranteed elements. However, because readjustment of non-guaranteed elements typically is infrequent, the Department expects that any such costs to insurers and fraternal benefit societies will not be significant.

The statute already requires board-approved written criteria with regard to many insurance and annuity products, and insurers and fraternal benefit societies already utilize the services of qualified actuaries, so no new costs of significance should be incurred. The rule minimizes the impact of mailing costs because many notice requirements may be included in existing mailings.

The Department may incur costs under this rule, but any additional costs incurred by the Department should be minimal and the Department expects to absorb the costs in its ordinary budget.

The rule does not apply to other State agencies or local governments and accordingly there are no costs to the State or local governments.

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: Most of the required additional disclosure to consumers may be included in disclosure documents that insurers and fraternal benefit societies are already required to provide to consumers. Most of the additional documentation that the rule requires insurers and fraternal benefit societies to file with the Department may be included with their policy form filings. However, any readjustment of non-guaranteed elements will impose new paperwork requirements.

7. Duplication: The rule does not duplicate any existing State or federal laws or regulations.

8. Alternatives: When initially developing this rule in 2008, the Department conducted outreach to the insurance industry, which offered no viable alternatives and indicated that it was "unaware of any problems in the marketplace involving the determination of discretionary amounts[.]" However, in the intervening years, the largest volume of life insurance-related consumer complaints received by the Department involved changes to non-guaranteed elements, and implementation of these rules are critical to help life insurance annuity consumers. The Department considered not implementing the rule, but rejected this alternative for the reasons stated herein. However, the Department considered the comments and made adjustments to the proposal as appropriate.

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

10. Compliance schedule: The rule will become effective 120 days after publication in the State Register. Four months should be sufficient time for insurers and fraternal benefit societies to comply with the rule. Since the rule provides that the insurer or fraternal benefit society must provide 120-days' notice to consumers with respect to any changes in the non-guaranteed elements, this effectively provides insurers and fraternal benefit societies 120 days to come into compliance with such notice requirements, which the Department believes to be sufficient time.

Regulatory Flexibility Analysis

1. Small businesses: The Department of Financial Services ("Department") finds that this new part 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 this rule is directed at all insurers and fraternal benefit societies that are authorized to do life insurance business in New York State, none of which comes within the definition of "small business" as defined in section 102(8) of the State Administrative Procedure Act. The Department reviewed filed reports on examination and annual statements of such 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: This rule does not impose any reporting, recordkeeping, or other compliance requirements on any local governments because it does not apply to local governments.

Rural Area Flexibility Analysis

1. Types and estimated number of rural areas: Insurers and fraternal benefit societies affected by this rule 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: This new part requires insurers and fraternal benefit societies to file with the Department of Financial Services ("Department") documentation that standards for the determination and any readjustment of non-guaranteed elements for life insurance policies and annuity contracts are being met. It requires disclosure of the non-guaranteed elements and any readjustment to the consumer. It requires recordkeeping by the insurer of compliance with the Part and requires the use of professional services, namely, a qualified actuary, in the determination of the non-guaranteed elements.

3. Costs: Readjustments to non-guaranteed elements, if any, are made at the discretion of the insurers and fraternal benefit societies subject to this rule, thereby making it difficult to establish a cost impact on insurers. Additional costs associated with mailing notices to consumers and submitting required documentation with the Department will occur upon readjustment to non-guaranteed elements. However, because readjustment of non-guaranteed elements typically is infrequent, the Department expects that any such costs to insurers and fraternal benefit societies will not be significant.

The statute already requires board-approved written criteria with regard to many insurance and annuity products, and insurers and fraternal benefit societies already utilize the services of qualified actuaries, so no new costs of significance should be incurred. The rule minimizes the impact of mailing costs because many notice requirements may be included in existing mailings.

4. Minimizing adverse impact: The Department finds that this rule does not impose any additional burden on insurers or fraternal benefit societies located in rural areas. This rule applies uniformly to regulated parties that do business in both rural and non-rural areas of New York State. As explained under Costs immediately above, the rulemaking should not have any adverse impact on rural areas.

5. Rural area participation: When initially developing this rule in 2008, the Department conducted outreach to the insurance industry, which includes insurers and fraternal benefit societies located in rural areas. Entities in rural areas will have an opportunity to participate in the rulemaking process once the proposed rule is published in the State Register and posted on the Department's website.

Job Impact Statement

The Department of Financial Services finds that this rule should not adversely impact jobs or employment opportunities, including self-employment opportunities in New York State. This new part establishes standards for the determination and readjustment by insurers and fraternal benefit societies of non-guaranteed elements in life insurance policies and annuity contracts. Insurers and fraternal benefit societies should not need to hire additional employees or independent contractors to comply with these new standards because they already determine and readjust non-guaranteed elements.

Department of Health

NOTICE OF ADOPTION

Early Intervention Program

I.D. No. HLT-46-15-00006-A

Filing No. 1041

Filing Date: 2016-11-15

Effective Date: 2016-11-30

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

Action taken: Amendment of Subpart 69-4 of Title 10 NYCRR.

Statutory authority: Public Health Law, section 2559-B

Subject: Early Intervention Program.

Purpose: To conform existing program regulations to federal regulations and state statute.

Substance of final rule: This notice of proposed rulemaking amends 10 NYCRR Subpart 69-4, which governs the Early Intervention Program (EIP), to begin to conform to federal regulations issued by the U.S. Department of Education (34 CFR Parts 300 and 303) and to conform to recent amendments to Title II-A of Article 25 of the Public Health Law (PHL).

Section 69-4.1(b) is revised to include “initial” procedures in the definition of “assessment”; the current definition only refers to “ongoing” procedures. The term “dominant language,” as defined in § 69-4.1(j), is amended to provide that when used with respect to an individual who is limited English proficient, “dominant or native language” means the language or mode of communication normally used by the individual; or, in the case of a child, the language normally used by the child’s parent. New paragraphs (1) and (2) are added to § 69-4.1(j), to clarify that: for evaluations and assessments of the child, dominant or native language means the language normally used by the child, if determined developmentally appropriate by qualified personnel conducting the evaluation and assessment; and that when used with respect to an individual who is deaf or hard of hearing, blind or visually impaired, or for an individual with no written language, “dominant or native language” means the mode of communication normally used by the individual.

The regulation amends the definition of “early intervention services” at subdivision (l)(1)(i) of § 69-4.1, by adding new clauses (a) through (e) that establish the five developmental domains to be addressed in individualized family service plans (IFSPs).

The definitions of “assistive technology” in § 69-4.1(l)(2)(i) and “health services” in § 69-4.1(l)(2)(xviii)(c)(5) are amended to exclude devices that are surgically implanted. Section 69-4.1(l)(2)(xviii)(c)(5)(i) and (ii) are added to clarify that: the exclusion of surgically implanted devices from the definition of assistive technology devices does not limit the child’s right to receive early intervention services that are identified in the child’s IFSP; and that the exclusion does not prohibit a provider from routinely checking that a hearing aid or external components of a surgically implanted device of a child with a disability are functioning properly.

A definition for “sign language and cued language services” is added at § 69-4.1(l)(2)(xiii). The definition of IFSP in § 69-4.1(w)(1)-(3) is amended to include the early intervention official in the team developing the IFSP, to add a reference to § 69-4.8 which sets forth procedures for evaluation and assessment, and to indicate that the IFSP must include matters specified in § 69-4.11 related to IFSP procedures and requirements. A new paragraph (4) is added to incorporate the timeliness requirement from federal regulations for implementation of the IFSP.

Subdivision (ao) of § 69-4.1 is amended to clarify the term “personally identifiable information” means the same as the term as defined in the federal Family Educational Rights and Privacy Act (FERPA), except that the term “student” and “school” as used in FERPA means “child” and “early intervention service providers,” respectively.

Section 69-4.2, regarding the Early Intervention/Public Health Official’s role in the Child Find System, is modified to add a new subdivision (b) to clarify that the Early Intervention Official (EIO) is not required to provide a multidisciplinary evaluation and assessment, or convene an IFSP meeting, for a child referred to the Early Intervention Program fewer than 45 days before his or her third birthday. Under these circumstances, the EIO must refer the child directly to the Committee on Preschool Special Education (CPSE) of the local school district in which the child resides. Section 69-4.3(a) is amended to add new primary referral sources included in federal regulation (including public agencies and staff in the child welfare

system, domestic violence shelters and agencies, and homeless family shelters).

Service coordination responsibilities are amended in § 69-4.6(b) and (c) to conform to federal regulations. Section 69-4.6(b)(1) is amended to clarify that the responsibility to assist families in accessing services includes referring families to providers for needed services identified in the IFSP and making appointments for early intervention and other services. Section 69-4.6(b)(3) is amended to clarify that service coordinators are responsible for coordinating services provided to the family, and to add educational and social services as examples of the types of services requiring coordination. Section 69-4.6(b)(4) is amended to establish that written parental consent for services initiates the timeline within which services must be delivered. Section 69-4.6(c)(3) and (c)(4) are amended to clarify that service coordinators are responsible for referral and other activities to assist families in identifying available service providers, and for coordinating, facilitating, and monitoring early intervention services to ensure services are delivered timely.

New paragraphs (5), (6), and (9) are added to § 69-4.6(c), to require service coordinators to conduct follow-up activities to ensure services are provided, inform families of their rights and procedural safeguards, and coordinate the funding sources for services.

Multiple revisions are made to § 69-4.11, regarding IFSPs. More specifically, subparagraphs (i) and (ii) are added to § 69-4.11(a)(1) to identify the exceptional family circumstances under which the 45-day timeline from referral to initial IFSP meeting does not apply, including unavailability of the child or family or lack of parental consent to conduct the initial evaluation and assessment after documented repeated attempts. Clarification is provided in § 69-4.11(a)(7) and (9), consistent with federal requirements, that all members of the IFSP team, which includes the EIO, the parent, and other members specified in regulation, must agree on the IFSP for the plan to be deemed final.

Consistent with federal regulation, § 69-4.11(a)(10)(iv) is amended to require that the IFSP includes pre-literacy, language, and numeracy skills, as developmentally appropriate for the child. Section 69-4.11(a)(10)(viii) is amended to require the IFSP to include, to the extent appropriate, a statement of other services, including medical services, that the child and family needs or is receiving through other sources but are not required or funded by the early intervention program, and a description of the steps the service coordinator or family may take to assist the child and family in securing those other services. To comply with federal regulation and PHL § 2545(10), § 69-4.11(a)(10)(x) is amended to indicate that the projected dates for initiation of services must be as soon as possible, but no later than 30 days after the parent provides written consent for the services. The language further provides that if the parent and other members of the IFSP team determine that IFSP services must be initiated more than 30 days after the written parental consent is obtained, the services must be delivered no later than 30 days after the projected date of initiation of those services in the IFSP.

Section 69-4.11(a)(10)(xiii)(a), which governs transition activities is amended. Section 69-4.11(a)(10)(xiii) is amended to conform with federal regulations by specifying that the transition plan is a component of the IFSP and must include the services needed to facilitate the child’s transition to other services. Section 69-4.11(a)(10)(xiii)(a)(1) and (2) are revised to reflect amendments to PHL § 2548 that place upon the service coordinator the responsibility to notify CPSE of a child’s potential eligibility for services under Education Law § 4410, unless the parent objects; and to refer the child to CPSE, with parental consent. Section 69-4.11(a)(10)(xiii)(a)(4) is revised to reflect amendments to PHL § 2548 which require the service coordinator to convene a transition conference, with parental consent, to discuss services and program options and to establish a transition plan.

Regulations governing the systems complaint process at § 69-4.17 are amended to conform to federal regulations with respect to the filing of complaints. Section 69-4.17(i)(1)(i) clarifies that complaints must be submitted in writing. Section 69-4.17(i)(1)(ii) adds a new limitation of one year in which to file a complaint. Section 69-4.17(i)(1)(iii) requires a complainant to forward a copy of the complaint to the early intervention official, to any providers who are the subject of the complaint, and to the child’s service coordinator, at the same time that the complaint is submitted to the Department. New subparagraph (iv) is added to § 69-4.17(i)(1) to delineate new required contents of a complaint, including: a statement of the alleged violation of a requirement of federal Part C regulations of the Individuals with Disabilities Education Act or the Public Health Law or regulations that govern the Early Intervention Program; the factors on which the complaint is based; and the signature and contact information of the complainant.

Section 69-4.17(i)(1)(v) is added to require that a complaint alleging a violation with respect to a specific child must include the name, date of birth and address of the child; the name of the provider, service coordinator and municipality serving the child; a description of the nature and facts

surrounding the complaint; and a proposed resolution to the extent known at the time the complaint is filed. Section 69-4.17(i)(2) is amended to replace the term "allegation" with "complaint" for consistency.

Amendments to § 69-4.17(i)(3) are to help ensure complainants are informed of the opportunity to submit additional information regarding the complaint; the option to engage in mediation; the right of the complainant to receive a written decision; and the opportunity for the subject of the complaint to respond to the complaint. Federal regulations, at 34 CFR 303.434(b)(3), require the complaint to include the signature and contact information for the complainant; for conformance, language regarding confidentiality for the complainant is removed from § 69-4.17(i)(3)(iii).

New § 69-4.17(i)(4) is added to permit extension of the complaint investigation timeline under certain conditions. Renumbered § 69-4.17(i)(5)(i) affords the subject of a complaint the opportunity to respond to the complaint. Section 69-4.17(i)(5)(ii) allows the Department to conduct an on-site investigation of the complaint, if necessary. Section 69-4.17(i) is also amended to remove the requirement to provide justification if the Department does not complete an on-site component of the complaint investigation. Section 69-4.17(i)(6) is amended to specify that the corrective action that the Department may require in response to an investigation of a complaint may include technical assistance or other actions described by the Department. New § 69-4.17(i)(7)-(9) specify procedures when a written complaint received is also the subject of an impartial hearing. New § 69-4.17(i)(10) clarifies that all parties, including parents, may request assistance from the Department in resolving concerns or problems related to the delivery of early intervention services, provided that the party is notified of the availability of complaint procedures upon receipt of the request by the Department.

Section 69-4.20, which sets forth procedures for the transition of children from the Early Intervention Program to other early childhood services, is amended to conform to amendments to PHL § 2548 by transferring the responsibility for transition of a child from the EIP to preschool special education programs and services from the EIO to the child's service coordinator. Section 69-4.20 is also amended to conform with federal regulations. Specifically, section 69-4.20(a) is amended to clarify that a transition plan is developed as part of the IFSP for every child exiting the EIP. Section 69-4.20(a)(1) specifies the timeframes for convening a transition conference for a child potentially eligible for preschool services under Education Law § 4410. Section 69-4.20(a)(2) adds a new requirement that reasonable efforts be made to convene a transition conference for a child not potentially eligible for preschool services to discuss other appropriate services the child may receive. Section 69-4.20(a)(3) clarifies that all meetings to develop the transition plan must meet the requirements for IFSP meetings in § 69-4.11(a)(2)-(5). Section 69-4.20(a)(4) requires the IFSP be developed with the child's family and specifies the required contents of the transition plan.

New § 69-4.20(b)(1)(iv) is added to require the service coordinator to confirm the transmission of the notification of a child's potential eligibility for services under Education Law § 4410. Section 69-4.20(b)(4) is amended to clarify timelines for the transition conference for a child potentially eligible for services under Education Law § 4410.

Section 69-4.30(c)(3), on reimbursement for early intervention services, is amended to authorize a service coordination rate methodology on a per month, per week, and/or service component basis with prior written notice to Early Intervention Officials.

Final rule as compared with last published rule: Nonsubstantive changes were made in sections 69-4.11(a)(10)(viii), (x) and 69-4.17(i)(1)(iv)(a).

Text of rule and any required statements and analyses may be obtained from: Katherine Ceroalo, DOH, Bureau of House Counsel, Reg. Affairs Unit, Room 2438, ESP Tower Building, Albany, NY 12237, (518) 473-7488, email: regsqna@health.ny.gov

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

Changes made to the last published rule do not necessitate revision to the previously published Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement.

Assessment of Public Comment

Comment: One commenter recommended further changes be made to the regulations as necessary to comply with federal regulations issued September 28, 2011.

Response: The Department will take this recommendation under advisement in a future regulatory amendment.

Comment: One commenter requested the definition of dominant language eliminate the term "dominant" and specify how native language applies to evaluation of children who are acquiring more than one language.

Response: The proposed amended definition is consistent with federal regulation. Current provisions in 10 NYCRR § 69-4.8(a)(14) addresses non-discriminatory evaluation and assessment procedures.

Comment: One commenter proposed amending the definitions for assistive technology and health services to add "or of an external component of the surgically implanted device", consistent with federal rules pertaining to Part B of the Individuals with Disabilities Education Act (IDEA).

Response: The current definitions are consistent with Part C of IDEA, with operates differently from Part B.

Comment: One commenter disagreed with including "cued language" in the definition of early intervention services.

Response: The addition of "cued language" complies with federal regulations.

Comment: One commenter recommended the Department provide procedural guidance to municipalities and Early Intervention Program (EIP) providers when a child has been referred to EIP fewer than 45 days before his or her third birthday.

Response: The Department will issue procedural guidance to municipalities and EIP providers.

Comment: One commenter noted that the proposed rules do not address when a child is referred to EIP 45 to 90 days before the child's third birthday.

Response: Department guidance provides that if a child is referred to EIP but is also age-eligible for services under Education Law § 4410, and the child has a disability or developmental delay that may impact the child's education, the early intervention official (EIO) may recommend to the parent that the parent refer the child directly to the Committee on Preschool Special Education (CPSE). The initial service coordinator must also explain to the parent that to ensure that the child continues to receive services when the child turns three, either through EIP or preschool special education programs and services, the child must also be referred to CPSE and be determined eligible for services under Education Law § 4410 by the child's third birthday.

Comment: One commenter suggested that the complete list of referral sources included in 34 Codes of Federal Regulation (CFR) § 303.303, as well as McKinney Vento liaisons be included in 10 NYCRR Subpart 69-4.

Response: Nothing in regulation or statute prevents unnamed referral sources from referring a child to EIP.

Comment: One commenter requested clarification regarding whether service coordinators are required to schedule appointments for families for EIP services and with other service providers. Several commenters were concerned the proposed rule adds new responsibilities to service coordinators by requiring service coordinators to coordinate provisions of early intervention services and other services, including educational and social, being received by the family.

Response: The proposed rule conforms to revisions to a federal regulation, at 34 CFR § 303.34(b)(1).

Comment: One commenter recommended adding "but no later than 30 days" after "as soon as possible" in 10 NYCRR § 69-4.6(b)(4) to ensure consistency with the proposed language in 10 NYCRR § 69-4.11(a). The commenter also recommended "at the frequency and intensity authorized by the Individualized Family Service Plan" be added to this provision.

Response: Consistent with the new language, service coordinators are required to implement the individualized family service plan (IFSP) not later than 30 days, as agreed upon by the team and consented to by the parent, including frequency and intensity. Service coordinators should be aware of procedures set forth in regulations regarding timeframes for timely delivery of services.

Comment: One commenter requested clarification regarding the responsibility of service coordinators to determine appropriate early intervention services are being provided and in a timely manner.

Response: The Department made this clarification to the proposed amendment.

Comment: One commenter requested clarification regarding proposed responsibility to coordinate funding sources for services. One commenter recommended amendments to 10 NYCRR § 69-4.6(c)(9) to include "such as Medicaid enrollment, collection of insurance information, and entry of Medicaid and insurance information into the New York Early Intervention System."

Response: There is no expectation service coordinators must interface with third party payers beyond current EIP regulatory requirements. Current regulation, at 10 NYCRR § 69-4.6(d), requires initial service coordinators to obtain, and parents to supply, any information and documentation to establish and periodically update an eligible child's third party payer information.

Comment: One commenter expressed concern the proposed revisions maintain a separate notification and referral process for children potentially eligible for services under Education Law § 4410.

Response: Federal regulation 34 CFR § 303.209(b)(i) requires the Department to notify the state and local education agencies of the potential transition of children. The New York State Education Department (SED) requires a separate referral, which is permitted under federal law.

Comment: One commenter expressed concern the proposed revisions

do not address the federal requirement for State-level notification by the Department to SED.

Response: The comment is outside the scope of the proposed rule.

Comment: One commenter recommended restructuring 10 NYCRR § 69-4.11(a)(1)(i)-(iii).

Response: The Department has made the requested amendments.

Comment: One commenter recommended the Department consider that the federal regulations may not have contemplated the municipality involvement as the EIO and payer when requiring agreement on the IFSP. A recommendation was made to provide guidance to EIOs on their role with the IFSP process in developing consensus and fostering agreement.

Response: The Department will take these recommendations under advisement.

Comment: One commenter found the new language allowing for an additional 30 days for initiation of services for those services that may take more than 30 days to initiate to be confusing and unnecessary.

Response: The Department views the proposed regulation as necessary since, as there are a variety of circumstances when an IFSP team may decide a service appropriately be initiated later than 30 days from the parent's consent to the IFSP.

Comment: One commenter stated the proposed regulations on complaint procedures are more burdensome to parents than what is required by federal regulations. One commenter noted the requirement that a complaint include a statement that there has been a violation to Part C of IDEA does not mirror federal regulation, expressing concern that requiring a statement on violation of State law and regulation would be difficult for parents to understand.

Response: The Department finds the proposed rule to be consistent with federal requirements under 34 CFR § 303.434(b)(1).

Comment: One commenter requested that the Department offer assistance to families who wish to utilize the systems complaint process. The commenter also proposed requiring collection of data on informal complaints and report the data to the public.

Response: The Department agrees there will be a need to produce materials and information and to provide support to families and others in the systems complaint process. The Department will examine the feasibility of collection of data on informal complaints.

Comment: Commenters expressed concern that revising the notification timeline, from 120 days to "not fewer than 90 days prior to the child's potential eligibility for services under the Education Law, section 4410" will negatively impact timely completion of the child's transition. One commenter expressed concern regarding conflicting timelines for convening of the transition conference contained within proposed regulations.

Response: The proposed regulations align with federal requirements under 34 CFR § 303.209(b) and are consistent with the current timelines required for a child's transition from EIP to services under Education Law § 4410. Additionally, there is nothing to prohibit earlier notification, but no sooner than nine months prior to the child's third birthday, to CPSE.

Comment: One commenter suggested the Department withdraw proposed regulations on transition.

Response: The proposed regulations are required to comply with federal regulations for Part C.

Comment: One commenter recommended the State notify CPSE of the potential transition of children to services under Education Law § 4410 by directly supplying lists of potentially eligible children.

Response: Due to the high volume of children exiting EIP each year statewide, it would not be feasible to create timely and complete lists, and securely transmit such lists from the Department to many different CPSEs.

Comment: One commenter noted current and proposed regulations that allow parents to orally object to notification to CPSE of a child's potential eligibility for services under Education Law § 4410 is not consistent with federal requirements.

Response: Consistent with federal regulations, a parent's oral objection, when documented, is equivalent to objecting in writing.

Comment: One commenter noted the proposed regulations do not include federal requirements that provide an option for parents to extend EIP services beyond a child's third birthday.

Response: The federal requirements referenced apply only to those states that participate in the Birth to Six option. New York has not elected to participate in this option.

Comment: One commenter noted the responsibility has shifted from the EIO to the service coordinator to explain that if the parent declines a transition conference, the parent may refer the child to CPSE for determination of eligibility. The commenter noted that a parent who declines a transition conference may not object to notification or referral of the child by the EIO to the CPSE for preschool special education evaluations.

Response: Under Part C of IDEA, the Department is required to notify the state education agency and ensure local education agencies are notified of potential transitions. SED requires a separate referral, which is permitted under federal law.

Comment: One commenter expressed concern that CPSE's required participation in transition conferences will result in a compliance problem.

Response: Under 34 CFR §§ 303.209(c)(1) and 300.124(c), CPSE is required to be invited to, and to attend, the transition conference.

Comment: One commenter recommended explicitly requiring documentation of transition activities in service coordination notes and the New York Early Intervention System (NYEIS).

Response: Current regulation, at 10 NYCRR § 69-4.26, requires documentation in NYEIS. The Department will issue further guidance on documentation in service coordination notes and in NYEIS.

Comment: One commenter stated the service coordinator should attend the transition conference.

Response: The proposed rule requires all meetings to develop the transition plan must meet the requirements in 10 NYCRR § 69-4.11(a)(2)-(5), which requires the service coordinator to participate in the meeting.

Comment: One commenter asked whether EIOs, therapists, and other team members must be present in all meetings to discuss the transition plan.

Response: The Department has clarified that required attendees at IFSP meetings must only attend meetings to develop the transition plan.

Comment: One commenter asked how a fixed payment for service coordination services would work.

Response: The fixed rates will be based on the child and family's participation from referral to initial IFSP and on monthly rates for ongoing service coordination.

Comment: One commenter stated parents are concerned that a capitated service coordination rate may provide an incentive for providers to deliver the least intensive and less expensive care possible.

Response: The Department will monitor the impact of this rate change on timeliness of IFSP and IFSP services and other factors.

Comment: Commenters recommended the Department consider a number of factors and align fees with new responsibilities in setting new service coordination rates, including: intensity of child and family needs, caseloads, task-based activities, agency administrative costs, service coordinator administrative responsibilities, travel time and costs, establishment of a mechanism to assess the adequacy of rates, and supervision. A cap on caseloads was recommended and provider involvement in the development of a plan for transitioning to a fixed payment system was requested.

Response: In establishing new service coordination rates, the Department will take factors into consideration to ensure adequate funding for these services and will monitor implementation. The proposed regulation requires notice to EIOs of the new rate methodology and will only apply to initial IFSPs and IFSP amendments on or after the date of such notice. The advice and assistance of the Early Intervention Coordinating Council will be sought in planning for implementation of new service coordination rates.

Comment: One commenter requested the Department publish service coordination rates in a proposed regulation amendment and another commenter requested the opportunity to review the methodology used by the Department.

Response: The Department has authority under Public Health Law § 2550 and 10 NYCRR § 69-4.30 to establish rates for EIP subject to the approval of the Division of Budget.

Comment: One commenter requested clarification to 10 NYCRR § 69-4.30(c)(3).

Response: The proposed provision allows the Commissioner to use a rate methodology, subject to the approval of the Director of the Budget, for providing service coordination services. The Commissioner must also provide prior written notice to EIOs on the rate methodology.

NOTICE OF ADOPTION

Medical Use of Marijuana

I.D. No. HLT-37-16-00023-A

Filing No. 1042

Filing Date: 2016-11-15

Effective Date: 2016-11-30

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

Action taken: Amendment of section 1004.1(a)(2) of Title 10 NYCRR.

Statutory authority: Public Health Law, art. 33, title V-A, section 3369-a

Subject: Medical Use of Marijuana.

Purpose: To authorize nurse practitioners to register with DOH in order to issue certifications to patients with qualifying conditions.

Text or summary was published in the September 14, 2016 issue of the Register, I.D. No. HLT-37-16-00023-P.

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

Text of rule and any required statements and analyses may be obtained from: Katherine Ceroalo, DOH, Bureau of House Counsel, Reg. Affairs Unit, Room 2438, ESP Tower Building, Albany, NY 12237, (518) 473-7488, email: regsqna@health.ny.gov

Assessment of Public Comment

The New York State Department of Health ("Department") received comments from various stakeholders, including but not limited to professional associations, practitioners, legislators and the general public, in response to the proposed amendment to 10 NYCRR § 1004.1 that would allow nurse practitioners ("NPs") to register with the Department to issue patient certifications for medical marijuana. The comments are summarized below with the Department's responses. Overall, the majority of comments received were in support of the proposed amendment, with many commenters recommending the inclusion of physician assistants in addition to NPs. The Department reviewed and assessed each comment and determined that no revisions were necessary. However, the Department intends to proceed with a separate Notice of Proposed Rulemaking to allow physician assistants to register with the Department to issue patient certifications for medical marijuana.

COMMENT: One commenter recommended that NPs be allowed to certify medical marijuana only in suburban and rural areas of upstate New York. The commenter further stated that NPs should be prohibited from issuing patient certifications for medical marijuana in Long Island and New York City, where the majority of the registered physicians practice, and stated that a 50-mile restrictive covenant should be placed on NPs outside of all major cities within New York State. The commenter stated that an NP should be required to have a collaborative agreement with a registered physician.

RESPONSE: Although there are registered practitioners located in New York City and Long Island, data published in the Department's Two-Year Report on the Medical Use of Marijuana demonstrates that there remains a need for additional practitioners who can issue patient certifications for medical marijuana. Pursuant to the New York State Education Law, an NP must have a collaborative agreement or relationship with a physician (depending on the circumstances). Within the scope of such arrangements, however, NPs are independently responsible for the care of their patients and do not require physician supervision or co-signature on their records or charts. No changes to the proposed regulation were made as a result of these comments.

COMMENT: Several comments were received in support of adding physician assistants (PAs) as practitioners who may issue patient certifications for medical marijuana.

- Several commenters stated that PAs should be included as a means of increasing patient access and that failing to include PAs will disadvantage patients receiving medical care from PAs who would otherwise qualify for medical marijuana.

- Several commenters stated that it is within the scope of practice of PAs to issue patient certifications for medical marijuana, and that this would be consistent with the ability of PAs to prescribe controlled substances.

- One commenter stated that the reasons for allowing NPs to issue patient certifications also apply to PAs, and that the Department would be acting in an anticompetitive manner if it were to adopt this amendment without also including PAs. The commenter stated that PAs receive a broad, graduate-level education over approximately 27 months, which consists of a didactic and a clinical phase. The commenter stated that by the time PA students complete their clinical rotations they have completed at least 2000 hours of supervised clinical practice in various settings. The commenter argued that this fully qualifies and equips PAs to diagnose, manage, and treat patients who present with conditions ranging from routine to complex. The commenter stated that it is vital to authorize PAs to certify patients for medical marijuana in order to ensure access for those patients throughout the State who receive their care from PAs, and to enable those patients to receive medical marijuana as part of their treatment without having to leave their practitioner.

RESPONSE: The Department will take these comments into consideration and intends to publish a Notice of Proposed Rulemaking that would enable PAs to issue patient certifications for medical marijuana. No changes to the proposed regulation were made as a result of these comments.

COMMENT: Several comments were received in support of adding NPs as practitioners.

- One commenter observed that NPs possess the skill, education and experience to diagnose patients as suffering from a "serious condition" and to determine whether a patient would benefit from medical marijuana.

- Several commenters observed that several other states already allow NPs to recommend medical marijuana.

- Several commenters observed that the addition of NPs will increase patient access to practitioners who can issue certifications.

- One commenter stated that the law already allows NPs to prescribe beneficial medications that can have risks if improperly used. The commenter also stated that New York passed the Nurse Practitioners Modernization Act in 2014 which allowed NPs to open their own practices, thereby demonstrating a degree of trust in NPs.

- One commenter expressed support for allowing NPs to issue certifications because, according to the commenter, it is increasingly difficult to secure an appointment with a pain management specialist. The commenter further stated that, because NPs can already prescribe pain medications, they should also have the ability to recommend medical marijuana.

- One commenter expressed support for allowing NPs to issue certifications because it would redress what, in the commenter's view, is inappropriate and unjustified discrimination against NPs in the current regulations.

- One commenter expressed support for allowing NPs to issue certifications because this will benefit patients in rural counties where fewer physicians are available.

- One commenter expressed support for allowing NPs to issue certifications and, in particular, the requirements that NPs must be in good standing and practicing within New York State, and that NPs must take a medical marijuana course approved by the Department. The commenter stated that the proposed regulation would increase access for patients living in rural areas and suffering from severe, debilitating, and life-threatening conditions, thereby reducing the disparity in availability throughout the state. The commenter further stated that the amendment would stimulate a greater number of eligible patients to participate in the medical marijuana program, while also enlarging the number of qualified health care providers able to issue certifications. The commenter stated that the proposed amendment would increase the amount of excise taxes and fees collected by the State, thereby benefitting those areas where medical marijuana is manufactured and dispensed, and it would increase jobs and employment opportunities in New York.

RESPONSE: The Department acknowledges the comments in support of the regulatory amendment.

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Medical Use of Marijuana - Physician Assistants

I.D. No. HLT-48-16-00008-P

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

Proposed Action: Amendment of sections 94.2(e)(6) and 1004.1(a)(2) of Title 10 NYCRR.

Statutory authority: Public Health Law, sections 3701 and 3369-a

Subject: Medical Use of Marijuana - Physician Assistants.

Purpose: To authorize physician assistants to register with DOH in order to issue certifications to patients with qualifying conditions.

Text of proposed rule: Pursuant to the authority vested in the Commissioner of Health by Section 3701 of the Public Health Law (PHL), Section 94.2 of Title 10 of the Official Compilation of Codes, Rules and Regulations of the State of New York is hereby amended, and in accordance with section 3369-a of the PHL, subdivision 1004.1(a)(2) of Title 10 is amended, to be effective upon publication of a Notice of Adoption in the New York State Register, to read as follows:

§ 94.2 Supervision and scope of duties.

(e) Prescriptions, *certifications* and medical orders may be issued by a licensed physician assistant as provided in this subdivision when assigned by the supervising physician:

* * *

(6) A licensed physician assistant, in good faith and acting within his or her lawful scope of practice, and to the extent assigned by his or her supervising physician, may register as a practitioner under Part 1004 of this Title to issue patient certifications for medical marijuana, to those patients under the care of such supervising physician.

* * *

§ 1004.1 Practitioner registration.

(a) No practitioner shall be authorized to issue a patient certification as set forth in section 1004.2 unless the practitioner:

* * *

(2) is licensed, in good standing as a physician and practicing medicine, as defined in article 131 of the Education Law, in New York State, or is certified, in good standing as a nurse practitioner and practicing, as defined in article 139 of the Education Law, in New York State, or is licensed, in good standing as a physician assistant and practicing in

New York State, as defined in article 131-B of the Education Law, under the supervision of a physician registered under this Part;

Text of proposed rule and any required statements and analyses may be obtained from: Katherine Ceroalo, DOH, Bureau of House Counsel, Reg. Affairs Unit, Room 2438, ESP Tower Building, Albany, NY 12237, (518) 473-7488, email: regsqna@health.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.

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

Regulatory Impact Statement

Statutory Authority:

The Commissioner of Health is authorized pursuant to section 3369-a of the Public Health Law (PHL) to promulgate rules and regulations necessary to effectuate the provisions of Title V-A of article 33 of the PHL. The Commissioner of Health is also authorized pursuant to section 3701 of the PHL to promulgate regulations defining and restricting the duties which may be assigned to physician assistants by their supervising physician, the degree of supervision required and the manner in which such duties may be performed.

Legislative Objectives:

The legislative objective of Title V-A is to comprehensively regulate the manufacture, sale and use of medical marihuana, by striking a balance between potentially relieving the pain and suffering of those individuals with serious medical conditions, as defined in section 3360(7) of the Public Health Law, and protecting the public against risks to its health and safety.

Needs and Benefits:

The regulatory amendments are necessary to allow physician assistants the ability to register with the Department to issue certifications for medical marihuana to patients under the care of such physician responsible for the physician assistant's supervision. Allowing physician assistants to certify patients to use medical marihuana will increase access to medical marihuana, benefiting patients suffering from one or more of the severe, debilitating or life threatening conditions enumerated in section 3360(7) of the Public Health Law. This regulatory amendment will particularly benefit those patients in rural counties where there are fewer physicians available to certify patients for medical marihuana.

Costs:

Costs to the Regulated Entity:

Physician assistants who are interested in registering with the Department and whose supervising physician is already registered with the Department to certify patients to use medical marihuana, will need to take a Department-approved medical use of marihuana course. Currently, the cost to take the required course is \$249.

Costs to Local Government:

This amendment to the regulation does not require local governments to perform any additional tasks; therefore, it is not anticipated to have an adverse fiscal impact.

Costs to the Department of Health:

With the authorization of physician assistants, additional practitioner registrations will need to be processed by the Department. In addition, the Department anticipates an increase in the number of patients certified to use medical marihuana. Depending upon the number of physician assistants who are interested in registering with the Department, this regulatory amendment may result in an increased cost to the Department for additional staffing to provide registration and certification support. However, any resulting cost of additional staffing is greatly outweighed by the benefit to public health in offering increased access to an alternative treatment option for patients suffering from one of the qualifying serious conditions.

Local Government Mandates:

This amendment does not impose any new programs, services, duties or responsibilities on local government.

Paperwork:

Physician assistants who certify patients to use medical marihuana will be required to maintain a copy of the patient's certification in the patient's medical record.

Duplication:

No relevant rules or legal requirements of the Federal and State governments duplicate, overlap or conflict with this rule.

Alternatives:

The alternative would be to continue to limit the definition of "registered practitioner" solely to physicians and nurse practitioners.

Federal Standards:

Federal requirements do not include provisions for a medical marihuana program.

Compliance Schedule:

There is no compliance schedule imposed by these amendments, which shall be effective upon publication of a Notice of Adoption in the New York State Register.

Regulatory Flexibility Analysis

No regulatory flexibility analysis is required pursuant to section 202-b(3)(a) of the State Administrative Procedure Act. The proposed amendment does not impose an adverse economic impact on small businesses or local governments, and it does not impose reporting, record keeping or other compliance requirements on small businesses or local governments.

Cure Period:

Chapter 524 of the Laws of 2011 requires agencies to include a "cure period" or other opportunity for ameliorative action to prevent the imposition of penalties on the party or parties subject to enforcement under the proposed regulation. The regulatory amendment authorizing physician assistants is not a mandate imposed upon physician assistants. Hence, no cure period is necessary.

Rural Area Flexibility Analysis

A Rural Area Flexibility Analysis for these amendments is not being submitted because amendments will not impose any adverse impact or significant reporting, record keeping or other compliance requirements on public or private entities in rural areas. There are no other compliance costs imposed on public or private entities in rural areas as a result of the amendments.

Job Impact Statement

No job impact statement is required pursuant to section 201-a(2)(a) of the State Administrative Procedure Act. It is apparent, from the nature of the proposed amendment, that it will not have an adverse impact on jobs and employment opportunities.

Public Service Commission

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Extension of the Air Conditioning Incentive Programs Application Date

I.D. No. PSC-48-16-00004-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 by Consolidated Edison Company of New York, Inc. to revise its steam tariff, P.S.C. No. 4, to extend the application deadline for its air conditioning incentive programs under Service Classification Nos. 2 and 3.

Statutory authority: Public Service Law, sections 65 and 66

Subject: Extension of the air conditioning incentive programs application date.

Purpose: To consider extending the application date for its air conditioning incentive programs.

Substance of proposed rule: The Public Service Commission is considering a petition filed by Consolidated Edison Company of New York, Inc. (Con Edison) to revise its steam tariff schedule, P.S.C. No. 4. Con Edison proposes to continue to accept applications for its air conditioning incentive programs under Service Classifications (SC) No. 2 – Annual Power Service and No. 3 – Apartment House Service, which are set to expire on December 31, 2016. Con Edison proposes to extend the incentive programs' application date until one day before commencement of a new steam rate plan. Con Edison also proposes several steam tariff changes of a housekeeping nature, including changes to the Table of Contents, website address and telephone number of Part 3 of the Service Application, and the Department of Public Service staff contact information in the Eligibility Section of SC No. 5. The proposed amendments have an effective date of February 19, 2017. The Commission may adopt, reject, or modify, in whole or in part, the relief proposed and may resolve 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: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@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.

(16-S-0639SP1)

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

Clarification of an Order Approving Tariff Amendments with Modifications, Issued October 14, 2016 in Cases 15-E-0745, et al

I.D. No. PSC-48-16-00005-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 The Citizens for Local Power and the Mid-Hudson Streetlight Consortium's petition for clarification of its Order Approving Tariff Amendments with Modifications, issued October 14, 2016 in Cases 15-E-0745, et al.

Statutory authority: Public Service Law, section 70-a

Subject: Clarification of an Order Approving Tariff Amendments with Modifications, issued October 14, 2016 in Cases 15-E-0745, et al.

Purpose: To consider the petition for clarification filed in Cases 15-E-0745, et al.

Substance of proposed rule: The Public Service Commission is considering a petition, filed by The Citizens for Local Power and the Mid-Hudson Streetlight Consortium, on October 31, 2016, for clarification of the Commission's Order Approving Tariff Amendments with Modifications, issued October 14, 2016, in Cases 15-E-0745, 15-E-0746, 15-E-0747, 15-E-0748, and 15-E-0749. The Citizens for Local Power and the Mid-Hudson Streetlight Consortium asks for clarification that the Commission's determination that companies not be allowed to collect for field audit surveys, also applies to Orange and Rockland Utilities, Inc. and Central Hudson Gas and Electric Corporation. The Commission may adopt, reject or modify, in whole or in part, the relief proposed and may resolve 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: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@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-0745SP2)

Department of Taxation and Finance

NOTICE OF ADOPTION

Fuel Use Tax on Motor Fuel and Diesel Motor Fuel and the Art. 13-A Carrier Tax Jointly Administered Therewith

I.D. No. TAF-34-16-00023-A

Filing No. 1037

Filing Date: 2016-11-10

Effective Date: 2016-11-10

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

Action taken: Amendment of section 492.1(b)(1) of Title 20 NYCRR.

Statutory authority: Tax Law, sections 171, subd. First, 301-h(c), 509(7), 523(b) and 528(a)

Subject: Fuel use tax on motor fuel and diesel motor fuel and the art. 13-A carrier tax jointly administered therewith.

Purpose: To set the sales tax component and the composite rate per gallon for the period October 1, 2016 through December 31, 2016.

Text or summary was published in the August 24, 2016 issue of the Register, I.D. No. TAF-34-16-00023-P.

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

Text of rule and any required statements and analyses may be obtained from: Kathleen D. O'Connell, Tax Regulations Specialist, Department of Taxation and Finance, Office of Counsel, Building 9, W.A. Harriman Campus, Albany, NY 12227, (518) 530-4153, email: tax.regulations@tax.ny.gov

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.

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

Fuel Use Tax on Motor Fuel and Diesel Motor Fuel and the Art. 13-A Carrier Tax Jointly Administered Therewith

I.D. No. TAF-48-16-00002-P

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

Proposed Action: Amendment of section 492.1(b)(1) of Title 20 NYCRR.

Statutory authority: Tax Law, sections 171, subd. First, 301-h(c), 509(7), 523(b) and 528(a)

Subject: Fuel use tax on motor fuel and diesel motor fuel and the art. 13-A carrier tax jointly administered therewith.

Purpose: To set the sales tax component and the composite rate per gallon for the period January 1, 2017 through March 31, 2017.

Text of proposed rule: Section 1. Paragraph (1) of subdivision (b) of section 492.1 of such regulations is amended by adding a new subparagraph (lxxxv) to read as follows:

Component	Motor Fuel		Diesel Motor Fuel		
	Sales Tax	Composite Rate	Aggregate Rate	Sales Tax	Composite Rate
(lxxxiv) October - December 2016					
14.1	22.1	39.1	15.0	23.0	38.25
(lxxxv) January - March 2017					
14.1	22.1	38.3	15.1	23.1	37.55

Text of proposed rule and any required statements and analyses may be obtained from: Kathleen D. O'Connell, Tax Regulations Specialist, Department of Taxation and Finance, Office of Counsel, Building 9, W.A. Harriman Campus, Albany, NY 12227, (518) 530-4153, email: tax.regulations@tax.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, 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.

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

Division of Taxation and Finance Powers of Attorney

I.D. No. TAF-48-16-00003-P

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

Proposed Action: Amendment of sections 2370.5(b)(3), 2371.5(c)(2), 2390.1(c)(3), (g)(1); and repeal of section 2390.1(f) and (g)(2) of Title 20 NYCRR.

Statutory authority: Tax Law, section 171, subd. First

Subject: Division of Taxation and Finance Powers of Attorney.

Purpose: To simplify and expedite the process for filing Powers of Attorney with the Division of Taxation and Finance.

Text of proposed rule: Section 1. Paragraph (3) of subdivision (b) of section 2370.5 is amended to read as follows:

(3) The form shall contain, among other required information, the name and address of the principal, the name and address of the agent or authorized representative, and shall have attached thereto the principal's power of attorney, [acknowledged before a notary public,] permitting such agent or authorized representative to make a request for access to records on the principal's behalf. The agency form, completed in the required manner, shall be filed with the records access officer at the time of making the request for access to the department's records.

Section 2. Paragraph (2) of subdivision (c) of section 2371.5 is amended to read as follows:

(2) The prescribed form shall be a power of attorney, [acknowledged before a notary public,] appointing such authorized representative to make a request for access to and/or amendment or correction of such records on the principal's behalf and to obtain access to such records requested therein. Such power may also contain further authority to authorize such representative to take an appeal from denials of access and refusals of amendment or correction pursuant to section 2371.8 of this Part.

Section 3. Paragraph (3) of subdivision (c) of section 2390.1 is amended to read as follows:

(3) The division may, in its discretion, accept a copy [or a facsimile transmission (FAX)] of a power of attorney. The division may also require proof of the existence and validity of the original power of attorney.

Section 4. Subdivision (f) of section 2390.1 is REPEALED.

Section 5. Paragraph (2) of subdivision (g) of section 2390.1 is REPEALED and paragraph (1) of subdivision (g) of section 2390.1 is amended to read as follows:

(g)(1) A power of attorney must be filed and received in [the office of] the Division of Taxation in [which the matter is pending] *the manner prescribed by the Commissioner*. The power of attorney should be filed with the division in a conspicuous manner. Accordingly, a power of attorney should not be attached to, or incorporated in, any return, report or other document that is routinely filed with the division unless the return, report or other document specifically provides for such attachment or incorporation.

Text of proposed rule and any required statements and analyses may be obtained from: Kathleen D. O'Connell, Tax Regulations Specialist, Department of Taxation and Finance, Office of Counsel, Building 9, W.A. Harriman Campus, Albany, NY 12207, (518) 530-4153, email: Kathleen.OConnell@tax.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: Tax Law, section 171, subdivision First, generally authorizes the Commissioner of Taxation and Finance to promulgate regulations, such as may be necessary for the exercise of the Department's powers and performance of its duties.

2. Legislative objectives: In keeping with the Department's duties under section 171 First of the Tax Law, the proposed rule makes certain amendments streamlining and simplifying the process for filing the Powers of Attorney required to be filed in order for the Department to disclose documents or communicate with taxpayers or their representatives. These amendments balance the need to provide access to information with the secrecy requirements of Tax Law section 697(e) and related provisions. The rule amends the Public Access to Records regulations to eliminate the requirement that certain record requests be accompanied by a notarized power of attorney, which will simplify and expedite the process for obtaining such records. The rule also amends the Procedural regulations to eliminate the requirement that Division of Taxation and Finance Power of Attorney forms be notarized or witnessed in certain circumstances, while retaining the Division's authority to verify identity and authority to execute a power of attorney. The changes will allow the Division to simplify the Power of Attorney process and add some Power of Attorney functionality to its Online Services Accounts. Further, the rule would eliminate the automatic revocation of previously filed powers of attorney, which will enable taxpayers to retain multiple powers of attorney simultaneously, unless they affirmatively revoke previously filed powers of attorney.

The rule also provides that powers of attorney must be filed and received in the Division of Taxation in the manner prescribed by the Commissioner,

rather than in the office in which a matter is pending. This will allow for expeditious centralized processing of powers of attorney by the Division.

3. Needs and benefits: The rule expedites the process for making certain record requests by amending the regulations governing public access to Division records to eliminate the requirement that these requests be accompanied by a notarized power of attorney. The rule also amends the Procedural regulations to eliminate the requirement that Division of Taxation and Finance Power of Attorney forms be notarized or witnessed in certain circumstances, while retaining the Division's authority to verify identity and authority to execute a power of attorney, which will allow the Division to simplify the Power of Attorney process and add some Power of Attorney functionality to its Online Services Accounts. Further, the rule would eliminate the automatic revocation of previously filed powers of attorney, which will enable taxpayers to retain multiple powers of attorney simultaneously, unless they affirmatively revoke previously filed powers of attorney. The rule generally furthers the administration of the tax law by enabling the Department to provide taxpayers with simplified forms and process such forms expeditiously. The rule imposes no additional burdens on regulated parties.

4. Costs: (a) Costs to regulated parties for the implementation and continuing compliance with this rule: The rule imposes no additional costs on regulated parties.

(b) Costs to this agency, the State and local governments for the implementation and continuation of this rule: No additional costs are imposed on the agency for the implementation and continuation of the rule.

(c) Information and methodology: This analysis is based on a review of the statutory requirements and on discussions among personnel from the Department's Taxpayer Guidance Division, Office of Tax Policy Analysis, Office of Budget and Management Analysis, and Management Analysis and Project Services Bureau.

5. Local government mandates: The rule imposes no local government mandates.

6. Paperwork: This rule will not require any new forms or information, although the Department is in the process of developing a new form for future use.

7. Duplication: This rule does not duplicate any other requirements.

8. Alternatives: The Department considered various alternatives, including broadening the elimination of the notary requirement for Powers of Attorney and making no changes to the regulations, and found no viable alternatives preferable to those implemented in the rule that satisfied the Department's legal and systems requirements.

9. Federal standards: This rule does not exceed any minimum standards of the federal government for the same or similar subject area.

10. Compliance schedule: Because the information in question is already required to be submitted prior to representation by a power of attorney, taxpayers will continue to be required to submit powers of attorney when the rule becomes effective, upon publication of the Notice of Adoption in the State Register.

Regulatory Flexibility Analysis

A Regulatory Flexibility Analysis for Small Businesses and Local Governments is not being submitted with this rule because it will not impose any adverse economic impact or any additional reporting, recordkeeping, or other compliance requirement on small businesses or local governments. The rule amends the Public Access to Records regulations to eliminate the requirement that certain record requests be accompanied by a notarized power of attorney. The rule also amends the Procedural regulations to eliminate the requirement that Division of Taxation and Finance Power of Attorney forms be notarized or witnessed in certain circumstances, while retaining the Division's authority to verify identity and authority to execute a power of attorney, which will allow the Division to simplify the Power of Attorney process and add some Power of Attorney functionality to its Online Services Accounts. Further, the rule would eliminate the automatic revocation of previously filed powers of attorney, which will enable taxpayers to retain multiple powers of attorney simultaneously, unless they affirmatively revoke previously filed powers of attorney.

The rule also provides that powers of attorney must be filed and received in the Division of Taxation in the manner prescribed by the Commissioner, rather than in the office in which a matter is pending. This will allow for expeditious centralized processing of powers of attorney by the Division.

The purpose of the rule is to simplify and expedite the process whereby taxpayers file Powers of Attorney with the Division of Taxation and Finance.

Rural Area Flexibility Analysis

A Rural Area Flexibility Analysis is not being submitted with this rule because it will not impose any adverse impact on any rural areas. The rule amends the Public Access to Records regulations to eliminate the requirement that certain record requests be accompanied by a notarized power of

attorney. The rule also amends the Procedural regulations to eliminate the requirement that Division of Taxation and Finance Power of Attorney forms be notarized or witnessed in certain circumstances, while retaining the Division's authority to verify identity and authority to execute a power of attorney, which will allow the Division to simplify the Power of Attorney process and add some Power of Attorney functionality to its Online Services Accounts. Further, the rule would eliminate the automatic revocation of previously filed powers of attorney, which will enable taxpayers to retain multiple powers of attorney simultaneously, unless they affirmatively revoke previously filed powers of attorney.

The rule also provides that powers of attorney must be filed and received in the Division of Taxation in the manner prescribed by the Commissioner, rather than in the office in which a matter is pending. This will allow for expeditious centralized processing of powers of attorney by the Division.

The purpose of the rule is to simplify and expedite the process whereby taxpayers file Powers of Attorney with the Division of Taxation and Finance.

Job Impact Statement

A Job Impact Statement is not being submitted with this rule because it is evident from the subject matter that the rule will have no impact on jobs and employment opportunities. The rule amends the Public Access to Records regulations to eliminate the requirement that certain record requests be accompanied by a notarized power of attorney. The rule also amends the Procedural regulations to eliminate the requirement that Division of Taxation and Finance Power of Attorney forms be notarized or witnessed in certain circumstances, while retaining the Division's authority to verify identity and authority to execute a power of attorney, which will allow the Division to simplify the Power of Attorney process and add some Power of Attorney functionality to its Online Services Accounts. Further, the rule would eliminate the automatic revocation of previously filed powers of attorney, which will enable taxpayers to retain multiple powers of attorney simultaneously, unless they affirmatively revoke previously filed powers of attorney.

The rule also provides that powers of attorney must be filed and received in the Division of Taxation in the manner prescribed by the Commissioner, rather than in the office in which a matter is pending. This will allow for expeditious centralized processing of powers of attorney by the Division.

The purpose of the rule is to simplify and expedite the process whereby taxpayers file Powers of Attorney with the Division of Taxation and Finance.

Workers' Compensation Board

NOTICE OF EXPIRATION

The following notices have expired and cannot be reconsidered unless the Workers' Compensation Board publishes new notices of proposed rule making in the *NYS Register*.

Medical Treatment Guideline Variances

I.D. No.	Proposed	Expiration Date
WCB-45-15-00025-P	November 10, 2015	November 9, 2016

Medical Authorizations

I.D. No.	Proposed	Expiration Date
WCB-45-15-00026-P	November 10, 2015	November 9, 2016

Medical Treatment Guideline Optional Prior Approval

I.D. No.	Proposed	Expiration Date
WCB-45-15-00027-P	November 10, 2015	November 9, 2016

HEARINGS SCHEDULED FOR PROPOSED RULE MAKINGS

Agency I.D. No.	Subject Matter	Location—Date—Time
Labor, Department of		
LAB-42-16-00016-P	Farm worker minimum wage	Department of Labor, Bldg. 2, State Campus, Albany, NY—Dec. 5, 2016, 10:00 a.m.
Public Service Commission		
PSC-40-16-00023-P	Major gas rate filing	Department of Public Service, Agency Bldg. Three, 3rd Fl. Hearing Rm., Albany, NY—Dec. 5, 2016, 10:00 a.m., and daily on succeeding business days as needed. (Evidentiary Hearing)* *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 16-G-0369.
State, Department of		
DOS-46-16-00007-P	Sugarhouse alternative activity provisions	Department of State, 99 Washington Ave., Rm. 505, Albany, NY—Jan. 3, 2017, 10:00 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
ADIRONDACK PARK AGENCY			
APA-09-16-00005-P	03/02/17	Access to Agency Records	To conform Adirondack Park Agency rules to the Public Officers Law and rules promulgated by the Committee on Open Government
APA-39-16-00030-P	11/15/17	Access to Agency Records	To conform Adirondack Park Agency rules to the Public Officers Law and rules promulgated by the Committee on Open Government
AGRICULTURE AND MARKETS, DEPARTMENT OF			
AAM-23-16-00005-P	06/08/17	National Institute of Standards and Technology ("NIST") Handbook 44; receipts issued by taxicab operators, digital scales	To incorporate NIST Handbook 44 (2016 edition); to allow handwritten taxicab receipts; to liberalize scale requirements
AAM-42-16-00006-P	10/19/17	Sanitation in retail food stores and method of sale, at retail, of certain food	To cause the republication of regulations governing retail food stores and the method of sale of certain foods at retail
AAM-47-16-00005-EP	11/23/17	Growth, cultivation, sale, distribution, transportation, and processing of industrial hemp	To allow industrial hemp to be sold, distributed, transported and processed
AUDIT AND CONTROL, DEPARTMENT OF			
AAC-46-16-00019-P	11/16/17	Contract Award Protest Procedure for Contract Awards Subject to The Comptroller's Approval	Sets forth the procedure to be used when an interested party challenges certain contract awards by a public contracting entity
CHILDREN AND FAMILY SERVICES, OFFICE OF			
CFS-24-16-00001-P	06/15/17	Child care for children experiencing homelessness.	To reduce barriers for children experiencing homelessness to receive child care assistance and to attend child care.
CFS-39-16-00002-P	09/28/17	Provisions relating to the revocation, suspension, limitation or denial of an operating certificate for an adult care facility	To conform the provisions for actions taken on operating certificates for adult care facilities to State law

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CHILDREN AND FAMILY SERVICES, OFFICE OF			
CFS-45-16-00001-P	11/09/17	Criminal history checks of prospective foster and adoptive parents and adult household members	To implement changes to the Social Services Law regarding criminal history checks
CIVIL SERVICE, DEPARTMENT OF			
CVS-07-16-00006-P	02/16/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-07-16-00009-P	02/16/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-11-16-00001-P	03/16/17	Jurisdictional Classification	To delete positions from and classify positions in the exempt and non-competitive classes
CVS-11-16-00002-P	03/16/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-11-16-00003-P	03/16/17	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-14-16-00005-P	04/06/17	Supplemental military leave benefits	To extend the availability of supplemental military leave benefits for certain New York State employees until December 31, 2016
CVS-15-16-00004-P	04/13/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-15-16-00005-P	04/13/17	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-15-16-00006-P	04/13/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-15-16-00007-P	04/13/17	Jurisdictional Classification	To delete positions from and classify positions in the exempt and non-competitive classes
CVS-15-16-00008-P	04/13/17	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-20-16-00005-P	05/18/17	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-20-16-00006-P	05/18/17	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-26-16-00003-P	06/29/17	Jurisdictional Classification	To classify positions in the exempt class and to delete positions from the non-competitive class
CVS-26-16-00004-P	06/29/17	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-26-16-00005-P	06/29/17	Jurisdictional Classification	To delete a position from and classify a position in the exempt class
CVS-26-16-00006-P	06/29/17	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-26-16-00007-P	06/29/17	Jurisdictional Classification	To classify positions in the non-competitive classes
CVS-26-16-00008-P	06/29/17	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-26-16-00009-P	06/29/17	Jurisdictional Classification	To classify positions in the exempt class

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CIVIL SERVICE, DEPARTMENT OF			
CVS-26-16-00010-P	06/29/17	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-26-16-00011-P	06/29/17	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-29-16-00001-P	07/20/17	Jurisdictional Classification	To classify positions in the exempt class
CVS-29-16-00002-P	07/20/17	Jurisdictional Classification	To delete subheading & positions from; to add heading, subheading & positions in exempt and non-competitive classes
CVS-29-16-00003-P	07/20/17	Jurisdictional Classification	To delete positions from the exempt and non-competitive classes
CVS-29-16-00004-P	07/20/17	Jurisdictional Classification	To delete positions from the non-competitive class
CVS-29-16-00005-P	07/20/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-29-16-00006-P	07/20/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-29-16-00007-P	07/20/17	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-29-16-00008-P	07/20/17	Jurisdictional Classification	To classify a position in the exempt class and to delete a position from the non-competitive class
CVS-29-16-00009-P	07/20/17	Jurisdictional Classification	To classify positions in the exempt class
CVS-29-16-00010-P	07/20/17	Jurisdictional Classification	To classify positions in the exempt class
CVS-29-16-00011-P	07/20/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-29-16-00012-P	07/20/17	Jurisdictional Classification	To classify positions in the exempt class
CVS-29-16-00013-P	07/20/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-29-16-00014-P	07/20/17	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-29-16-00015-P	07/20/17	Jurisdictional Classification	To delete positions from the non-competitive class
CVS-29-16-00016-P	07/20/17	Jurisdictional Classification	To delete positions from the exempt and non-competitive classes
CVS-29-16-00017-P	07/20/17	Jurisdictional Classification	To classify a position in the exempt class and to delete a position from the non-competitive class
CVS-29-16-00018-P	07/20/17	Jurisdictional Classification	To delete subheading & positions from; to add heading, subheading & positions in exempt and non-competitive classes
CVS-35-16-00004-P	08/31/17	Jurisdictional Classification	To classify positions in the exempt class

Action Pending Index**NYS Register/November 30, 2016**

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CIVIL SERVICE, DEPARTMENT OF			
CVS-35-16-00005-P 08/31/17	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class.
CVS-35-16-00006-P 08/31/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-35-16-00007-P 08/31/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-35-16-00008-P 08/31/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-35-16-00009-P 08/31/17	Jurisdictional Classification	To classify positions in the exempt class
CVS-35-16-00010-P 08/31/17	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-35-16-00011-P 08/31/17	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-35-16-00012-P 08/31/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-44-16-00001-P 11/02/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-44-16-00002-P 11/02/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-44-16-00003-P 11/02/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-44-16-00004-P 11/02/17	Jurisdictional Classification	To classify a position in the exempt class and to delete a position from the non-competitive class
CVS-44-16-00005-P 11/02/17	Jurisdictional Classification	To delete a position from and classify a position in the non-competitive class
CVS-44-16-00006-P 11/02/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-44-16-00007-P 11/02/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-44-16-00008-P 11/02/17	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-44-16-00009-P 11/02/17	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-46-16-00001-P 11/16/17	Jurisdictional Classification	To classify a position in the exempt class
CVS-46-16-00002-P 11/16/17	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-46-16-00003-P 11/16/17	Jurisdictional Classification	To classify positions in the exempt class
CVS-46-16-00004-P 11/16/17	Jurisdictional Classification	To delete a position from and classify a position in the exempt class

CORRECTION, STATE COMMISSION OF

CMC-44-16-00022-P 11/02/17	Annual report of pregnant inmate restraint	To prescribe a form and manner for local correctional facilities to submit a statutorily required annual report
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Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CORRECTIONS AND COMMUNITY SUPERVISION, DEPARTMENT OF			
CCS-39-16-00004-P	09/28/17	Parole Board decision making	To clearly establish what the Board must consider when conducting an interview and rendering a decision
CRIMINAL JUSTICE SERVICES, DIVISION OF			
CJS-25-16-00004-P	06/22/17	Handling of Ignition Interlock Cases Involving Certain Criminal Offenders.	To promote public/traffic safety, offender accountability and quality assurance through the establishment of minimum standards.
EDUCATION DEPARTMENT			
EDU-06-16-00004-RP	05/10/17	School counseling, certification requirements for school counselors and the school counselor program registration requirements.	To implement policy enacted by the Board of Regents to enhance existing public school district guidance programs to require comprehensive developmental counseling programs for all students in grades prekindergarten through 12 by certified school counselors
EDU-10-16-00018-RP	03/09/17	Dental Anesthesia Certification Requirements for Licensed Dentists	To conform regulations to the current practice of dental anesthesia administration
EDU-22-16-00006-EP	06/01/17	Teacher certification in career and technical education	Establishes a new pathway for Transitional A certificate
EDU-26-16-00016-ERP	06/29/17	Teacher certification in career and technical education	Establishes new pathways for Transitional A certificate
EDU-27-16-00002-ERP	07/06/17	Superintendent determination as to academic proficiency for certain students with disabilities to graduate with a local diploma	To expand the safety net options for students with disabilities to graduate with local diplomas when certain conditions are met
EDU-39-16-00009-P	09/28/17	Substitute Teachers	To provide a sunset date for the amendments made to 80-5.4 at the July Regents meeting
EDU-39-16-00033-EP	09/28/17	Assessments for the New York State Career Development and Occupational Studies (CDOS) Commencement Credential	Establish conditions and procedures for approval of work-readiness assessments for the CDOS credential
EDU-39-16-00034-P	09/28/17	Uniform Violent or Disruptive Incident Reporting System (VADIR)	To revise the categories of violent and disruptive incidents for VADIR reporting
EDU-42-16-00001-EP	10/19/17	Establishment of tuition rates	To clarify that the Education Department maintains discretion in establishing tuition rates based on a financial audit
EDU-44-16-00012-P	11/02/17	Education requirements for Occupational Therapists and Occupational Therapy Assistants	Provides that licenses may be granted to applicants who have completed education exceeding current requirements for licensure
EDU-44-16-00013-EP	11/02/17	Teacher certification examination requirements	To establish additional safety nets for the content specialty examinations
EDU-44-16-00023-P	11/02/17	Posting of Child Abuse Hotline Number and Instructions to Use Office of Children and Family Services Website	To implement the requirements of Chapter 105 of the Laws of 2016
EDU-45-16-00005-EP	11/09/17	Annual Professional Performance Reviews (APPR) of classroom teachers and building principals	To provide New York City with flexibility in the student performance category for teacher and principal evaluations.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
EDUCATION DEPARTMENT			
EDU-45-16-00006-P	11/09/17	Eligibility for Participation in Interscholastic Sports and Duration of Competition	Clarifies when a student's eligibility for athletic competition may be extended and the use of the athletic placement process
EDU-48-16-00007-P	11/30/17	Extension of time validity of certificates	To automatically provide for a three year time extension, instead of initial two-year extension for certain candidates
ENVIRONMENTAL CONSERVATION, DEPARTMENT OF			
*ENV-45-15-00028-RP	02/07/17	Science-based State sea-level rise projections	To establish a common source of sea-level rise projections for consideration in relevant programs and decision-making
ENV-51-15-00005-P	12/22/16	Big bore air rifles	To allow big bore air rifles as legal implements for hunting big game
ENV-52-15-00010-P	12/29/16	Procedures for modifying or extinguishing a conservation easement held by the NYS DEC	Establish standards for the DEC to follow when modifying or extinguishing a CE and provide for a formal public review process
ENV-11-16-00004-P	06/07/17	Solid Waste Management Regulations	Amend the rules that implement the solid waste program in New York State to incorporate changes in law and technology
ENV-19-16-00006-EP	06/30/17	Chemical Bulk Storage (CBS)	To amend Part 597 of the CBS regulations
ENV-26-16-00002-P	06/29/17	To amend 6 NYCRR Part 40 pertaining to recreational party and charter boat regulations for striped bass	To allow filleting of striped bass aboard party and charter boats
ENV-31-16-00003-P	09/30/17	Waste Fuels	Update permit references, rule citations, monitoring, record keeping, reporting requirements, and incorporate federal standards
ENV-36-16-00002-P	11/02/17	Lake Champlain drainage basin	To reclassify certain surface waters in Lake Champlain Drainage Basin, in Clinton, Essex, Franklin, Warren, Washington counties
ENV-39-16-00011-P	09/28/17	Sportfishing (freshwater) and associated activities	To revise sportfishing regulations and associated activities
FINANCIAL SERVICES, DEPARTMENT OF			
DFS-17-16-00003-P	exempt	Plan of Conversion by Commercial Travelers Mutual Insurance Company	To convert a mutual accident and health insurance company to a stock accident and health insurance company
DFS-39-16-00007-P	09/28/17	Charges for Professional Health Services	Limit reimbursement of no-fault health care services provided outside NYS to highest fees in fee schedule for services in NYS
DFS-39-16-00008-P	09/28/17	CYBERSECURITY REQUIREMENTS FOR FINANCIAL SERVICES COMPANIES	To require effective cybersecurity to protect consumers and ensure the safe and sound operation of Department-regulated entities
DFS-41-16-00006-P	10/12/17	Inspecting, Securing and Maintaining Vacant and Abandoned Residential Real Property	To implement the requirements imposed by the recent additions to the Real Property Actions and Proceedings Law

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
FINANCIAL SERVICES, DEPARTMENT OF			
DFS-41-16-00012-P	10/12/17	Commercial Crime Coverage Exclusions	To prohibit certain insurance exclusions for loss/damage caused by an employee previously convicted of criminal offense
DFS-45-16-00003-P	11/09/17	Agent Training Allowance Subsidies	To update the limits of training allowance subsidies contained in 11 NYCRR 12 (Regulation 50)
DFS-47-16-00006-P	11/23/17	Regs Implementing Comprehensive Motor Veh Ins Repairs Act; Unfair Claims Settlement Practices & Claim Cost Control Measures	To update references to the address of the Department's Long Island office
DFS-48-16-00006-P	11/30/17	Life Insurance and Annuity Non-guaranteed Elements	To establish standards for the determination and readjustment of non-guaranteed elements for life insurance and annuities
GAMING COMMISSION, NEW YORK STATE			
SGC-37-16-00007-P	09/14/17	Require thoroughbred horse trainers to complete four hours of continuing education each year	To preserve the integrity of pari-mutuel racing while generating reasonable revenue for the support of government
SGC-38-16-00004-P	09/21/17	Definition of the "wire" at the finish of a harness race	To preserve the integrity of pari-mutuel racing while generating reasonable revenue for the support of government
SGC-42-16-00002-P	10/19/17	Casino alcoholic beverage licenses	To regulate the presence and sale of alcoholic beverages on the premises of gaming facilities
SGC-42-16-00003-P	10/19/17	Prescribing methods of notice to applicants, registrants, and licensees and restrictions on employee wagering	To set forth the methods of notice and restrict employee wagering
SGC-42-16-00004-P	10/19/17	To set forth the standards for electronic table game systems	To prescribe the technical standards for the testing and certification of electronic table game systems
SGC-45-16-00002-P	11/09/17	Permit jockeys to wear trade logos and own name on jockey clothing	To preserve the safety and integrity of pari-mutuel racing while generating reasonable revenue for the support of government
SGC-45-16-00004-P	11/09/17	Anti-stacking of NSAIDs and diclofenac made a 48 hour NSAID	To enable the Commission to preserve the integrity of pari-mutuel racing while generating reasonable revenue for the support of
SGC-47-16-00002-P	11/23/17	Bonding of video lottery agents to prevent potential loss of State revenue earned from video lottery gaming ("VLG")	To revise the manner in which the bond amount required from each VLG agent is determined, reflecting current vendor fees
SGC-47-16-00017-P	11/23/17	Expands the conflict of interest restrictions on racing secretaries and their assistants and substitutes	To ensure the integrity of harness racing
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-16-16-00002-P	04/20/17	NYS Medical Indemnity Fund	To provide additional guidance and clarity to the Fund's requirements and operations

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
HEALTH, DEPARTMENT OF			
HLT-35-16-00018-P	08/31/17	All Payer Database (APD)	To define the parameters for operating the APD regarding mandatory data submission by healthcare payers as well as data release
HLT-37-16-00024-P	09/14/17	Medical Use of Marihuana	To comprehensively regulate the manufacture, sale and use of medical marihuana
HLT-39-16-00031-P	09/28/17	Non-prescription Emergency Contraceptives Drugs	Allow pharmacies to dispense non-prescription emerg. contraceptive drugs for Medicaid female recipients without a written order
HLT-39-16-00032-P	09/28/17	Expanded Syringe Access Program	To eliminate the word "demonstration"
HLT-40-16-00030-P	10/05/17	Transgender Related Care and Services	To amend provisions regarding Medicaid coverage of transition-related transgender care and services
HLT-41-16-00002-EP	10/12/17	Residential Health Care Facility Quality Pool	To reward NYS facilities with the highest quality outcomes as determined by methodology developed by regulation
HLT-41-16-00005-P	10/12/17	Compounded Trend to Cost of Living Adjustments (COLAs) for Direct Care Workers	To update the methodology to reflect a compounded cost of living adjustment and to remove a superfluous component
HLT-47-16-00007-P	11/23/17	Direct Clinical Services-Supervised Individual Residential Alternatives (IRAs), Community Residences (CRs) & Day Habilitation	To exclude direct clinical services from the reimbursement for Supervised IRAs, CRs and Day Habilitation
HLT-48-16-00008-P	11/30/17	Medical Use of Marihuana - Physician Assistants	To authorize physician assistants to register with DOH in order to issue certifications to patients with qualifying conditions
JOINT COMMISSION ON PUBLIC ETHICS, NEW YORK STATE			
JPE-37-16-00002-EP	09/14/17	Source of funding reporting	To implement legislative changes made to the source of funding disclosure requirements
JPE-37-16-00003-EP	09/14/17	Adjudicatory proceedings and appeals procedures for matters under the Commission's jurisdiction	To implement legislative changes made to the Commission's adjudicatory proceedings
LABOR, DEPARTMENT OF			
LAB-03-16-00009-P	01/19/17	Employer Imposed Limitations on the Inquiry, Discussion, and Disclosure of Wages	This regulation sets forth standards for limitations on inquiry, discussion, or the disclosure of wages amongst employees
LAB-42-16-00015-P	10/19/17	Minimum Wage	To comply with chapter 54 of the Laws of 2016 that increased the minimum wage
LAB-42-16-00016-P	12/05/17	Farm Worker Minimum Wage	To comply with chapter 54 of the Laws of 2016 that increased the minimum wage
LIQUOR AUTHORITY, STATE			
LQR-02-16-00002-P	01/12/17	Update outdated Freedom of Information Law procedures utilized by Authority	To update Authority procedures and ensure compliance with Freedom of information Law requirements under Pub. Off. Law., art. 6

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
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-41-16-00007-P exempt	PSEG Long Island's balanced billing program	To implement improvements to the balanced billing program
LPA-41-16-00008-P exempt	The Authority's Power Supply Charge	To move certain capacity related power supply costs from base rates to the Authority's Power Supply Charge
LPA-41-16-00009-P exempt	The Authority's Smart Grid Small Generator Interconnection Procedures	To update the Authority's Smart Grid Small Generator Interconnection Procedures
LPA-41-16-00010-P exempt	The Authority's Revenue Decoupling Mechanism	To change the RDM from a semi-annual to an annual rate resetting process
LPA-41-16-00011-P exempt	The Authority's Visual Benefits Assessment	To effectuate a settlement between the Authority and the Town of Southampton regarding collection of arrears
MOTOR VEHICLES, DEPARTMENT OF			
MTV-46-16-00020-P 11/16/17	Hearings for persons who persistently evade the payment of tolls	To hold hearings for persons subject to a registration suspension due to persistently evading the payment of tolls
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
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-41-16-00013-P exempt	Rates for the Sale of Power and Energy	To recover the Authority's Fixed Costs
PAS-41-16-00014-P exempt	Rates for the Sale of Power and Energy	To align rates and costs
PUBLIC SERVICE COMMISSION			
*PSC-28-97-00032-P exempt	General service by Central Hudson Gas & Electric Corporation	To limit certain special provisions

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*PSC-37-00-00001-EP exempt	Interruptible gas customers	To ensure customers have an adequate supply of alternative fuel available

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PUBLIC SERVICE COMMISSION			
*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
*PSC-49-02-00021-P exempt	Requests for lightened regulation by PSEG Power Bellport, LLC	To consider the company's request

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PUBLIC SERVICE COMMISSION			
*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
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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 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-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
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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 commercial accounts	To permit electric utilities in New York State to use the Elster REX2

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PUBLIC SERVICE COMMISSION			
*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.
*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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-29-09-00011-P exempt	Consideration of utility compliance filings	Consideration of utility compliance filings
*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
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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-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
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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-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
*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-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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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-16-11-00011-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
*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 Commission 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-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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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 NYSEERDA	Modify NYSEERDA'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
*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 Conning'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-42-12-00009-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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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-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-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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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-25-13-00012-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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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.
*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-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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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.
*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 and the 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-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.
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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-17-14-00007-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-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-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-23-14-00014-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-24-14-00005-P exempt	To examine LDC's performance and performance measures.	To improve gas safety performance.
*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-26-14-00013-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-26-14-00017-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-26-14-00020-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-30-14-00023-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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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-32-14-00012-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-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.
*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-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 renewables 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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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-38-14-00010-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.
*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-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-40-14-00011-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-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-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-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..

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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-01-15-00017-P exempt	Reimbursement of costs for construction under 16 NYCRR 230	To determine proper reimbursement for costs related to trenching and construction
*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-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-04-15-00010-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-07-15-00006-P exempt	Whether to order a remand regarding payphone rates	Whether to order a remand regarding payphone rates and award refunds
*PSC-08-15-00009-P exempt	Approval of a surcharge.	To allow or disallow Emerald Green Lake Louise Marie Water Company, Inc. for a surcharge.
*PSC-08-15-00010-P exempt	Request pertaining to the lawfulness of National Grid USA continuing its summary billing program.	To grant, deny, or modify URAC Rate Consultants' request that National Grid cease its summary billing program.
*PSC-10-15-00007-P exempt	Notification concerning tax refunds	To consider Verizon New York Inc.'s partial rehearing or reconsideration request regarding retention of property tax refunds
*PSC-10-15-00008-P exempt	Whether to waive Policy on Test Periods in Major Rate Proceedings and provide authority to file tariff changes	Whether to waive Policy on Test Periods in Major Rate Proceedings and provide authority to file tariff changes
*PSC-10-15-00009-P exempt	Contingency Tariffs regarding demand response issues	To consider Contingency Tariffs regarding demand response issues
*PSC-12-15-00007-P exempt	The Annual Reconciliation of Gas Expenses and Gas Cost Recoveries codified at Title 16 NYCRR Section 720.6.5	Examine the Annual Reconciliation of Gas Expenses and Gas Cost Recoveries mechanism
*PSC-13-15-00024-P exempt	Whether Leatherstocking should be permitted to recover a shortfall in earnings	To decide whether to approve Leatherstocking's request to recover a shortfall in earnings
*PSC-13-15-00026-P exempt	Whether to permit the use of the Sensus Smart Point Gas AMR/AMI product	To permit the use of the Sensus Smart Point Gas AMR/AMI product
*PSC-13-15-00027-P exempt	Whether to permit the use of the Measurlogic DTS 310 electric submeter	To permit the use of the Measurlogic DTS 310 submeter

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-13-15-00028-P exempt	Whether to permit the use of the SATEC EM920 electric meter	To permit necessary to permit the use of the SATEC EM920 electric meter
*PSC-13-15-00029-P exempt	Whether to permit the use the Triacta Power Technologies 6103, 6112, 6303, and 6312 electric submeters	To permit the use of the Triacta submeters
*PSC-17-15-00004-P exempt	Rehearing of the Commission's Order Adopting Regulatory Policy Framework and Implementation Plan	Consideration of a petition for rehearing
*PSC-17-15-00007-P exempt	To consider the petition of Leatherstocking Gas Company, LLC seeking authority to issue long-term debt of \$2.75 million	To consider the petition of Leatherstocking Gas Company, LLC seeking authority to issue long-term debt of \$2.75 million
*PSC-18-15-00004-P exempt	National Grid's electric Economic Development Programs	To revise the economic development assistance to qualified businesses
*PSC-18-15-00005-P exempt	Con Edison's Report on its 2014 performance under the Electric Service Reliability Performance Mechanism	Con Edison's Report on its 2014 performance under the Electric Service Reliability Performance Mechanism
*PSC-18-15-00007-P exempt	National Grid's Economic Development Programs	To authorize a new economic development program for National Grid's natural gas service territory
*PSC-19-15-00011-P exempt	Gas Safety Performance Measures and associated negative revenue adjustments	To update the performance measures applicable to KeySpan Gas East Corporation d/b/a National Grid
*PSC-20-15-00006-P exempt	Implementation of the proposed Microgrid Business Model as a reliability and demand management resource	Consider implementation of the proposed Microgrid Business Model as a reliability and demand management resource
*PSC-22-15-00015-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-23-15-00005-P exempt	The modification of New York American Water's current rate plan	Whether to adopt the terms of the Joint Proposal submitted by NYAW and DPS Staff
*PSC-23-15-00006-P exempt	The modification of New York American Water's current rate plan	Whether to adopt the terms of the Joint Proposal submitted by NYAW and DPS Staff
*PSC-25-15-00008-P exempt	Notice of Intent to Submeter electricity.	To consider the request of 165 E 66 Residences, LLC to submeter electricity at 165 East 66th Street, New York, New York.
*PSC-26-15-00014-P exempt	To consider the request for partial waiver of the energy audit requirements in 16 NYCRR Section 96.5(k)	To consider the request for partial waiver of the energy audit requirements in 16 NYCRR Section 96.5(k)
*PSC-27-15-00014-P exempt	Authorization for NYAW to accrue interest on internal reserve debit balances	To allow NYAW to accrue interest on internal reserve debit balances
*PSC-28-15-00006-P exempt	The minor electric rate filing of Mohawk Municipal Commission	Whether to increase Mohawk Municipal Commission's annual electric revenues by approximately \$113,119 or 13.74%
*PSC-29-15-00018-P exempt	Approval of ratemaking related to amendment a certificate of public convenience and necessity	To approve or reject the ratemaking aspects of SLG's petition to amend its certificate of public convenience and necessity

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-29-15-00025-P exempt	Joint Petition for authority to transfer real property located at 624 West 132nd Street, New York, NY	Whether to authorize the proposed transfer of real property located at 624 West 132nd Street, New York, NY
*PSC-31-15-00007-P exempt	Plan to convert petroleum pipeline into a natural gas pipeline	Whether to approve the proposed conversion plan submitted by NIC Holding Corp
*PSC-32-15-00005-P exempt	Petition for rehearing of the Order Adopting Dynamic Load Management Filings with Modifications	To consider a petition for rehearing of the Order Adopting Dynamic Load Management Filings with Modifications
*PSC-32-15-00006-P exempt	Development of a Community Solar Demonstration Project.	To approve the development of a Community Solar Demonstration Project.
*PSC-32-15-00012-P exempt	Proposed standards for Commission oversight of Distributed Energy Resource suppliers.	To consider proposed standards for Commission oversight of Distributed Energy Resource suppliers.
*PSC-33-15-00009-P exempt	Remote net metering of a demonstration community net metering program.	To consider approval of remote net metering of a demonstration community net metering program.
*PSC-33-15-00012-P exempt	Remote net metering of a Community Solar Demonstration Project.	To consider approval of remote net metering of a Community Solar Demonstration Project.
*PSC-34-15-00021-P exempt	Petition by NYCOM requesting assistance with obtaining information on CLECs and ESCOs	To consider the petition by NYCOM requesting assistance with obtaining information on CLECs and ESCOs
*PSC-35-15-00011-P exempt	Demand based Standby Service Charges levied upon Offset Tariff customers accounts	To consider a revision to demand based Standby Service Charges levied upon Offset Tariff customers accounts
*PSC-35-15-00014-P exempt	Consideration of consequences against Light Power & Gas, LLC for violations of the UBP	To consider consequences against Light Power & Gas, LLC for violations of the UBP
*PSC-37-15-00007-P exempt	Submetered electricity	To consider the request of 89 Murray Street Ass. LLC, for clarification of the submetering order issued December 20, 2007
*PSC-38-15-00008-P exempt	Notice of Intent to submeter electricity	To consider the request of Community Counseling and Mediation to submeter electricity at 226 Linden Blvd., Brooklyn, New York
*PSC-40-15-00014-P exempt	Whether to permit the use of the Open Way 3.5 with cellular communications	To consider the use of the Open Way 3.5 electric meter, pursuant to 16 NYCRR Parts 92 and 93
*PSC-41-15-00005-P exempt	Intergrow disputes National Grid's revenue assurance calculations	To consider whether the revenue assurance National Grid is requiring of Intergrow for the new interconnection is appropriate
*PSC-41-15-00009-P exempt	Main Tier of the Renewable Portfolio Standard program	To consider allocating funding from the Main Tier to an eligible hydroelectric facility
*PSC-41-15-00011-P exempt	Deferral of incremental costs incurred in 2014 associated with increased gas leak response and repair activities	To consider a petition by Con Edison to defer certain incremental costs associated with gas leak response and repair activities

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-42-15-00006-P exempt	Deferral of incremental expenses associated with NERC's new Bulk Electric System (BES) compliance requirements approved by FERC.	Consideration of Central Hudson's request to defer incremental expenses associated with new BES compliance requirements.
*PSC-42-15-00013-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-44-15-00028-P exempt	Deferral of incremental expenses associated with new compliance requirements	Consideration of Central Hudson's request to defer incremental expenses associated with new compliance requirements
*PSC-44-15-00030-P exempt	System Improvement Plan mechanism	To consider Bath's petition to implement a SIP mechanism
*PSC-47-15-00012-P exempt	Reimbursement of costs for construction under 16 NYCRR 230	To determine proper reimbursement for costs related to trenching and construction
*PSC-47-15-00013-P exempt	Whitepaper on Implementing Lightened Ratemaking Regulation.	Consider Whitepaper on Implementing Lightened Ratemaking Regulation.
PSC-48-15-00010-P exempt	Lightened and incidental regulation of a 55 MW electric and steam generating facility.	Consider the lightened and incidental regulation of a 55 MW electric and steam generating facility.
PSC-48-15-00011-P exempt	Proposal to retire Huntley Units 67 and 68 on March 1, 2016.	Consider the proposed retirement of Huntley Units 67 and 68.
PSC-49-15-00009-P exempt	Petition for rehearing of the Order Establishing Interim Ceilings on the Interconnection of Net Metered Generation	To consider a Petition for rehearing of the Order Establishing Interim Ceilings on the Interconnection of Net Metered Generation
PSC-50-15-00006-P exempt	The reduction of rates.	To consider the reduction of rates charged by Independent Water Works, Inc.
PSC-50-15-00008-P exempt	The transfer of 1,064 utility poles.	To consider the transfer of 1,064 utility poles from Orange and Rockland Utilities, Inc. to Frontier Communications Corp.
PSC-50-15-00009-P exempt	Notice of Intent to submeter electricity.	To consider the request to submeter electricity at 31-33 Lincoln Road and 510 Flatbush Avenue, Brooklyn, New York.
PSC-51-15-00010-P exempt	Modification of the EDP	To consider modifying the EDP
PSC-51-15-00011-P exempt	National Grid's electric Economic Development Programs	To consider modifications to the economic development assistance to qualified businesses
PSC-52-15-00015-P exempt	Consequences pursuant to the Commission's Uniform Business Practices (UBP).	To consider whether to impose consequences on Astral for its apparent non-compliance with Commission requirements.
PSC-01-16-00002-P exempt	Revenue assurance calculations	To consider whether the revenue assurance National Grid is requiring of Tiasoke for the upgraded service is appropriate
PSC-01-16-00003-P exempt	Deferral of expenses	To consider a petition for the deferral of expenses

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-01-16-00005-P exempt	Proposed amendment to Section 5, Attachment 1.A of the Uniform Business Practices	To consider amendment to Section 5, Attachment 1.A of the Uniform Business Practices
PSC-04-16-00007-P exempt	Whether Hamilton Municipal Utilities should be permitted to construct and operate a municipal gas distribution facility.	Consideration of the petition by Hamilton Municipal Utilities to construct and operate a municipal gas distribution facility.
PSC-04-16-00010-P exempt	Proposed revisions to add and clarify provisions related to electric generators under SC No. 14.	To consider revisions to SC No. 14 and align the electric generator provisions with its downstate companies, KEDLI and KEDNY.
PSC-04-16-00011-P exempt	Investigation that certain practices of Central Hudson Gas and Electric Corporation resulted in violations of HEFPA.	To consider the Petition of Nobody Leaves Mid-Hudson to investigate Central Hudson for claims of HEFPA violations.
PSC-04-16-00012-P exempt	Proposal to mothball three gas turbines located at the Astoria Gas Turbine Generating Station.	Consider the proposed mothball of three gas turbines located at the Astoria Gas Turbine Generating Station.
PSC-04-16-00013-P exempt	Proposal to find that three gas turbines located at the Astoria Gas Turbine Generating Station are uneconomic.	Consider whether three gas turbines located at the Astoria Gas Turbine Generating Station are uneconomic.
PSC-06-16-00007-P exempt	Transfer of water supply assets.	To consider the sale of water supply assets of Northeast Water Services to Suez Water Owego-Nichols, Inc.
PSC-06-16-00010-P exempt	Lakewood disputes National Grid's revenue assurance calculations, specifically the duration used.	To consider whether the revenue assurance National Grid is requiring of Lakewood for the new interconnection is appropriate.
PSC-06-16-00012-P exempt	Inclusion of a Farm and Food Community program in the community distributed generation program.	To consider the inclusion of a Farm and Food Community program in the community distributed generation program.
PSC-06-16-00013-P exempt	Continued deferral of approximately \$16,000,000 in site investigation and remediation costs.	To consider the continued deferral of approximately \$16,000,000 in site investigation and remediation costs.
PSC-06-16-00014-P exempt	MEGA's proposed demonstration CCA program.	To consider MEGA's proposed demonstration CCA program.
PSC-07-16-00016-P exempt	Use of the Electro Industries Shark 200 electric submeter in residential applications	To consider the use of the Electro Industries Shark 200 submeter
PSC-07-16-00018-P exempt	The use of the Open Way Centron 3.5 commercial meter, with 4G LTE cellular or modem communications for electric metering	To consider the use of the Itron Open Way Centron 3.5 meter
PSC-08-16-00007-P exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of BOP MW Residential Market LLC and BOP MW Residential Affordable LLC to submeter electricity.
PSC-11-16-00013-P exempt	Leakage survey and corrosion inspection requirements	To establish protocols and timeframes for completing leakage surveys and corrosion inspections on gas service lines
PSC-11-16-00016-P exempt	Notice of Intent to submeter electricity	To consider the Notice of Intent of 504 Myrtle Residential Owner LLC to submeter electricity at 504 Myrtle Avenue, Brooklyn, NY

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-11-16-00017-P exempt	Notice of Intent to submeter electricity	To consider the Notice of Intent of 140 West Street Condominium to submeter electricity at 100 Barclay Street, New York, NY
PSC-11-16-00018-P exempt	Rolling Meadows Water Corporation's rates for the provision of water	To consider an increase in Rolling Meadows Water Corporation's annual water revenues by approximately \$169,841 or 34.05%
PSC-12-16-00003-P exempt	The use of the GE Energy low voltage transformers	To consider the use of the GE Energy low voltage transformers
PSC-12-16-00004-P exempt	The option to opt out of using an AMR device, and substitute an electro-mechanical meter, at no additional charge	To consider the option to opt out of using an AMR device, and substitute an electro-mechanical meter, at no additional charge
PSC-12-16-00005-P exempt	Notice of Intent to submeter electricity	To consider the Notice of Intent of 3475 Third Avenue Owner Realty LLC to submeter electricity at 3475 Third Avenue, Bronx, NY
PSC-12-16-00007-P exempt	Deferral of incremental costs incurred in 2015 associated with increased gas leak response and repair activities	To consider a petition by Con Edison to defer certain incremental costs associated with gas leak response and repair activities
PSC-12-16-00008-P exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of Promenade Global LLC to submeter electricity at 150 West 225th Street, Bronx, New York.
PSC-13-16-00008-P exempt	Standby rate exemption for Offset Tariff customers	Consideration of the standby rate exemption for Offset Tariff customers
PSC-13-16-00009-P exempt	Notice of Intent to submeter electricity	To consider the Notice of Intent of Franklin Place Condominium to submeter electricity at 5 Franklin Place, New York, New York
PSC-14-16-00007-P exempt	Regulation of customer name changes on pending interconnection applications for grandfathered projects.	To consider regulation of customer name changes on pending interconnection applications for grandfathered projects.
PSC-14-16-00008-P exempt	Resetting retail markets for ESCO mass market customers.	To ensure consumer protections with respect to residential and small non-residential ESCO customers.
PSC-15-16-00010-P exempt	Proposed financial incentives for projects undertaken through the Targeted Demand Management program	To consider financial incentives for projects undertaken through the Targeted Demand Management program
PSC-15-16-00012-P exempt	Adequate service of Verizon New York, Inc.	To consider the adequacy of Verizon New York Inc.'s service quality
PSC-17-16-00004-P exempt	Major electric rate filing	To consider an increase in Con Edison's electric delivery revenues of approximately \$482 million or 9.5%
PSC-17-16-00005-P exempt	Major gas rate filing	To consider an increase in KEDNY's gas delivery revenues by approximately \$290 million or 32%
PSC-17-16-00006-P exempt	Proposal to revise General Rule 20 Standby Service	To consider proposed tariff revisions related to standby service multi-party offset under General Rule 20

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-17-16-00007-P exempt	Major gas rate filing	To consider an increase in Con Edison's gas delivery revenues of approximately \$154 million or 13.4%
PSC-17-16-00008-P exempt	Major gas rate filing	To consider an increase in KEDLI's gas delivery revenues by approximately \$175 million or 27%
PSC-18-16-00013-P exempt	Amendments to the Uniform Business Practices of ESCOs.	To ensure consumer protection for ESCO customers.
PSC-18-16-00014-P exempt	Amendments to the Uniform Business Practices of ESCOs.	To ensure consumer protection for ESCO customers.
PSC-18-16-00015-P exempt	Petitions for rehearing of the Order Resetting Retail Energy Markets and Establishing Further Process.	To ensure consumer protections for ESCO customers.
PSC-18-16-00016-P exempt	Amendments to the Uniform Business Practices of ESCOs.	To ensure consumer protection for ESCO customers.
PSC-18-16-00018-P exempt	Amendments to the Uniform Business Practices of ESCOs.	To ensure consumer protection for ESCO customers.
PSC-19-16-00010-P 05/11/17	Technical Amendments of State regulations	To align State regulations with their corollary Federal regulations
PSC-19-16-00011-P exempt	Public Street Lighting - LED Options	To consider the addition of LED options to O&R's SC No. 4 - Public Street Lighting
PSC-19-16-00012-P exempt	Proposed corporate reorganization and transfer of ownership interests between members in Cricket Valley Energy Center, LLC	To consider corporate reorganization and transfer of ownership interests between members in Cricket Valley Energy Center, LLC
PSC-20-16-00008-P exempt	Consideration of consequences against Global Energy Group, LLC for violations of the Uniform Business Practices (UBP).	To consider consequences against Global Energy Group, LLC for violations of the Uniform Business Practices (UBP).
PSC-20-16-00009-P exempt	Standards for affiliate relationships.	To consider whether to permit the expansion of employees who are permitted to perform services on behalf of affiliates.
PSC-20-16-00010-P exempt	Deferral and recovery of incremental expense.	To consider deferring costs of conducting leak survey and repairs for subsequent recovery.
PSC-20-16-00011-P exempt	Enetics LD-1120 Non-Intrusive Load Monitoring Device in the Statewide Residential Appliance Metering Study.	To consider the use of the Enetics LD-1120 Non-Intrusive Load Monitoring Device.
PSC-21-16-00008-P exempt	GE I-210+c with Silver Spring Network Interface Card (NIC) 510	To consider the use of the GE I-210+c with Silver Spring Networks Interface Card (NIC) 510
PSC-22-16-00010-P exempt	Notice of Intent to submeter electricity and waiver of 16 NYCRR § 96.5(k)(3).	To consider the Notice of Intent to submeter electricity and waiver of 16 NYCRR § 96.5(k)(3).
PSC-22-16-00011-P exempt	Petition for rehearing of the Order Modifying Standardized Interconnection Requirements and alternative enforcement mechanisms.	To ensure compliance with the Standardized Interconnection Requirements.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-22-16-00013-P exempt	Disposition of tax refunds and other related matters.	To consider the disposition of tax refunds and other related matters.
PSC-23-16-00009-P exempt	Transfer of assets and dissolution of Birch Hill Water Company Inc.	To consider the transfer of assets and dissolution of the Birch Hill Water Company Inc.
PSC-23-16-00010-P exempt	Minor water rate filing	To consider an increase in Pheasant Hill Water Corporation's annual water revenues by approximately \$66,325 or 126%
PSC-23-16-00011-P exempt	Notification concerning tax refunds	To consider Verizon New York Inc.'s request to retain a portion of a property tax refund
PSC-23-16-00013-P exempt	Acquisition of all of the assets of Beaver Dam Lake Water Corporation	To consider the acquisition of all assets of Beaver Dam Lake Water Corporation by New York American Water Company Inc.
PSC-24-16-00008-P exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent to submeter electricity at 220 Central Park South, New York, New York.
PSC-24-16-00009-P exempt	Petition to submeter gas service.	To consider the Petition of New York City Economic Development Corp. to submeter gas at Pier 17, 89 South Street, New York, NY.
PSC-25-16-00008-P exempt	Consideration of the Avangrid Implementation Plan and audit recommendations.	To consider Avangrid's Implementation Plan.
PSC-25-16-00009-P exempt	To delay Companies' third-party assessments of customer personally identifiable information until 2018.	To extend the time period between the Companies' third-party assessments of customer personally identifiable information.
PSC-25-16-00010-P exempt	Consideration of Consolidated Edison Company of New York, Inc.'s Implementation Plan and audit recommendations.	To consider Consolidated Edison Company of New York, Inc.'s Implementation Plan.
PSC-25-16-00014-P exempt	Consideration of the National Grid companies' Implementation Plan and audit recommendations.	To consider the National Grid companies' Implementation Plan.
PSC-25-16-00015-P exempt	Consideration of the National Fuel Gas Distribution Corporation Implementation Plan and audit recommendations.	To consider National Fuel Gas Distribution Corporation's Implementation Plan.
PSC-25-16-00016-P exempt	Consideration of the Orange and Rockland Utilities, Inc. Implementation Plan and audit recommendations.	To consider Orange and Rockland Utilities, Inc.'s Implementation Plan.
PSC-25-16-00017-P exempt	Consideration of the Central Hudson Gas & Electric Corporation Implementation Plan and audit recommendations.	To consider Central Hudson Gas & Electric Corporation's Implementation Plan.
PSC-25-16-00018-P exempt	Proposed Community Choice Aggregation Data Security Agreement.	To ensure appropriate consumer protections in Community Choice Aggregation programs.
PSC-25-16-00019-P exempt	Revision of customer service metrics.	To consider revisions to customer service metrics previously approved by the Commission.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-25-16-00020-P exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of Gemini Residential, LLC to submeter electricity at 225 East 39th Street, New York, New York.
PSC-25-16-00021-P exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of 28th Highline Associates, LLC to submeter electricity at 520 West 28th Street, New York, NY.
PSC-25-16-00022-P exempt	Transfer of ownership interests in Crestwood Pipeline East LLC.	Consideration of transfer of ownership interests in Crestwood Pipeline East LLC.
PSC-25-16-00023-P exempt	Use of the Elster Solutions Energy Axis transponder.	To consider the use of the Elster Solutions Energy Axis transponder.
PSC-25-16-00024-P exempt	Pole Attachment Rules.	To determine that the Commission's existing pole attachment rules apply to wireless providers.
PSC-25-16-00025-P exempt	Acquisition of all water supply assets of Woodbury Heights Estates Water Co., Inc. by the Village of Kiryas Joel.	To consider acquisition of all water supply assets of Woodbury Heights Estates Water Co., Inc. by the Village of Kiryas Joel.
PSC-25-16-00026-P exempt	Use of the Badger E Series Ultrasonic Cold Water Stainless Steel Meter, in residential fire service applications.	To consider the use of the Badger E Series Ultrasonic Cold Water Stainless Steel Meter in fire service applications.
PSC-25-16-00027-P exempt	Use of the Badger Meter HR E LCD High Resolution E Series Encoder Register.	To consider the use of the Badger Meter HR E LCD High Resolution E Series Encoder Register.
PSC-25-16-00028-P exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of 421 Kent Development LLC to submeter electricity at 60 South 8th Street, Brooklyn, New York.
PSC-25-16-00029-P exempt	Use of the Orion Water Endpoints meter reading system.	To consider the use of the Orion Water Endpoints.
PSC-26-16-00019-P exempt	Major water rate filing.	To consider a proposal to increase annual base rates by approximately \$11.6 million or 13.7%.
PSC-26-16-00021-P exempt	To extend the implementation date for its retail access program cash-out process.	To consider an extension for the implementation of the retail access program cash-out process.
PSC-28-16-00013-P exempt	Initial Tariff Schedule which includes rates, charges, rules and regulations for water service.	To consider the proposed Initial Tariff Schedule and initial rate for water service.
PSC-28-16-00015-P exempt	Major water rate filing.	To consider a proposal to increase revenues by approximately \$8.49 million or 8.3% and consolidate tariffs and rates.
PSC-28-16-00016-P exempt	A petition for reconsideration of the Order Adopting a Ratemaking and Utility Revenue Model Policy Framework.	To determine appropriate rules for and calculation of the distributed generation reliability credit.
PSC-28-16-00017-P exempt	A petition for rehearing of the Order Adopting a Ratemaking and Utility Revenue Model Policy Framework.	To determine appropriate rules for and calculation of the distributed generation reliability credit.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-29-16-00021-P exempt	Use of the Silver Spring Network Commercial Gas Interface Management Unit - IMU 200.	To consider the use of the Silver Spring Network Commercial Gas Interface Management Unit - IMU 200.
PSC-29-16-00022-P exempt	Petitions for Rehearing of the Commission's Order Adopting Low Income Program Modifications and Directing Utility Filings.	To establish rates, terms, and conditions for low income utility programs.
PSC-29-16-00023-P exempt	Use of the Silver Spring Network Residential Gas Interface Management Unit - IMU 300 and IMU 300A.	To consider the use of the Silver Spring Network Residential Gas Interface Management Unit - IMU 300 and IMU 300A.
PSC-29-16-00024-P exempt	Participation of NYPA customers in surcharge-funded clean energy programs.	To consider participation of NYPA customers in surcharge-funded clean energy programs.
PSC-29-16-00025-P exempt	Proposed modifications to gas safety violations metric adopted in Case 12-G-0202.	To consider NMPC's petition to modify gas safety violations metric.
PSC-30-16-00005-P exempt	Notice of Intent to submeter electricity	To consider the Notice of Intent of 616 First Avenue LLC to submeter electricity at 626 First Avenue, New York, New York
PSC-30-16-00006-P exempt	The application of NYSEG's tariff to a remote net metering host account owned by Cornell University	To determine the appropriate tariff treatment for the Cornell account
PSC-30-16-00007-P exempt	The Municipal Electric and Gas Alliance's Community Choice Aggregation Implementation Plan	To ensure appropriate consumer protections
PSC-31-16-00004-P exempt	Proposed acquisition of 100% of the assets of WBA by NYAW and to address other matters related to the acquisition.	To consider the proposed acquisition of all assets of WBA by NYAW and other matters related to the acquisition.
PSC-32-16-00003-P exempt	Performance Assurance Plan waiver for certain wholesale service quality metrics.	To consider Verizon's waiver petition concerning certain wholesale service quality results.
PSC-32-16-00004-P exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of 58 Corner LLC to submeter electricity at 600 W. 58th Street, New York, New York.
PSC-32-16-00005-P exempt	Major gas rate filing.	To consider an increase in National Fuel's gas delivery revenues of approximately \$41.7 million or 15.27%.
PSC-32-16-00007-P exempt	Utility DSIPs to achieve the Commission's Reforming the Energy Vision (REV) initiative.	Development of utility DSIPs for improving utility planning and operations functions under REV.
PSC-32-16-00008-P exempt	Proposed revisions to add and clarify provisions related to electric generators under SC No. 14.	To consider revisions to SC No. 14 - Daily Balancing Service.
PSC-32-16-00009-P exempt	Proposed acquisition of 100% of the assets of New Vernon and Whitlock Farms by NYAW.	To consider the proposed acquisition of assets of New Vernon and Whitlock Farms by NYAW.
PSC-32-16-00010-P exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent to submeter electricity at 30 Park Place, New York, New York.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-32-16-00011-P exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent to submeter electricity at 138-35 39th Avenue, Flushing, New York.
PSC-32-16-00012-P exempt	Benefit-Cost Analysis Handbooks.	To evaluate proposed methodologies of benefit-cost evaluation.
PSC-33-16-00001-EP 08/17/17	Use of escrow funds for repairs.	To authorize the use of escrow account funds for repairs.
PSC-33-16-00003-P exempt	Use of the Silver Spring Network communication device in utility metering applications.	To consider the use of the Silver Spring Network communication device.
PSC-33-16-00004-P exempt	Design and implementation of Low-Income Energy Efficiency Program proposed by Massena Electric Department.	To consider the design and implementation of a Low-Income Energy Efficiency Program proposed by Massena Electric Department.
PSC-33-16-00005-P exempt	Exemption from certain charges for delivery of electricity to its Niagara Falls, New York facility.	Application of System Benefits Charges, Renewable Portfolio Standard charges and Clean Energy Fund surcharges.
PSC-33-16-00006-P exempt	Lightened regulatory regime applicable to Indeck Corinth Limited Partnership.	To determine the extent to which Indeck Corinth Limited Partnership will be regulated under the Public Service Law.
PSC-34-16-00004-P exempt	Proposed revisions to the General Information Section III.8(W) - AMR/AMI Meter Opt-out.	To consider revisions to AMR/AMI meter opt-out and manual meter reading charge provisions.
PSC-34-16-00005-P exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
PSC-34-16-00006-P exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
PSC-34-16-00007-P exempt	Proposed revisions to the General Rule 6.10 - AMR/AMI Meter Opt-out.	To consider revisions to AMR/AMI meter opt-out and manual meter reading charge provisions.
PSC-34-16-00008-P exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
PSC-34-16-00009-P exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
PSC-34-16-00010-P exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
PSC-34-16-00011-P exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
PSC-34-16-00012-P exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-34-16-00013-P exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
PSC-34-16-00014-P exempt	Petition to submeter electricity.	To consider the petition of Elmo Homes, Inc. to submeter electricity at 728 41st Street, Brooklyn, New York.
PSC-34-16-00015-P exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
PSC-34-16-00016-P exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of Snowplow LH LLC to submeter electricity at 252 East 57th Street, New York, NY.
PSC-34-16-00017-P exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of 212 Fifth Avenue Venture LLC to submeter electricity at 212 Fifth Avenue, New York, NY.
PSC-34-16-00018-P exempt	Standby Service.	To consider the implementation of a standby reliability credit and an offset tariff provision.
PSC-34-16-00019-P exempt	Standby Service.	To consider the implementation of a standby reliability credit and an offset tariff provision.
PSC-34-16-00020-P exempt	Standby Service.	To consider the implementation of a standby reliability credit and an offset tariff provision.
PSC-34-16-00021-P exempt	Standby Service.	To consider the implementation of a standby reliability credit and an offset tariff provision.
PSC-34-16-00022-P exempt	Standby Service.	To consider the implementation of a standby reliability credit and an offset tariff provision.
PSC-35-16-00014-P exempt	Proposed acquisition of 100% of the assets of Hoey-DeGraw by NYAW and to address other matters related to the acquisition	To consider the proposed acquisition of 100% of assets of Hoey-DeGraw by NYAW and other matters related to the acquisition
PSC-35-16-00015-P exempt	NYSRC's revisions to its rules and measurements	To consider revisions to various rules and measurements of the NYSRC
PSC-36-16-00003-P exempt	Petition regarding the Commission's July 14, 2016 Order Denying Petition.	To consider the terms and conditions of utility service received by Fastrac Markets, LLC.
PSC-36-16-00004-P exempt	Recovery of costs for installation of electric service.	To consider the recovery of costs for installation of electric service.
PSC-36-16-00005-P exempt	Disposition of tax refunds received by New York American Water Company, Inc.	To determine the disposition of tax refunds and other related matters.
PSC-37-16-00008-P exempt	Sources and mechanisms of funding related to the Clean Energy Standard.	To promote and maintain renewable and zero-emission electric energy resources.
PSC-37-16-00009-P exempt	Transfer of the James A. FitzPatrick Nuclear Power Plant from Entergy Nuclear FitzPatrick, LLC to Exelon Generation Company, LLC	To ensure safe and adequate electric generation facilities.
PSC-37-16-00010-P exempt	Zero Emission Credit requirement of the Clean Energy Standard.	To avoid adverse air emissions from fossil-fueled generation that would replace nuclear generation.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-37-16-00011-P exempt	Temperature Controlled and Interruptible Provisions.	To consider proposed revisions to tariff provisions related to temperature controlled and interruptible customers.
PSC-37-16-00012-P exempt	Sources and mechanisms of funding related to the Clean Energy Standard.	To promote and maintain renewable and zero-emission electric energy resources.
PSC-37-16-00013-P exempt	Temperature Controlled and Interruptible Provisions.	To consider proposed revisions to tariff provisions related to temperature controlled and interruptible customers.
PSC-37-16-00014-P exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent to submeter electricity at 301 East 61st Street, New York, New York.
PSC-37-16-00015-P exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of 10 Sullivan Condominium to submeter electricity at 10 Sullivan Street, New York, New York.
PSC-38-16-00005-P exempt	Disposition of tax refunds and other related matters	To consider the disposition of tax refunds and other related matters
PSC-38-16-00006-P exempt	Request for waiver of the individual metering requirements of Opinion 76-17 and 16 NYCRR Part 96	To consider the request for waiver of the individual metering requirements of Opinion 76-17 and 16 NYCRR Part 96
PSC-38-16-00008-P exempt	The capacity limit for net energy metering of farm waste electric generating equipment	Increase in the capacity threshold, from 1 MW to 2 MW, for net energy metering of farm waste electric generation
PSC-38-16-00009-P exempt	Disposition of tax refunds and other related matters	To consider the disposition of tax refunds and other related matters
PSC-39-16-00012-P exempt	The Clean Energy Standard.	To promote and maintain renewable and zero-emission electric energy resources.
PSC-39-16-00013-P exempt	The Clean Energy Standard.	To promote and maintain renewable and zero-emission electric energy resources.
PSC-39-16-00014-P exempt	The Clean Energy Standard.	To promote and maintain renewable and zero-emission electric energy resources.
PSC-39-16-00015-P exempt	The Clean Energy Standard.	To promote and maintain renewable and zero-emission electric energy resources.
PSC-39-16-00016-P exempt	The Clean Energy Standard.	To promote and maintain renewable and zero-emission electric energy resources.
PSC-39-16-00017-P exempt	The Clean Energy Standard.	To promote and maintain renewable and zero-emission electric energy resources.
PSC-39-16-00018-P exempt	The Clean Energy Standard.	To promote and maintain renewable and zero-emission electric energy resources.
PSC-39-16-00019-P exempt	The Clean Energy Standard.	To promote and maintain renewable and zero-emission electric energy resources.
PSC-39-16-00020-P exempt	The Clean Energy Standard.	To promote and maintain renewable and zero-emission electric energy resources.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-39-16-00021-P exempt	The Clean Energy Standard.	To promote and maintain renewable and zero-emission electric energy resources.
PSC-39-16-00022-P exempt	The Clean Energy Standard.	To promote and maintain renewable and zero-emission electric energy resources.
PSC-39-16-00023-P exempt	The Clean Energy Standard.	To promote and maintain renewable and zero-emission electric energy resources.
PSC-39-16-00024-P exempt	The Clean Energy Standard.	To promote and maintain renewable and zero-emission electric energy resources.
PSC-39-16-00025-P exempt	The Clean Energy Standard.	To promote and maintain renewable and zero-emission electric energy resources.
PSC-39-16-00026-P exempt	The Clean Energy Standard.	To promote and maintain renewable and zero-emission electric energy resources.
PSC-39-16-00027-P exempt	The Clean Energy Standard.	To promote and maintain renewable and zero-emission electric energy resources.
PSC-39-16-00028-P exempt	Consolidated Edison Company of New York, Inc.'s replevin acts and practices.	To review Consolidated Edison Company of New York, Inc.'s replevin acts and practices.
PSC-39-16-00029-P exempt	Minor rate filing.	To consider an increase in annual revenues of about \$158,709 or 20%.
PSC-40-16-00001-EP exempt	Prohibition on enrollments, and de-enrollment requirements, on energy service companies (ESCOs) regarding low-income customers.	To protect low-income residential customers from unnecessary costs and to conserve low-income assistance program funds.
PSC-40-16-00003-P exempt	Low income program implementation plan filed by New York State Electric and Gas Corp. and Rochester Gas & Electric Corp.	To establish rates, terms, and conditions for the Companies' low income utility programs.
PSC-40-16-00004-P exempt	Low income program implementation plan filed by KeySpan Gas East Corp. d/b/a National Grid.	To establish rates, terms, and conditions for the Company's low income utility programs.
PSC-40-16-00005-P exempt	Cost recovery for Non-Wire Alternative (NWA) Project.	To consider Central Hudson's proposed revisions regarding the recovery of costs and incentives associated with NWA Project.
PSC-40-16-00006-P exempt	Petition to waive the ECAM proration billing method for SC No. 5 customers.	To consider the request of Central Hudson to waive the ECAM proration billing method for SC No. 5 customers.
PSC-40-16-00007-P exempt	Low income program implementation plan filed by National Fuel Gas Distribution Corporation.	To establish rates, terms, and conditions for the Company's low income utility programs.
PSC-40-16-00008-P exempt	Low income program implementation plan filed by Consolidated Edison Company of New York, Inc.	To establish rates, terms, and conditions for the Company's low income utility programs.
PSC-40-16-00009-P exempt	Low income program implementation plan filed by Niagara Mohawk Power Corporation.	To establish rates, terms, and conditions for the Company's low income utility programs.
PSC-40-16-00010-P exempt	Low income program implementation plan filed by Orange and Rockland Utilities, Inc..	To establish rates, terms, and conditions for the Company's low income utility programs.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-40-16-00011-P exempt	Low income program implementation plan filed by the Brooklyn Union Gas Company d/b/a National Grid NY.	To establish rates, terms, and conditions for the Company's low income utility programs.
PSC-40-16-00012-P exempt	Low income program implementation plan filed by Central Hudson Gas & Electric Corporation.	To establish rates, terms, and conditions for the Company's low income utility programs.
PSC-40-16-00013-P exempt	Surcharge to recover costs of Dynamic Load Management Programs.	To consider a surcharge to recover costs of the Dynamic Load Management Programs.
PSC-40-16-00014-P exempt	Surcharge to recover costs of Dynamic Load Management Programs.	To consider a surcharge to recover costs of the Dynamic Load Management Programs.
PSC-40-16-00015-P exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent to submeter electricity at 175 Huguenot Street, New Rochelle, New York.
PSC-40-16-00016-P exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent to submeter electricity at 301 East 50th Street, New York, New York.
PSC-40-16-00017-P exempt	Request for waiver of 16 NYCRR sections 96.5(a) and 96.6(b)	To consider the request for waiver of 16 NYCRR sections 96.5(a) and 96.6(b)
PSC-40-16-00018-P exempt	Petition for commercial electric meter.	To consider the petition to use the Itron OpenWay Riva commercial meter in electric metering applications.
PSC-40-16-00019-P exempt	Surcharge to recover costs of Dynamic Load Management Programs.	To consider a surcharge to recover costs of the Dynamic Load Management Programs.
PSC-40-16-00020-P exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of 501 Broadway Troy, LLC to submeter electricity at 501 Broadway, Troy, New York.
PSC-40-16-00021-P exempt	Surcharge to recover costs of Dynamic Load Management Programs.	To consider a surcharge to recover costs of the Dynamic Load Management Programs.
PSC-40-16-00022-P exempt	The addition of LED lighting options to SC No. 4 - Off-Street Lighting and SC No. 5 - Municipal Street Lighting Service.	To consider the addition of LED lighting options for Jamestown's street and off-street lighting service classifications.
PSC-40-16-00023-P exempt	Major gas rate filing.	To consider an increase in Corning's gas delivery revenues of approximately \$5.9 million or 44.7%.
PSC-40-16-00024-P exempt	Tariff revisions regarding National Grid's LED lighting option wattages.	To consider National Grid's proposed revisions updating its LED lighting option wattages in its street lighting tariff.
PSC-40-16-00025-P exempt	Consequences pursuant to the Commission's Uniform Business Practices (UBP).	To consider whether to impose consequences on Smart One for its apparent non-compliance with Commission requirements.
PSC-40-16-00026-P exempt	Compliance filing establishing an interruptible gas service sales rate.	To consider RG&E's proposed revisions to establish an interruptible gas service sales rate.
PSC-40-16-00027-P exempt	Consequences pursuant to the Commission's Uniform Business Practices (UBP).	To consider whether to impose consequences on Marathon for its apparent non-compliance with Commission requirements.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-40-16-00028-P exempt	Consequences pursuant to the Commission's Uniform Business Practices (UBP).	To consider whether to impose consequences on ABC for its apparent non-compliance with Commission requirements.
PSC-41-16-00015-P exempt	To consider proposed amendments to the original criteria to grandfathering established in the Transition Plan	To modify the Transition Plan in response to new and unanticipated conditions
PSC-41-16-00016-P exempt	Proposed revision to Rule 25.5 - Meter Reading (Rule 25.5)	To consider a revision to Rule 25.5 regarding the costs for telephone circuits for distributed generation projects
PSC-41-16-00017-P exempt	Utility tariffs to implement the Clean Energy Standard	To promote and maintain renewable and zero-emission electric energy resources
PSC-41-16-00018-P exempt	Rider T - Commercial Demand Response Programs (Rider T)	To consider modifications to Rider T regarding its Commercial System Relief Program and Distribution Load Relief Program
PSC-42-16-00005-EP exempt	Appointment of a temporary operator for Whitlock Farms Water Company and New Vernon Water Company	To ensure the provision of safe and adequate water service to customers by appointment of a temporary operator
PSC-42-16-00007-P exempt	New communications protocols for interruptible customers.	To establish new communications protocols to ensure that interruptible customers have sufficient back-up fuel.
PSC-42-16-00008-P exempt	Annual Reconciliation of Gas Expenses and Gas Cost Recoveries.	To consider filings of LDCs and municipalities regarding their Annual Reconciliation of Gas Expenses and Gas Cost Recoveries.
PSC-42-16-00009-P exempt	Petition to submeter electricity.	To consider the petition to submeter electricity at 549-561 41st Street, Brooklyn, New York.
PSC-42-16-00010-P exempt	Request for a limited waiver of certain tariff provisions.	To consider a request for a limited waiver of the tariff's unauthorized gas usage and non-compliance penalty provisions.
PSC-42-16-00011-P exempt	Petition for modifications to the New York State Standardized Interconnection Requirements and Application Process.	To update the SIR to clear the backlog, implement cost sharing, and streamline interconnection.
PSC-42-16-00012-P exempt	Transfer of certain streetlights located in the Town of Orangetown.	To consider the transfer of certain streetlights from Orange and Rockland to the Town of Orangetown.
PSC-42-16-00013-P exempt	Annual Reconciliation of Gas Expenses and Gas Cost Recoveries.	To consider a request for a waiver of certain tariff provisions and 16 NYCRR Section 720-6.5(g).
PSC-42-16-00014-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-43-16-00003-P exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of Haus LLC to submeter electricity at 152 Freeman Street, Brooklyn, New York.
PSC-43-16-00004-P exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of 50 West Street Condominium to submeter electricity at 50 West Street, New York, New York.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-43-16-00005-P exempt	NYSRC's revisions to its rules and measurements.	To consider revisions to various rules and measurements of the NYSRC.
PSC-44-16-00010-EP exempt	Use of escrow funds for repairs.	To condition the use of escrow account funds for repairs.
PSC-44-16-00015-P exempt	Surcharge to recover costs of Dynamic Load Management Programs	To consider a surcharge to recover costs of the Dynamic Load Management Programs
PSC-44-16-00016-P exempt	Consideration of comments made by NFG regarding the audit process and the use of guidance documents in regulation	To consider NFG's arguments and if the Commission should modify its practices
PSC-44-16-00017-P exempt	Valuation of and compensation for electricity generated by distributed resources	To implement framework that will benefit ratepayers and customer-generators and further State policy
PSC-44-16-00018-P exempt	Notice of Intent to submeter electricity	To consider the Notice of Intent to submeter electricity at 325 Kent Avenue, Brooklyn, New York
PSC-44-16-00019-P exempt	Transfer of certain streetlights located in the City of Kingston	To consider the transfer of certain streetlights from Central Hudson to the City of Kingston
PSC-44-16-00020-P exempt	Transfer of a parcel of property located in the Town of North Castle	To consider the transfer of a parcel of property from Con Edison to the Town of North Castle
PSC-44-16-00021-P exempt	Minor rate filing of Municipal Commission of Boonville	To consider an increase in annual revenues of about \$161,477 or 4.2%
PSC-45-16-00007-P exempt	Proposed debt financing for CCI Rensselaer LLC.	To consider proposed debt financing for CCI Rensselaer LLC.
PSC-45-16-00008-P exempt	Petition to use a commercial electric meter.	To consider the petition to use the Landis+Gyr S4X Commercial Meter with Gridstream Series 5 RF Mesh IP AMI.
PSC-45-16-00009-P exempt	Petition to use a residential gas meter.	To consider the petition to use the Elster/American AT210TC gas meter in residential applications.
PSC-45-16-00010-P exempt	Petition to use a residential gas meter.	To consider the petition to use the Sensus RT230TC temperature compensated gas meter in residential applications.
PSC-45-16-00011-P exempt	Petition to use a residential electric meter.	To consider the petition to use the Landis+Gyr Focus AXe Meter with Gridstream Series 5 RF Mesh IP AMI.
PSC-45-16-00012-P exempt	Disposition of property tax benefits.	To consider the disposition of property tax benefits.
PSC-45-16-00013-P exempt	Financial incentives to create customer savings and develop market-enabling tools, with a focus on outcomes and incentives.	To consider the Interconnection Survey Process and Proposed Earnings Adjustment Mechanism.
PSC-45-16-00014-P exempt	Disposition of property tax benefits.	To consider the disposition of property tax benefits.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-45-16-00015-P exempt	Arbor Hills Water Works Inc.'s rates for the provision of water.	To consider an increase in Arbor Hills Water Works Inc.'s annual water revenues by approximately \$36,500 or 45%.
PSC-45-16-00016-P exempt	Bonville Water Company Inc.'s rates for the provision of water.	To consider an increase in Bonville Water Company Inc.'s annual water revenues by approximately \$25,000 or 45%.
PSC-45-16-00017-P exempt	Knolls Water Co., Inc.'s rates for the provision of water.	To consider an increase in Knolls Water Co., Inc.'s annual water revenues by approximately \$26,600 or 45%.
PSC-45-16-00018-P exempt	Proposed water supply agreement between NYAW and Glen Cove.	To consider the proposed water supply agreement between NYAW and Glen Cove.
PSC-46-16-00008-P exempt	Consideration of the NYISO's AC Transmission Public Policy Transmission Need (PPTN) Viability and Sufficiency Assessment.	To consider whether NYISO should proceed to further evaluate solutions to a AC Transmission PPTN.
PSC-46-16-00009-P exempt	Waiver of the ten-member minimum for CDG projects in appropriate circumstances.	Consideration of appropriate treatment of small CDG projects on multi-resident properties.
PSC-46-16-00010-P exempt	Proposed modifications to the Phase III Storm Hardening Order.	To consider modifications to the Phase III Storm Hardening Order.
PSC-46-16-00011-P exempt	Excess generation credits held by CDG project sponsors at the end of an annual billing period.	Consideration of appropriate treatment of excess generation credits.
PSC-46-16-00012-P exempt	Implementation program rules for the Renewable Energy Standard (RES) and Zero-Emission Credit (ZEC) requirement.	To promote and maintain renewable and zero-emission electric energy resources.
PSC-46-16-00013-P exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of Hudson Cornell Tech LLC, to submeter electricity at 1 East Loop Road, New York, New York.
PSC-46-16-00014-P exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of 846 6th Avenue Venture, to submeter electricity at 50 West 30th Street, New York, New York.
PSC-46-16-00015-P exempt	The eligibility of street lighting and area lighting accounts for remote net metering.	Consideration of eligibility for remote net metering.
PSC-46-16-00016-P exempt	Tariff revisions regarding Central Hudson's LED lighting options under its service classifications, SC No. 5 and SC No. 8.	To consider revisions to Central Hudson's LED lighting options in area lighting and street lighting service classifications.
PSC-46-16-00017-P exempt	Tariff revisions regarding Central Hudson's traffic signal service classification, SC No. 9.	To consider revisions to Central Hudson's traffic signal service classification.
PSC-46-16-00018-P exempt	Con Edison's proposed pilot shared solar program for low-income customers.	Consideration of the authorization and appropriate design of a utility-owned low-income shared solar program.
PSC-47-16-00009-P exempt	Petition to use commercial electric meters	To consider the petition of Itron, Inc. to use the Itron CP2SO and CP2SOA in commercial electric meter applications
PSC-47-16-00010-P exempt	Standby Service rate design	To consider the report filed and the recommendations therein

Action Pending Index**NYS Register/November 30, 2016**

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-47-16-00011-P exempt	Petition to use residential electric meters	To consider the petition of Itron, Inc. to use the Itron C2SRD and CN2SRD in residential electric meter applications
PSC-47-16-00012-P exempt	Lease of real property	To consider NYSEG's request to lease a portion of certain real property to Allied Dog Training, LLC
PSC-47-16-00013-P exempt	Standby Service rate design	To consider the report filed and the recommendations therein
PSC-47-16-00014-P exempt	Standby Service rate design	To consider the report filed and the recommendations therein
PSC-47-16-00015-P exempt	Joint Utilities' SDSIP to achieve the Commission's Reforming the Energy Vision (REV) initiative	Development of utilities' joint SDSIP for improving utility planning and operations functions under REV
PSC-47-16-00016-P exempt	Standby Service rate design	To consider the report filed and the recommendations therein
PSC-48-16-00004-P exempt	Extension of the air conditioning incentive programs application date.	To consider extending the application date for its air conditioning incentive programs.
PSC-48-16-00005-P exempt	Clarification of an Order Approving Tariff Amendments with Modifications, issued October 14, 2016 in Cases 15-E-0745, et al.	To consider the petition for clarification filed in Cases 15-E-0745, et al.
STATE, DEPARTMENT OF			
DOS-39-16-00005-P 09/28/17	Requirements regarding brokers receiving funds, course subjects and hours, and business cards	To provide clarity regarding brokers obligations when receiving compensation, instruction requirements, and business cards
DOS-40-16-00029-EP 11/21/17	Signs on buildings utilizing truss type, pre-engineered wood or timber construction	To update references
DOS-45-16-00019-P 11/09/17	Rules relating to political consultants	To prescribe the statutorily mandated form for political consultants and related regulations relating to political consultants
DOS-46-16-00007-P 01/03/18	Sugarhouse Alternative Activity Provisions	To allow sugarhouses to conduct alternative activities that will support the maple product industry
TAXATION AND FINANCE, DEPARTMENT OF			
TAF-48-16-00002-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, 2017 through March 31, 2017
TAF-48-16-00003-P 11/30/17	Division of Taxation and Finance Powers of Attorney	To simplify and expedite the process for filing Powers of Attorney with the Division of Taxation and Finance
TEMPORARY AND DISABILITY ASSISTANCE, OFFICE OF			
*TDA-46-15-00005-RP 02/15/17	Storage of furniture and personal belongings	Provide clarification regarding allowances for the storage of furniture and personal belongings

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
TEMPORARY AND DISABILITY ASSISTANCE, OFFICE OF			
TDA-36-16-00006-P	09/07/17	Supplemental Nutrition Assistance Program (SNAP)	Update State regulations to reflect federal requirements regarding the trafficking of SNAP benefits
TDA-37-16-00001-P	09/14/17	Child Support	To help ensure the State's compliance with federal rules for safeguarding confidential information, disclosing said information, where appropriate, to authorized persons and entities; and report delinquent child support payors to credit reporting agencies
TDA-37-16-00004-P	09/14/17	Public Assistance (PA) Use of Resources - General Policy	To update current PA resource exemptions related to automobiles
TDA-39-16-00006-P	09/28/17	Operational Plans for Uncertified Shelters for the Homeless	See attached
TDA-39-16-00010-EP	09/28/17	Standard Utility Allowances (SUAs) for the Supplemental Nutrition Assistance Program (SNAP)	These regulatory amendments set forth the federally mandated and approved SUAs as of 10/1/16
THRUWAY AUTHORITY, NEW YORK STATE			
THR-46-16-00022-P	11/16/17	Amend the Authority's toll rules to enhance violation enforcement on the Thruway System	To deter toll evasion
TRANSPORTATION, DEPARTMENT OF			
TRN-41-16-00001-P	10/12/17	Provisions applicable to administrative hearings in Office of Proceedings	Update of rules applicable to administrative hearings and repeal of obsolete provisions in Part 558
TRIBOROUGH BRIDGE AND TUNNEL AUTHORITY			
TBA-46-16-00021-P	11/16/17	Proposal to strengthen toll violation enforcement at TBTA bridges and tunnels	To deter toll evasion
WORKERS' COMPENSATION BOARD			
WCB-44-16-00011-P	11/02/17	Administrative Appeals	Update the process for requesting administrative review of decisions by a law judge

GUIDANCE DOCUMENTS

Not less than once each year, every agency shall submit to the Secretary of State for publication in the *State Register* a list of all Guidance Documents on which the agency currently relies [SAPA, section 202-e(1)]. However, an agency may be exempted from compliance with the requirements of SAPA section 202-e(1) if the agency has published on its website the full text of all Guidance Documents on which it currently relies [SAPA, section 202-e(2)].

Department of Taxation and Finance

The Department of Taxation and Finance has published the full text of all guidance documents on which said agency currently relies on at the following website <http://www.tax.ny.gov>

ADVERTISEMENTS FOR BIDDERS/CONTRACTORS

SEALED BIDS

PROVIDE LOAD BANK Marcy Correctional Facility Marcy, Oneida County

Sealed bids for Project No. Q1701-E, for Electrical Work, Provide Load Bank, Central Warehouse & Dispensing Facility, Marcy Correctional Facility, Old River Road, Marcy (Oneida County), NY, will be received by the Office of General Services (OGS), Design & Construction Group (D&C), Division of Contract Management, 35th Fl., Corning Tower, Empire State Plaza, Albany, NY 12242, on behalf of the Department of Corrections and Community Supervision, until 2:00 p.m. on Wednesday, December 14, 2016, when they will be publicly opened and read. Each bid must be prepared and submitted in accordance with the Instructions to Bidders and must be accompanied by a certified check, bank check, or bid bond in the amount of \$9,900 for E.

All successful bidders on a multiple trade project or the successful bidder on a single trade project will be required to furnish a Performance Bond and a Labor and Material Bond in the statutory form of public bonds required by Sections 136 and 137 of the State Finance Law, each for 100% of the amount of the Contract estimated to be between \$100,000 and \$250,000 for E.

Pursuant to State Finance Law § 139-j and § 139-k, this solicitation includes and imposes certain restrictions on communications between OGS D&C and a bidder during the procurement process. A bidder is restricted from making contacts from the earliest notice of intent to solicit offers through final award and approval of the Procurement Contract by OGS D&C and Office of the State Comptroller ("restricted period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law § 139-j(3)(a). Designated staff are Frank Peris and Carl Ruppert in the Division of Contract Management, telephone (518) 474-0203, fax (518) 473-7862 and John Lewyckyj, Deputy Director, Design & Construction Group, telephone (518) 474-0201, fax (518) 486-1650. OGS D&C employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four-year period, the bidder is debarred from obtaining governmental Procurement Contracts. Bidders responding to this Advertisement must familiarize themselves with the new Legislative and State Finance Law requirements and will be expected to affirm that they understand and agree to comply on the bid form. Further information about these requirements can be found within the project manual or at: <http://ogs.ny.gov/aboutogs/regulations/defaultAdvisoryCouncil.asp>.

The substantial completion date for this project is 120 days after the Agreement is approved by the Comptroller.

The only time prospective bidders will be allowed to visit the job site to take field measurements and examine existing conditions of the project area will be at 9:00 a.m. on December 1, 2016 at Central Warehouse & Dispensing Facility, Marcy Correctional Facility, 8891 Old River Road, Marcy, NY. Prospective bidders are urged to visit the site at this time. Prospective bidders or their representatives attending

the pre-bid site visit will not be admitted on facility grounds without proper photo identification. Note that parking restrictions and security provisions will apply and all vehicles will be subject to search.

Phone the office of Ashley Borza, (315) 736-5770 a minimum of 72 hours in advance of the date to provide the names of those who will attend the pre-bid site visit.

It is the policy of the State and the Office of General Services to encourage meaningful minority- and women-owned business enterprise participation in this project by contractors, subcontractors and suppliers under the Contract, and all bidders are expected to cooperate in implementing this policy. OGS hereby establishes an overall goal of 30% for MWBE participation, 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs). The total contract goal can be obtained by utilizing any combination of MBE and/or WBE participation for subcontracting and supplies acquired under this Contract.

The Office of General Services reserves the right to reject any or all bids.

The Bidding and Contract Documents for this Project are available on compact disc (CD) only, and may be obtained for an \$8.00 deposit per set, plus a \$2.00 per set shipping and handling fee. Contractors and other interested parties can order CD's on-line through a secure web interface available 24 hours a day, 7 days a week. Please use the following link at the OGS website for ordering and payment instructions: <http://www.ogs.ny.gov/bu/dc/esb/acquirebid.asp>.

For questions about purchase of bid documents, please send an e-mail to D&C.Plans@ogs.ny.gov, or call 1-877-647-7526.

For additional information on this project, please use the link below and then click on the project number: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>.

By *John D. Lewyckyj, Deputy Director*
OGS - Design & Construction Group

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 December 2016 will be conducted on December 13 and December 14 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 with live coverage available at <https://www.cs.ny.gov/commission/>.

For further information, contact: Office of Commission Operations, Department of Civil Service, Empire State Plaza, Agency Bldg. One, Albany, NY 12239, (518) 473-6598

PUBLIC NOTICE

Division of Criminal Justice Services Juvenile Justice Advisory Group

Pursuant to Public Officer Law § 104, the Division of Criminal Justice Services gives notice of a meeting of the New York State Juvenile Justice Advisory Group:

Date: December 6, 2016
Time: 10:30 a.m. - 3:00 p.m.
Place: Division of Criminal Justice Services
80 S. Swan St., 8th Fl., Rm. 532
Albany, NY 12210*

Video Conference with: New York State Executive Chamber, 633 Third Ave., 37th Floor, New York, NY 10017*

*Please note: This is a secure area. If you are planning to attend, please contact michelle.larimore@dcjs.ny.gov for security clearance.

For further information contact: Michelle Larimore, Agency

Program Aide, Office of Youth Justice Policy, Division of Criminal Justice Services, 80 S. Swan St., 8th Fl., Albany, NY 12210, e-mail: michelle.larimore@dcjs.ny.gov, (518) 457-3670, Fax (518) 457-7482

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 temporary rate adjustments to providers that are undergoing a closure, merger, consolidation, acquisition or restructuring themselves or other health care providers. These payments are authorized by § 2826 of the New York Public Health Law. This notice provides clarification to provisions previously noticed on February 24, 2016, moving these adjustments from institutional services to non-institutional services.

The temporary rate adjustment has been reviewed and approved for 52 providers with aggregate payment amounts totaling up to \$7,580,000 for the period March 1, 2016 through March 31, 2016 and \$9,420,000 for the period April 1, 2016 through March 31, 2017. The approved providers along with their individual estimated aggregate amounts include:

1. A.O Fox Memorial Hospital, up to \$255,000 SFY 15/16 and \$255,000 for SFY 16/17;
2. Adirondack Medical Center, up to \$75,000 SFY 15/16 and \$75,000 for SFY 16/17;
3. Alice Hyde Hospital Association, up to \$130,000 SFY 15/16 and \$130,000 for SFY 16/17;
4. Auburn Memorial Hospital, up to \$75,000 SFY 15/16 and \$75,000 for SFY 16/17;
5. Bassett Hospital of Schoharie County- Cobleskill Reg. up to \$75,000 SFY 15/16 and \$75,000 for SFY 16/17;
6. Brooks Memorial Hospital, up to \$245,000 SFY 15/16 and \$245,000 for SFY 16/17;
7. Canton-Potsdam Hospital, up to \$65,000 SFY 15/16 and \$65,000 for SFY 16/17;
8. Carthage Area Hospital, up to \$275,000 SFY 15/16 and \$275,000 for SFY 16/17;
9. Catskill Regional Hospital - Sullivan, up to \$255,000 SFY 15/16 and \$255,000 for SFY 16/17;
10. Catskill Regional Medical Center-Hermann Div, up to \$85,000 SFY 15/16 and \$85,000 for SFY 16/17;
11. Cayuga Medical Center-Ithaca, up to \$120,000 SFY 15/16 and \$120,000 for SFY 16/17;
12. Champlain Valley Physicians HMC, up to \$75,000 SFY 15/16 and \$75,000 for SFY 16/17;
13. Chenango Memorial Hospital, up to \$75,000 SFY 15/16 and \$75,000 for SFY 16/17;
14. Claxton Hepburn Hospital, up to \$85,000 SFY 15/16 and \$85,000 for SFY 16/17;
15. Clifton-Fine Hospital, up to \$275,000 SFY 15/16 and \$275,000 for SFY 16/17;
16. Columbia Memorial Hospital, up to \$120,000 SFY 15/16 and \$120,000 for SFY 16/17;

17. Community Memorial Hospital, up to \$130,000 SFY 15/16 and \$130,000 for SFY 16/17;
18. Corning Hospital, up to \$65,000 SFY 15/16 and \$65,000 for SFY 16/17;
19. Cortland Memorial Hospital, up to \$255,000 SFY 15/16 and \$255,000 for SFY 16/17;
20. Cuba Memorial Hospital, up to \$245,000 SFY 15/16 and \$245,000 for SFY 16/17;
21. Delaware Valley Hospital, up to \$85,000 SFY 15/16 and \$85,000 for SFY 16/17;
22. Elizabethtown Community Hospital, up to \$85,000 SFY 15/16 and \$85,000 for SFY 16/17;
23. Ellenville Community Hospital, up to \$85,000 SFY 15/16 and \$85,000 for SFY 16/17;
24. Gouvernor Hospital, up to \$275,000 SFY 15/16 and \$275,000 for SFY 16/17;
25. Ira Davenport Memorial Hospital, up to \$275,000 SFY 15/16 and \$275,000 for SFY 16/17;
26. Jones Memorial Hospital, up to \$120,000 SFY 15/16 and \$120,000 for SFY 16/17;
27. Lewis County General Hospital, up to \$245,000 SFY 15/16 and \$610,000 for SFY 16/17;
28. Little Falls Hospital, up to \$85,000 SFY 15/16 and \$1,185,000 for SFY 16/17;
29. Margaretville Memorial Hospital, up to \$255,000 SFY 15/16 and \$255,000 for SFY 16/17;
30. Mary Imogene Bassett Hospital, up to \$65,000 SFY 15/16 and \$65,000 for SFY 16/17;
31. Massena Memorial Hospital, up to \$205,000 SFY 15/16 and \$205,000 for SFY 16/17;
32. Medina Memorial Hospital, up to \$85,000 SFY 15/16 and \$85,000 for SFY 16/17;
33. Moses-Ludington Hospital, up to \$205,000 SFY 15/16 and \$205,000 for SFY 16/17;
34. Nathan Littauer Hospital, up to \$75,000 SFY 15/16 and \$75,000 for SFY 16/17;
35. Northern Dutchess Hospital, up to \$65,000 SFY 15/16 and \$65,000 for SFY 16/17;
36. Noyes Memorial Hospital, up to \$85,000 SFY 15/16 and \$85,000 for SFY 16/17;
37. O'Connor Hospital, up to \$105,000 SFY 15/16 and \$105,000 for SFY 16/17;
38. Olean General Hospital - Main, up to \$85,000 SFY 15/16 and \$85,000 for SFY 16/17;
39. Oneida City Hospital, up to \$120,000 SFY 15/16 and \$120,000 for SFY 16/17;
40. Oswego Hospital, up to \$85,000 SFY 15/16 and \$85,000 for SFY 16/17;
41. River Hospital, up to \$275,000 SFY 15/16 and \$275,000 for SFY 16/17;
42. Samaritan Medical Center, up to \$65,000 SFY 15/16 and \$65,000 for SFY 16/17;
43. Schuyler Hospital, up to \$150,000 SFY 15/16 and \$150,000 for SFY 16/17;
44. Soldiers and Sailors Memorial Hospital, up to \$120,000 SFY 15/16 and \$495,000 for SFY 16/17;
45. St. James Mercy Hospital, up to \$255,000 SFY 15/16 and \$255,000 for SFY 16/17;
46. TLC Health Network, up to \$275,000 SFY 15/16 and \$275,000 for SFY 16/17;
47. Tri Town Regional, up to \$65,000 SFY 15/16 and \$65,000 for SFY 16/17;
48. Westfield Memorial Hospital, up to \$275,000 SFY 15/16 and \$275,000 for SFY 16/17;
49. Wyoming County Community Hospital, up to \$130,000 SFY 15/16 and \$130,000 for SFY 16/17;

50. WCA Hospital, up to \$120,000 SFY 15/16 and \$120,000 for SFY 16/17;

51. United Memorial Medical Center -- North Street Division, up to \$75,000 SFY 15/16 and \$75,000 for SFY 16/17;

52. St. Mary's Healthcare -- St. Mary's Hospital, up to \$105,000 SFY 15/16 and \$105,000 for SFY 16/17

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, Division of Finance and Rate Setting, 99 Washington Ave., One Commerce Plaza, Suite 1460, Albany, NY 12210, spa_inquiries@health.ny.gov

PUBLIC NOTICE

Department of State

The New York State Appearance Enhancement Advisory Committee will hold an open board meeting on December 27, 2016 at 10:30 a.m. at the Department of State, 99 Washington Ave., 5th Fl. Conference Rm. (alternate Rm. 1135), Albany; 65 Court St., 2nd Fl. Conference Rm., Buffalo; and, 123 William St., 2nd Fl. Conference Rm., New York City.

Should you require further information, please contact Sharon Charland at sharon.charland@dos.ny.gov or (518) 473-2733.

PUBLIC NOTICE

Department of State

An open board meeting of the NYS Hearing Aid Dispensing Advisory Board will be held on December 19, 2016 at 10:30 a.m. at the Department of State, 99 Washington Ave., 5th Fl. Conference Rm., Albany; 65 Court St., 2nd Fl. Conference Rm.; and, 123 William St., 2nd Fl. Conference Rm., New York City.

Should you require further information, please contact Sharon Charland at sharon.charland@dos.ny.gov or (518) 473-2733.

PUBLIC NOTICE

Department of State

The New York State Real Estate Board will hold an open board meeting on December 14, 2016 at 10:30 a.m. at Department of State,

99 Washington Ave., Rm. 505, Albany; 123 William St., Rm. 231, New York City; and, 276 Waring Rd., Rochester. The Board will hold a public hearing on general real estate issues immediately following the board meeting at the same locations.

Should you require further information, please contact Sharon Charland at sharon.charland@dos.ny.gov or (518) 473-2733.

PUBLIC NOTICE

Department of Taxation and Finance Interest Rates

The Commissioner of Taxation and Finance hereby sets the interest rates for the months of January, February, March, 2017 pursuant to sections 697(j) and 1096(e) of the Tax Law, as follows:

For purposes of section 697(j) the overpayment rate of interest is set at 3 percent per annum, and the underpayment rate of interest is set at 7.5 percent per annum. For purposes of section 1096(e), the overpayment rate of interest is set at 3 percent per annum, and the underpayment rate of interest is set at 8 percent per annum. (The underpayment rates set pursuant to sections 697(j) and 1096(e) may not be less than 7.5 percent per annum.) Pursuant to section 1145(a)(1) of the Tax Law, the underpayment rate for State and local sales and use taxes administered by the Commissioner of Taxation and Finance is 14.5 percent per annum. The underpayment rate for the special assessments on hazardous waste imposed by section 27-0923 of the Environmental Conservation Law is 15 percent.

For the interest rates applicable to overpayments (refunds) and underpayments (late payments and assessments) of the following taxes administered by the Commissioner of Taxation and Finance for the period January 1, 2017 through March 31, 2017, see the table below:

1/1/17 - 3/31/17
Interest Rate Per
Annum
Compounded Daily

Commonly viewed tax types	Refunds	Late Payments & Assessments
Income **	3%	7.5%
Sales and use	3%	14.5% *
Withholding	3%	8%
Corporation **	3%	8%
All other tax types	Refunds	Late Payments & Assessments
Alcoholic Beverage	3%	8%
Beverage Container Deposits	3%	8%
Authorized Combative Sports	3%	8%
Cigarette	NA	8%
Diesel Motor Fuel	3%	8%
Estate	3%	7.5%
Fuel Use Tax	***	***
Generation-Skipping Transfer	3%	7.5%
Hazardous Waste	3%	15%
Highway Use	3%	8%
Medical Marihuana	3%	8%
New York City Taxicab and Hail Vehicle Trip Tax	3%	8%
Metropolitan Commuter Transportation Mobility Tax	3%	7.5%
Mortgage Recording	3%	8%
Motor Fuel	3%	8%
Petroleum Business	3%	8%
Real Estate Transfer	3%	8%
Tobacco Products	NA	8%
Waste Tire Fee	3%	8%

* The Tax Law requires the interest rate on sales tax assessments or late payments to be set at 14-1/2% for this quarter. However, if the Commissioner determines that the failure to pay or the delay in payment is due to reasonable cause and not willful neglect, the Commissioner may impose interest at the corporation tax late payment and assessment rate. That rate is 8% for this quarter.

** There are a number of state and local governmental bodies that have interest rates tied to the overpayment and underpayment rates contained in either section 697(j) (Income Tax) or section 1096(e) (Corporation Tax) of the Tax Law. For purposes of section 697(j) and section 1096(e) of the Tax Law, the overpayment rate for this period is 3%. For purposes of section 697(j) of the Tax Law, the underpayment rate for this period is 7.5%. For purposes of section 1096(e) of the Tax Law, the underpayment rate for this period is 8%.

*** Under section 527(f) of the Tax Law, the interest rates relating to the Fuel Use tax are set pursuant to the International Fuel Tax Agreement (IFTA). For more information regarding IFTA interest rates, see www.iftach.org.

For further information contact: Kathleen O'Connell, Office of Counsel, Department of Taxation and Finance, W. A. Harriman Campus, Albany, NY 12227, (518) 530-4153

For rates for previous periods, visit the Department of Taxation and Finance website: www.tax.ny.gov/taxnews/int_curr.htm

FINANCIAL REPORTS



**Department of
Taxation and Finance**

Depositories for the Funds of the State of New York

Month End: October 31, 2016

Prepared by the Division of the Treasury
Investments, Cash Management and Accounting Operations

Jerry Boone
Commissioner of Taxation and Finance

**ACCOUNTS HELD IN JOINT CUSTODY BY THE COMMISSIONER OF
TAXATION FINANCE AND THE NEW YORK STATE COMPTROLLER**

Unemployment Insurance Funding Account	Key Bank	1,830,819.90
Occupational Training Act Funding Account	Key Bank	216,604.39
Unemployment Insurance Exchange Account	Key Bank	0.00
Exchange Account	Key Bank	0.00
PIT Special Refund Account	JPMorgan Chase Bank, N.A.	(250,130,402.75)
PIT Refund Debit Card Services	Bank of America, N.A.	2,155.05
General Checking	Key Bank	(454,130,242.79)
Direct Deposit Account	Wells Fargo	34,404.86
TOTAL		(248,046,418.55)
01000 - EXECUTIVE CHAMBER		
Executive Chamber Advance Account	Key Bank	No report received
01010 - DIVISION OF BUDGET		
Advance Account	Bank of America, N.A.	8,500.00
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	1,901.00
01050 - OFFICE OF GENERAL SERVICES		
Exec Mansion Official Function	Key Bank	No report received
NY ISO Account	Key Bank	No report received
OGS Binghamton Office Bldg	First Niagara 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	23,500.00
Div Headquarters - Petty Cash	Key Bank	557.85
Key Advantage Account	Key Bank	53,814.71
Manhattan Office-confidential	JPMorgan Chase Bank, N.A.	500.00
NYS Police Special Account	Key Bank	1,817,174.48
SIU Confidential Fund Account	Key Bank	2,790.25
Special Fund	Key Bank	48,392.48
State Police Receipts Account	Bank of America, N.A.	759,862.91
Troop A Batavia - Petty Cash	Bank of America, N.A.	970.00
Troop A Batavia-Confidential	Bank of America, N.A.	1,800.00
Troop B Confidential	Key Bank	4,771.97
Troop B Petty Cash	Community Bank	1,000.00
Troop C Confidential Fund	NBT Bank	1,800.00
Troop C Petty Cash	NBT Bank	810.00
Troop D Oneida - Confidential	Alliance Bank	1,500.00
Troop D Oneida Petty Cash	Alliance Bank	1,000.00
Troop E Canandaigua Confidential	Canandaigua National Bank	1,759.64
Troop E Petty Cash	Canandaigua National Bank	952.00

Troop F Confidential	JPMorgan Chase Bank, N.A.	1,000.00
Troop F Petty Cash	JPMorgan Chase Bank, N.A.	1,000.00
Troop G Loudonville Conf	Bank of America, N.A.	851.41
Troop G Petty Cash	Bank of America, N.A.	692.00
Troop K Petty Cash	Bank of Millbrook	1,000.00
Troop K Poughkeepsie-Confidential	Bank of Millbrook	1,385.56
Troop L Confidential Fund	Bank of America, N.A.	6,470.00
Troop L Petty Cash	Bank of America, N.A.	1,000.00
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.	20,436.38
Revenue Account	JPMorgan Chase Bank, N.A.	1,689,509.12
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	No report received
GOER/LMC Advance Account	Key Bank	No report received
NYS Dependent Care Acct	Key Bank	No report received
01160 - JUSTICE CENTER FOR THE PROTECTION OF PEOPLE WITH SPECIAL NEEDS		
Agency Advance Account	Key Bank	1,255.98
01300 - ADIRONDACK PARK AGENCY		
General Fund	Community Bank	2,002.00
Petty Cash	Community Bank	3,510.72
01400 - CRIME VICTIMS COMPENSATION BOARD		
Crime Victims	JPMorgan Chase Bank, N.A.	No report received
Emergency Award Account	M&T Bank	No report received
Emergency Claims	Key Bank	No report received
Frances Featherstones	Key Bank	No report received
Petty Cash Account	Key Bank	No report received
REST/SUBROG Escrow Account	Key Bank	No report received
01490 - DIVISION OF CRIMINAL JUSTICE SERVICES		
Advance Account	Bank of America, N.A.	2,900.00
FBI Fee Account	Bank of America, N.A.	7,282.46
Fingerprint Fee Account	Bank of America, N.A.	14,231.25
01510 - NYS RACING & WAGERING BOARD		
Charitable Gaming Account	Key Bank	137,933.86
Fingerprint Concentration Account	Key Bank	18,150.94
License Revenue Account	Bank of America, N.A.	37,227.56
Petty Cash Account	Key Bank	11,250.13
Racing Refund Account	Key Bank	495,130.14
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.	516,313.07
Alcohol Beverage	Bank of America, N.A.	43,589.34
Alcoholic Bev Control License	Wells Fargo Bank	968,379.17
Alcoholic Beverage Control License	M&T Bank	224,009.69
Assessments Bulk	JPMorgan Chase Bank, N.A.	100,045.63
Assessments Receivable	JPMorgan Chase Bank, N.A.	8,825,500.01
Assessments Receivable (EFT)	Wells Fargo Bank	3,031,581.66
Beverage Container	JPMorgan Chase Bank, N.A.	0.00
Boxing And Wrestling Tax	Bank of America, N.A.	93,480.67
Capital Gains Tax On Real Estate	Bank of America, N.A.	0.00
Cigarette Stamp Sales Tax	JPMorgan Chase Bank, N.A.	971,904.00
Cigarette Stamp Tax	JPMorgan Chase Bank, N.A.	101,684.46
Cigarette Stamp Tax (EFT)	Wells Fargo Bank	5,575,551.47
Cigarette Stamp Tax Split	JPMorgan Chase Bank, N.A.	352,280.18
Cigarette Tax Tobacco Products	Bank of America, N.A.	53,577.49
Comptroller's Refund Account	JPMorgan Chase Bank, N.A.	0.00
Corporation Tax	Wells Fargo Bank	399,970.73
Corporation Tax - Art 9	Bank of America, N.A.	1,002,557.18
Corporation Tax - Coupon Acct.	JPMorgan Chase Bank, N.A.	96,055.25
Encon Beverage Container Deposit/Bottle Bill (EFT)	Wells Fargo Bank	201,003.02
Estate Tax	Bank of America, N.A.	46,014,411.08
Estate Tax Article 10 Section 241	Key Bank	0.01

Estimated Tax	JPMorgan Chase Bank, N.A.	8,111,809.24
Gift Tax	Bank of America, N.A.	4,511.24
Hazardous Waste	Key Bank	21,372.01
Highway Use - Permits & Reg.	Bank of America, N.A.	45,371.24
Highway Use Truck Mileage Tax (EFT)	Wells Fargo Bank	1,102,051.52
Highway Use-Permits & Reg. (EFT)	JPMorgan Chase Bank, N.A.	0.00
Hudson River-Black River	Bank of America, N.A.	603,917.13
Hudson River-Black River	Community Bank	11,674.56
Hut/Oscar Registrations & Renewals (EFT)	Wells Fargo Bank	69,088.00
IFTA Fuel Use Tax (EFT)	Wells Fargo Bank	183,301.93
IFTA/Oscar Renewals (EFT)	Wells Fargo Bank	0.00
IFTA-Decal/Permit Fee Acct.	Bank of America, N.A.	53,672.55
IFTA-Fuel Use	Bank of America, N.A.	67,270.85
Image Cash Letter Corp Tax	JPMorgan Chase Bank, N.A.	786,598.01
Image Cash Letter Highway Use Tax	JPMorgan Chase Bank, N.A.	1,074,625.93
Image Cash Letter Sales Tax	JPMorgan Chase Bank, N.A.	972,386.87
Income Tax - LLC	JPMorgan Chase Bank, N.A.	154,999.78
Income Tax - Main	JPMorgan Chase Bank, N.A.	373,962.73
Justice Court	Key Bank	558,536.12
MCTD Medallion Taxicab Trip	JPMorgan Chase Bank, N.A.	20,956.00
Medallion Taxicab Trip Tax (EFT)	Wells Fargo Bank	(7,737.92)
Medical Marijuana Tax Collections	Bank of America, N.A.	33,927.78
Metro Commuter Trans. Mobility	JPMorgan Chase Bank, N.A.	4,695,509.77
NYC General Debt Service	Bank of America, N.A.	0.00
NYC General Debt Service-RAN	JPMorgan Chase Bank, N.A.	0.00
Ogdensburg Bridge & Port	Community Bank	(14,173.37)
Payroll Revolving Exchange Acct.	Key Bank	118,956.20
Personal Income Tax	Wells Fargo Bank	2,359,176.00
Petroleum Business Tax (EFT)	Wells Fargo Bank	743,012.91
Petroleum Products Tax	Bank of America, N.A.	1,502,619.23
PIT Bulk	JPMorgan Chase Bank, N.A.	2,273.00
Port Of Oswego	Key Bank	198,755.67
Promptax - MCTMT	Wells Fargo Bank	5,143,355.73
Promptax - Petroleum Business Tax	Wells Fargo Bank	541,107.47
Promptax - Sales Tax/Sales Tax Prepaid Fuel	Wells Fargo Bank	481,086.19
Promptax - Withholding	Wells Fargo Bank	(14,702,179.28)
Promptax - Withholding Checks	JPMorgan Chase Bank, N.A.	28,976.03
Real Estate Transfer Tax	Key Bank	142,843.59
Revenue Holding	First Niagara Bank	0.00
Sales Tax	JPMorgan Chase Bank, N.A.	997,746.71
Sales Tax	Wells Fargo Bank	1,887,001.87
SUNY Concentration	First Niagara Bank	125,000,000.00
Troy Debt Service Reserve Fund	Bank of America, N.A.	7,283,200.00
Uncashed Winning Tickets	Bank of America, N.A.	8,921.42
Unclaimed Funds	JPMorgan Chase Bank, N.A.	502,670.92
Unclaimed Funds - 2	JPMorgan Chase Bank, N.A.	539,917.09
Withholding	Wells Fargo Bank	8,193,959.16
Withholding Tax	JPMorgan Chase Bank, N.A.	25,654,647.96
Cash Advance Accounts		
Advance For Travel Account	Key Bank	16,751.30
ERS Petty Cash Acct	Key Bank	310.70
Petty Cash Account	Key Bank	3,715.00
Common Retirement Fund		
Common Retirement Fund - Depository	JPMorgan Chase Bank, N.A.	334.15
NYS Common Retirement Fund	JPMorgan Chase Bank, N.A.	497,738.81
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	275.70
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	33,260,572.66
National Global Settlement	JPMorgan Chase Bank, N.A.	3,158,693.65
NYS Department Of Law Confidential Account	JPMorgan Chase Bank, N.A.	37,171.76
NYS Department of Law Petty Cash Account	JPMorgan Chase Bank, N.A.	5,258.90
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	50,171.37
NYS Leg Bill Drafting Comm-Petty Cash Acct	Key Bank	3,975.31
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.	2,943,445.00
Criminal Records Search Acct - Revenue	JPMorgan Chase Bank, N.A.	9,917,320.00
Finger Print Account	JPMorgan Chase Bank, N.A.	27,600.00
Petty Cash Acct	JPMorgan Chase Bank, N.A.	500.00
05005 - OCA OFFICE OF BUDGET & FINANCE		
Petty Cash Account	Key Bank	2,500.00
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.	828.71
05023 - COMMISSION ON PROFESSIONAL STANDARDS - 3RD JUDICIAL DEPARTMENT		
Comm On Prof Stands 3rd Jud Dept	M&T Bank	750.00
05071 - COURT OF APPEALS		
Chief Judge Advance	Key Bank	3,591.59
Clerk Of The Court Of Appeals	Key Bank	3,512.00
05072 - STATE BOARD OF LAW EXAMINERS		
State Board Of Law Examiners Fee	Key Bank	54,690.00
05081 - APPELLATE DIVISION - 1ST JUDICIAL DEPARTMENT		
1st Appellate Division Supreme Ct	JPMorgan Chase Bank, N.A.	43,097.15
1st Jud Dept Petty Cash Appellate	JPMorgan Chase Bank, N.A.	338.26
05082 - APPELLATE DIVISION - 2ND JUDICIAL DEPARTMENT		
Appellate Div 2nd Dept Revenue	JPMorgan Chase Bank, N.A.	96,466.00
05083 - APPELLATE DIVISION - 3RD JUDICIAL DEPARTMENT		
Third Dept Civil Fees Acct - Revenue	Key Bank	21,655.00
05084 - APPELLATE DIVISION - 4TH JUDICIAL DEPARTMENT		
4th Dept Appellate Div Civil Fees - Revenue	JPMorgan Chase Bank, N.A.	18,572.00
05090 - COURT OF CLAIMS		
Court Of Claims Revenue Account	Key Bank	5,040.81
05111 - 10TH JUDICIAL DISTRICT NASSAU COUNTY ADMINISTRATION		
Glen Cove City Court		
Glen Cove City Court - Bail	Bank of America, N.A.	159,400.45
Glen Cove Court Revenue	Bank of America, N.A.	65,577.66
Long Beach City - Nassau		
City Court Of Long Beach - Bail	Bank of America, N.A.	203,897.66
City Court Of Long Beach - Revenue	Bank of America, N.A.	91,164.73
Nassau Co Family		
Nassau Co Family Court Bail	Citibank	0.00
Nassau County Court		
Nassau County Assessment	Citibank	37,458.32

Nassau County Bail	Citibank	0.00
Nassau District Court - Civil		
Nassau County Dist Ct - Civil Revenue	Bank of America, N.A.	60,144.08
Nassau District Court - Criminal		
Nassau Dist Ct Criminal Revenue	Bank of America, N.A.	36,066.97
Nassau Dist Ct Criminal Trust Acct - Criminal Bail	Bank of America, N.A.	2,250.00
Nassau Surrogate		
Nassau County Surrogate Court - Revenue	Citibank	11,284.00
05112 - 10TH JUDICIAL DISTRICT SUFFOLK COUNTY ADMINISTRATION		
Suffolk County Court		
Suffolk County Court - Court Fund	Suffolk County National	26,567.00
Suffolk County Surrogate		
Surrogate Court Of Suffolk County	Suffolk County National	11,020.75
Suffolk District Court Civil Fees		
Suffolk County District Court Civil Fees	Citibank	459,560.87
Suffolk District Court Criminal Fines		
Suffolk County District Court Criminal Fines	Citibank	359,338.82
Suffolk District Court Trust Acct		
Suffolk County District Court Trust Account	Citibank	29,550.00
05210 - NYC-CIVIL COURT		
Bronx Civil Court - Civil		
Bronx Civil Court - Revenue	JPMorgan Chase Bank, N.A.	261,632.73
Harlem Community Justice Court		
Harlem Community Justice - Revenue Account	JPMorgan Chase Bank, N.A.	6,645.43
Kings Civil Court - Civil		
Kings Civil Court - Civil Revenue	HSBC	428,460.76
New York Civil Court - Civil		
New York Civil Court Revenue Acct	JPMorgan Chase Bank, N.A.	193,365.09
Queens Civil Court - Civil		
Queens Civil - Revenue	JPMorgan Chase Bank, N.A.	178,481.42
Richmond Civil Court - Civil		
Richmond Civil Ct Revenue Acct	JPMorgan Chase Bank, N.A.	113,115.49
05215 - NYC-CRIMINAL COURT		
Bronx Criminal Court- Criminal Court		
Bronx Criminal Division- Criminal Bail	JPMorgan Chase Bank, N.A.	139,862.00
Bronx Criminal Court- Criminal Court		
Bronx Criminal Division- Criminal Revenue	JPMorgan Chase Bank, N.A.	127,378.88
Kings County Criminal Court		
Kings Criminal Court	Citibank	242,194.00
New York County Criminal Court		
New York Criminal Court	JPMorgan Chase Bank, N.A.	41,827.00
New York Criminal Court- State Funds	JPMorgan Chase Bank, N.A.	172,791.00
Queens County Criminal Court		
Queens Criminal Court	JPMorgan Chase Bank, N.A.	47,245.00
Queens Criminal Court - State Funds	JPMorgan Chase Bank, N.A.	141,090.00
Richmond County Criminal Court		
Richmond Criminal Court	Citibank	231,965.00
Richmond Criminal Court- State Funds	Citibank	29,528.00
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.	13,130.00
05235 - SUPREME COURT - KINGS COUNTY		
Kings Co Supreme		
Supreme Court Kings County - Bail	HSBC	3,950.00
Supreme Court Kings County- Revenue	HSBC	14,877.55
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.	18,796.23
05250 - NEW YORK COUNTY CLERK		
New York Co Clerk Revenue Account	JPMorgan Chase Bank, N.A.	3,031,973.00
New York County Clerk		
New York Co Clerk Revenue Account	JPMorgan Chase Bank, N.A.	0.00
05255 - BRONX COUNTY CLERK		
Bronx County Clerk		
Bronx Cnty Clerk Revenue Acct	JPMorgan Chase Bank, N.A.	1,287,210.75
Bronx Cnty Clerk-Bails /Fines C&T	JPMorgan Chase Bank, N.A.	217,273.13
05260 - KINGS COUNTY CLERK		
Kings County Clerk		
Kings County Clerk Revenue Account	Flushing Commercial Bank	2,263,861.85
05265 - QUEENS COUNTY CLERK		
Queens County Clerk-Revenue Acct	Sterling Bank	2,057,089.87

05270 - RICHMOND COUNTY CLERK		
Richmond Co Clerk State Fees Account	JPMorgan Chase Bank, N.A.	5,812,147.76
Richmond County Clerk DEC	JPMorgan Chase Bank, N.A.	573.12
05275 - NEW YORK COUNTY SURROGATES COURT		
New York Surrogate		
New York Surrogate Court	JPMorgan Chase Bank, N.A.	85,574.00
05280 - BRONX COUNTY SURROGATES COURT		
Bronx Surrogate		
Bronx Surrogate Court Revenue Acct	JPMorgan Chase Bank, N.A.	39,546.90
05285 - KINGS COUNTY SURROGATES COURT		
Kings County Surrogate		
Kings Co. Surrogate Revenue Acct	Bank of America, N.A.	99,761.00
05290 - QUEENS COUNTY SURROGATES COURT		
Queens surrogate		
Queens Co Revenue Acct Surrogate	Signature Bank	118,716.00
05295 - RICHMOND COUNTY SURROGATES COURT		
Richmond County Surrogate Court Revenue Account	Victory State Bank	27,543.00
05360 - 3RD JUDICIAL DISTRICT ADMINISTRATION		
Albany City Court		
Albany Police Ct Fines & Forfeiture - Revenue	Key Bank	No report received
Albany City Court - (traffic)		
Albany Traffic Court - Bail	Bank of America, N.A.	No report received
Albany City Court - Civil Part		
Albany City Court Civil - Revenue	Trustco Bank	No report received
Albany City Court - Traffic Ct		
Albany Traffic Court - Revenue	Bank of America, N.A.	No report received
Albany County Surrogate		
Albany Cty Surrogates Court - Revenue	Bank of America, N.A.	No report received
Albany Police Court		
Albany Police Court Bail Account	Key Bank	No report received
Cohoes City Court		
Cohoes City Court Bail	First Niagara Bank	No report received
Cohoes City Court Fees/Fines Account	First Niagara Bank	No report received
Columbia County Surrogate		
Columbia Co Surrogate Ct Fees - Revenue	Key Bank	No report received
Greene County Surrogate		
Greene County Surrogate - Revenue	First Niagara Bank	No report received
Hudson City Court		
Hudson City Court Bail Acct	Trustco Bank	No report received
Hudson City Court Revenue Acct - Revenue	Trustco Bank	No report received
Kingston City Court		
Kingston City Court Bail	Key Bank	No report received
Kingston City Court Fees Fines - Revenue	Key Bank	No report received
Rensselaer City Court		
Rensselaer City Court - Revenue	Key Bank	No report received
Rensselaer City Court Bail Acct	Key Bank	No report received
Rensselaer County Surrogate		
Rensselaer Co Surrogate Ct Fees - Revenue	Key Bank	No report received
Schoharie County Surrogate		
Schoharie Co Surrogates Court - Revenue	Bank of America, N.A.	No report received
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.	No report received
Troy Police Court Bail Account	Bank of America, N.A.	No report received
Ulster County Surrogate		
Ulster County Surrogate Court - Revenue	Key Bank	No report received
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 - Bail	Key Bank	90,132.22
Amsterdam City Court - Revenue	Key Bank	18,434.60
Clinton County Surrogates		
Clinton County Surrogates - Revenue	Key Bank	120.00
Essex County Surrogate		
Essex Co Surrogate Clerk - Revenue	Champlain National	316.00
Franklin County Surrogate		
Franklin Co Surrogate Court - Revenue	Key Bank	250.00
Fulton County Surrogate		
Fulton County Surrogate's Court	Key Bank	2,563.50
Glens Falls City Court		
Glens Falls City Court Account - Revenue	Glens Falls National	11,179.86

Glens Falls City Court Bail Acct	Glens Falls National	40,851.82
Gloversville City Court		
Gloversville City Court Bail	NBT Bank	37,822.06
Gloversville City Court Revenue	NBT Bank	10,453.90
Hamilton Surrogate		
Hamilton Surrogate - Revenue	Community Bank	0.00
Johnstown City Court		
City Of Johnstown Bail Account - Bail	Key Bank	5,871.11
Johnstown City Court Fines/Fees - Revenue	Key Bank	11,813.10
Mechanicville City Court		
Mechanicville City Court Bail	TD Bank	9,300.38
Mechanicville City Ct Revenue Acct	TD Bank	12,258.73
Montgomery County Surrogate		
Montgomery County Surrogates Court - Revenue	NBT Bank	484.00
Ogdensburg City Court		
Ogdensburg City Court Int Bail	Community Bank	13,998.61
Ogdensburg City Court Revenue	Community Bank	1,568.50
Plattsburgh City Court		
Plattsburgh City Court - Bail	Glens Falls National	63,427.85
State Of NY Plattsburgh City Court - Revenue	Glens Falls National	25,461.00
Saratoga County Surrogate		
Saratoga County Surrogate - Revenue	Ballston Spa National Bank	39.00
Saratoga Springs City Court		
Saratoga Springs Bail Account - Revenue	The Adirondack Trust Company	98,007.57
Saratoga Springs City Revenue Acct	The Adirondack Trust Company	52,001.59
Schenectady City Court		
Schenectady City Crim Trust - Bail	Bank of America, N.A.	126,480.17
Schenectady Police Court Fines - Revenue	Bank of America, N.A.	67,869.80
Schenectady Surrogate		
Schenectady Surrogate Court - Revenue	Key Bank	8,175.00
St. Lawrence Co Surrogate		
St. Lawrence County Surrogate - Revenue	Community Bank	561.50
Warren County Surrogate		
Warren County Surrogate Court - Revenue	TD Bank	1,095.25
Washington Surrogates		
Washington Surrogate Revenue	TD Bank	6.00
05560 - 5TH JUDICIAL DISTRICT ADMINISTRATION		
Fulton City Court		
Fulton City Court Bail Acct	Key Bank	35,390.00
Fulton City Court Revenue	Key Bank	6,502.20
Herkimer Surrogate		
Herkimer Surrogate - Revenue	Partners Trust	45.00
Jefferson Surrogates		
Jefferson Co Surrogate Revenue	Key Bank	3,848.25
Lewis County Surrogates		
Lewis County Surrogate Court - Revenue	Key Bank	0.00
Little Falls City Court		
Little Falls City Court Bail	Bank of America, N.A.	3,630.00
Little Falls City Court Revenue	M&T Bank	4,182.96
Oneida County Combined		
Oneida County Combined Court	Adirondack Bank	13,925.31
Oneida County Surrogates		
Oneida County Surrogate Court Revenue	The Adirondack Trust Company	44,553.25
Onondaga County Surrogates		
Onondaga Surrogate Court - Revenue	Alliance Bank	54,695.25
Oswego City Court		
Oswego City Court Bail Acct	JPMorgan Chase Bank, N.A.	36,987.14
Oswego City Court Revenue	JPMorgan Chase Bank, N.A.	22,070.67
Oswego Surrogate Court		
Oswego County Surrogate Court - Revenue	Key Bank	14,215.50
Rome City Court		
City Court Of Rome Bail Account - Bail	Bank of America, N.A.	89,225.50
Rome City Court - Revenue	Bank of America, N.A.	65,842.11
Sherrill City Court		
Sherrill City Court 5th Jud Dist - Bail	Alliance Bank	500.00
Sherrill City Court Fees - Revenue	Alliance Bank	1,066.00
Syracuse City Court		
Syracuse City Court - Bail	Alliance Bank	298,875.00
Syracuse City Court - Fees - Revenue	Alliance Bank	88,833.29
Utica City Court		
Utica City Court Criminal Bail	Bank of Utica	93,815.94
Utica City Court Revenue Account	Key Bank	62,787.00
Watertown City Court		
Watertown City Court Bail	Key Bank	77,448.49

Watertown City Court Fees & Fines - Revenue	Key Bank	17,468.30
05661 - 6TH JUDICIAL DISTRICT ADMINISTRATION		
Binghamton City Court		
Binghamton City Court Bail	M&T Bank	73,477.25
Binghamton City Court Revenue	M&T Bank	24,692.41
Broome Surrogates		
SNY UCS Broome County Surrogates Court	Wells Fargo Bank	16,411.50
Chemung County Surrogates		
SNY UCS Chemung County Surrogates Court	Wells Fargo Bank	3,856.50
Chenango County Surrogates		
Chenango County Surrogates Court Acct	NBT Bank	2,302.50
Cortland City Court		
Court City Court Bail	NBT Bank	33,585.86
Court City Court- Revenue	NBT Bank	20,081.57
Cortland County Surrogates		
SNY UCS Cortland County Surrogates Court	Wells Fargo Bank	3,004.00
Delaware County Surrogates		
Delaware County Surrogate - Revenue	Delaware National Bank	6,258.50
Elmira City Court		
Elmira City Court - Revenue Account	Chemung Canal Trust	33,615.91
Elmira City Court Bail	Chemung Canal Trust	44,734.81
Ithaca City Court		
Ithaca City Court	Tompkins County Trust	10,900.00
Ithaca City Court Revenue	Tompkins County Trust	31,335.70
Madison County Surrogates		
SNY UCS Madison County Surrogates Court	Wells Fargo Bank	5,035.50
Norwich City Court		
Norwich City Court Bail Acct	NBT Bank	6,320.00
Norwich City Court Revenue Acct	NBT Bank	6,012.26
Oneida City Court		
Oneida City Court Bail Account	JPMorgan Chase Bank, N.A.	23,500.50
Oneida City Court Fee & Fine - Revenue	JPMorgan Chase Bank, N.A.	7,944.10
Oneonta City Court		
Oneonta City Court - Revenue	Community Bank	11,445.17
Oneonta City Court Bail Account	Community Bank	15,450.00
Otsego County Surrogates		
Otsego County Surrogates Court - Revenue	Key Bank	3,055.25
Schuyler County Surrogates		
Schuyler County Surrogates Court	Community Bank	1,923.50
Tioga County Surrogates		
Tioga Surrogates Court - Revenue	M&T Bank	3,332.50
Tompkins County Surrogates		
SNY UCS Tompkins County Surrogates Court	Wells Fargo Bank	3,657.75
05761 - 7TH JUDICIAL DISTRICT ADMINISTRATION		
Auburn City Court		
Auburn City Court Bail Acct	First Niagara Bank	53,831.90
Auburn City Court Fees & Fines - Revenue	First Niagara Bank	12,891.70
Canandaigua City Court		
Canandaigua City Court Bail Acct	Canandaigua National Bank	32,750.72
Canandaigua City Court Revenue	Canandaigua National Bank	17,844.50
Cayuga County Surrogates		
Cayuga Surrogate Court	Wells Fargo Bank	3,189.25
Corning City Court		
Corning City Court - Revenue	Community Bank	10,854.80
Corning City Court Bail	M&T Bank	46,718.94
Geneva City Court		
Geneva City Bail Account	Five Star Bank	71,927.50
Geneva City Court Revenue Acct	Five Star Bank	13,770.84
Hornell City Court		
Hornell City Court Bail Account	Steuben Trust Co.	24,200.24
Hornell City Court Revenue	Steuben Trust Co.	7,021.00
Livingston County Surrogates		
Livingston Surrogate Court	Wells Fargo Bank	108.00
Monroe County Surrogates		
7th District Monroe Surrogate	Wells Fargo Bank	3,034.00
Ontario County Surrogates		
Ontario Surrogate Court	Wells Fargo Bank	629.00
Rochester City Court		
Rochester City Court Bail Account	M&T Bank	592,912.40
Rochester City Revenue	M&T Bank	82,193.18
Seneca County Surrogates		
Seneca Surrogate Court	Wells Fargo Bank	95.00
Steuben County Surrogates		
7th District Steuben Surrogate	Wells Fargo Bank	1,494.00

Wayne County Surrogates		
Wayne Surrogate Court	Wells Fargo Bank	299.00
Yates County Surrogates		
Yates Surrogate Court	Wells Fargo Bank	337.00
05860 - 8TH JUDICIAL DISTRICT ADMINISTRATION		
Allegany County Surrogates Court		
ST of NY Office of the State Comptroller State of New York Unified Courts Allegany Surrogate Court	Wells Fargo Bank	444.00
Batavia City Court		
Batavia City Bail Account	M&T Bank	10,262.65
Batavia City Court Revenue	M&T Bank	23,965.10
Buffalo City Court		
Buffalo City Bail Account	M&T Bank	257,323.24
Buffalo City Revenue Account	M&T Bank	62,749.39
Cattaraugus County Surrogates		
Cattaraugus Surrogates Court - Revenue	Cattaraugus County Bank	0.00
ST of NY Office of the State Comptroller State of New York Unified Courts Cattaraugus Surrogate Court	Wells Fargo Bank	1,173.00
Chautauqua County Surrogates Court		
ST of NY Office of the State Comptroller State of New York Unified Courts Chautauqua Surrogate Court	Wells Fargo Bank	627.00
Dunkirk City Court		
Dunkirk City - Revenue	First Niagara Bank	7,073.66
Dunkirk City Court - Bail	First Niagara Bank	16,810.50
Erie - Buffalo County Law Library		
Sur Ct Lib At Buffalo - Revenue	M&T Bank	105.45
Erie County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Erie Surrogate Court	Wells Fargo Bank	71,422.75
Genesee County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Genesee Surrogate Court	Wells Fargo Bank	3,777.00
Jamestown City Court		
Jamestown City Court Special Bail	Key Bank	2,336.00
State of New York Office of Court Administration Jamestown City Court Bail	First Niagara Bank	48,681.90
State of New York Office of Court Administration Jamestown City Court Revenue	First Niagara Bank	23,235.22
Lackawanna City Court		
Lackawanna City Court Bail Account	Key Bank	10,027.50
Lackawanna City Court Revenue Account	Key Bank	28,777.68
Lockport City Court		
Lockport City - Bail	Key Bank	45,536.40
Lockport City HESC EFT Account - Revenue	Key Bank	30,909.60
Niagara City Court		
Niagara Falls Bail Bond Account	M&T Bank	54,512.00
Niagara City Court - Criminal		
City Court Of Niagara Falls Criminal - Revenue	M&T Bank	37,429.80
Niagara County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Niagara Surrogate Court	Wells Fargo Bank	824.00
No. Tonawanda City Court		
N. Tonawanda City Court Bail	M&T Bank	53,035.80
N. Tonawanda City Court Revenue	M&T Bank	43,075.89
Olean City Court		
Olean City Court Bail Account	Community Bank	10,420.00
Olean City Court Revenue Account	Community Bank	7,411.60
Orleans County Surrogates		
ST of NY Office of The State Comptroller State of New York Unified Courts Orleans Surrogate Court	Wells Fargo Bank	385.00
Salamanca City Court		
Salamanca City Court Bail	Community Bank	6,366.00
Salamanca City Court City Judge - Revenue	Community Bank	8,615.00
Tonawanda City Court		
Tonawanda City Court Bail	M&T Bank	27,419.73
Tonawanda City Court Revenue	M&T Bank	42,460.01
Wyoming County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Wyoming Surrogate Court	Wells Fargo Bank	842.00
Wyoming Co Surrogate Court - Revenue	Five Star Bank	0.00
05960 - 9TH JUDICIAL DISTRICT ADMINISTRATION		
Poughkeepsie City Court- Bail	JPMorgan Chase Bank, N.A.	0.00
Beacon City Court		
Beacon City Court Bail Account - Bail	JPMorgan Chase Bank, N.A.	25,825.60
Beacon City Fines Account - Revenue	JPMorgan Chase Bank, N.A.	55,834.75
Dutchess County Surrogates Court		
Dutchess County Surrogate Court - Revenue	JPMorgan Chase Bank, N.A.	35,814.68
Middletown City Court		
Middletown City Bail Escrow - Bail	JPMorgan Chase Bank, N.A.	155,292.45
Middletown City Court Revenue	JPMorgan Chase Bank, N.A.	75,903.57
Mt. Vernon City Court		
Mt Vernon City Court State Revenue	JPMorgan Chase Bank, N.A.	51,346.91
Mt Vernon City Trust - Bail	JPMorgan Chase Bank, N.A.	305,418.51
New Rochelle City Court		

New Rochelle City Court Bail	JPMorgan Chase Bank, N.A.	349,655.25
New Rochelle City Court Revenue	JPMorgan Chase Bank, N.A.	128,755.46
Newburgh City Court		
Newburgh Bail Account	Bank of America, N.A.	65,126.97
Newburgh City Court Revenue	Bank of America, N.A.	34,627.10
Orange County Surrogates Court		
Orange Co Surrogates Court - Revenue	JPMorgan Chase Bank, N.A.	19,410.50
Peekskill City Court		
Peekskill City Court Revenue	JPMorgan Chase Bank, N.A.	15,935.00
Peekskill City Court		
Peekskill City Court - Bail	JPMorgan Chase Bank, N.A.	186,283.37
Port Jervis City Court		
Port Jervis Bail Account - Bail	JPMorgan Chase Bank, N.A.	45,322.00
Port Jervis Revenue Account - Revenue	JPMorgan Chase Bank, N.A.	26,298.30
Poughkeepsie		
Poughkeepsie City Court -Bail	Wells Fargo Bank	107,939.28
Poughkeepsie City Court -Revenue	Wells Fargo Bank	114,060.76
Putnam Co Surrogate's Court		
Putnam Co Surrogates Court	Putnam County National Bank	6,348.75
Rockland County Surrogates Court		
Rockland Co Surrogates Court - Revenue	JPMorgan Chase Bank, N.A.	19,211.50
Rye City Court		
City Of Rye Bail Account	JPMorgan Chase Bank, N.A.	30,750.29
City Of Rye Fines And Fees - Revenue	JPMorgan Chase Bank, N.A.	59,568.76
Westchester County Surrogates Court		
Westchester Co Surrogates Fees - Revenue	JPMorgan Chase Bank, N.A.	88,580.75
White Plains City Court		
White Plains City Court Bail Account	Sterling Bank	206,527.48
White Plains City Court		
White Plains City Court Vehicle And Traffic Acct - Revenue	Sterling Bank	207,509.15
Yonkers City Court		
Yonkers City Bail Account- Bail	Sterling Bank	527,430.00
Yonkers City State Account - Revenue	Sterling Bank	5,872.64
Yonkers City Court - Escrow		
Yonkers City Escrow Account - Bail	Sterling Bank	55,699.17
Yonkers City Court - State Fund		
Yonkers City State Fund Account - Revenue	Sterling Bank	116,830.23
06000 - AGRICULTURE & MARKETS		
Administration Account	Key Bank	65,641.10
Agency Advance Account	Key Bank	19,068.50
Agriculture Producers Sec Fund	Key Bank	23,267.00
Animal Population Control Account	Key Bank	31,484.47
Apple Marketing Order Fund	Key Bank	25,148.60
Consumer Food Industry Account	Key Bank	314,663.50
Dairy Industry Services Account	Key Bank	17,570.61
Dairy Promotion Order Fund	Key Bank	30,911.66
Farm Products Grading	JPMorgan Chase Bank, N.A.	264,543.03
Milk Producers Security Fund	Key Bank	61,256.41
NYS Farmers Market Program	Key Bank	1,671,466.63
NYS WNY Milk Mktg Area Administration Fund	M&T Bank	116.64
NYS WNY Milk Mktg Area Equalization Fund	M&T Bank	13,621.59
NYS WNY Milk Mktg Area Equalization Fund Savings	M&T Bank	318.48
Onion Marketing Order	Key Bank	0.00
Plants Industry Account	Key Bank	61,240.26
Pride of NY	Key Bank	6,266.98
Sour Cherry Marketing Fund	Key Bank	0.00
Weights & Measures Account	Key Bank	61,081.07
State Fair		
NYS Fair Operating Account	Solvay Bank	707,306.19
NYS Fair Petty Cash/Travel	Solvay Bank	3,329.67
NYS Fair Special Account	Solvay Bank	111,768.99
State Fair Premium Award Account	Solvay Bank	112,911.56
08000 - DEPARTMENT OF CIVIL SERVICE		
Agency Advance Account	Bank of America, N.A.	3,000.00
Employee Insurance Pending Account	Wells Fargo Bank	10,700,339.12
Examination Application Fees Account	Bank of America, N.A.	4,824.00
Examination Application Fees Account	Key Bank	51,075.00
NYS Affirmative Action Advisory Account	Bank of America, N.A.	5,141.90
08010 - PUBLIC EMPLOYEE RELATIONS BOARD		
Petty Cash And Travel Advance Account	Key Bank	930.05
09000 - DEPARTMENT OF ENVIRONMENTAL CONSERVATION		
Albany		
Asharoken Feasibility Study	JPMorgan Chase Bank, N.A.	33,847.48
Bayville Feasibility Study	JPMorgan Chase Bank, N.A.	487,976.88

Conservation Petty Cash Account	M&T Bank	25,532.07
DEC/Exchange Account	M&T Bank	15,787.94
ENCON License Issuing Office	M&T Bank	2,720.00
ENCON/Montauk Point Feasibility Study	JPMorgan Chase Bank, N.A.	7,121.09
ENCON/South Shore Of Staten Island	JPMorgan Chase Bank, N.A.	22,652.79
Harbor Drift Removal Proj	JPMorgan Chase Bank, N.A.	1,543,519.80
Hunting Trapping & Fishing Account	M&T Bank	60,906.28
Lake Montauk Harbor	JPMorgan Chase Bank, N.A.	233,540.80
Lockbox Account	Wells Fargo Bank	1,943,006.17
Mattituck Inlet	JPMorgan Chase Bank, N.A.	1,313.59
NY Conservationist	Bank of America, N.A.	50,711.53
Program Fee	JPMorgan Chase Bank, N.A.	24,214.09
Revenue Account	Bank of America, N.A.	3,172,981.37
Rockaway Beach Study & Project	JPMorgan Chase Bank, N.A.	1,250,196.98
SNY Dept Of Environmental Conservation	JPMorgan Chase Bank, N.A.	720,903.58
State of New York	First Niagara Bank	9,324,125.83
US Army Coe - Moriches Project	JPMorgan Chase Bank, N.A.	11,037.07
Westhampton Project Escrow	JPMorgan Chase Bank, N.A.	253,369.85
Region 1		
Marine Permit Account	Bank of Smithtown	8,322.00
Region 3		
Revenue Region 3 Account	Bank of America, N.A.	0.00
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	0.00
Region 5		
Campsite Revenue Account	Glens Falls National	7.65
Land & Forest Region 5W	TD Bank	1,454.69
NYS Conservation	Glens Falls National	1.00
Recreation (Warrensburg)	City National Bank & Trust	302.00
Region 5	Citizens Bank	38.03
Region 5	NBT Bank	8,033.87
Tree Nursery	Bank of America, N.A.	361.40
Region 6		
Fish & Wildlife Watertown	Key Bank	113.92
Lands & Forest District #7	Community Bank	0.00
Lands & Forests District #6	Community Bank	99.80
Lands And Forests District 10	M&T Bank	19.90
SNY Dept Of Environmental Conserv	Community Bank	14.05
Region 7		
Div Of Fish & Wildlife	Alliance Bank	0.00
Lands & Forests District #3	Alliance Bank	0.00
Regional Office Checking Acct	JPMorgan Chase Bank, N.A.	0.00
Region 8		
Lands & Forests Dist No. 14	Five Star Bank	3,072.50
10000 - ATTICA CORRECTIONAL FACILITY		
Agency Advance Account	Five Star Bank	2,986.66
CD Spendable	Five Star Bank	220,000.00
Employee Benefit Fund	Five Star Bank	34,746.94
General Cash Fund	Five Star Bank	(82.11)
Inmate Occupational Therapy Fund	Five Star Bank	75,474.51
Inmate Savings Account	Five Star Bank	252,468.70
Spendable Fund	Five Star Bank	147,386.57
10010 - AUBURN CORRECTIONAL FACILITY		
Advance Account	Bank of America, N.A.	6,464.73
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.	34,003.89
Inmate Spendable Account	Bank of America, N.A.	231,889.09
Misc Receipts	Bank of America, N.A.	2,304.79
Money Market	Bank of America, N.A.	35,000.00
10020 - CLINTON CORRECTIONAL FACILITY		
Advance Account	Key Bank	12,148.34
Employee Benefit Fund	Key Bank	5,713.39
General Fund	Key Bank	2,844.96
Inmate Funds	Key Bank	242,109.62
Inmate Funds Money Market Account	Key Bank	690,860.36
Inmate Occupational Therapy Acct	Key Bank	116,800.26
10030 - WATERTOWN CORRECTIONAL FACILITY		
Agency Advance Account	Key Bank	2,186.99
Inmate Occupational Therapy Fund	Key Bank	12,433.34

Inmate Spendable Funds	Key Bank	65,476.03
Inmate Spendable Savings Account	Key Bank	65,407.86
Miscellaneous Receipts	Key Bank	12,354.24
10040 - GREAT MEADOW CORRECTIONAL FACILITY		
Certificate of Deposit	Glens Falls National	150,000.00
Certificate of Deposit	Glens Falls National	25,000.00
Certificate of Deposit	Glens Falls National	100,000.00
Employee Assistance Program	Glens Falls National	1,306.62
Employee Benefit Fund	Glens Falls National	6,750.29
Facility Advance	Glens Falls National	7,473.04
General Fund Account	Glens Falls National	12,748.04
Inmate Fund	Glens Falls National	58,674.87
Inmate Fund Savings Account	Glens Falls National	302,500.00
Occupational Therapy	Glens Falls National	18,941.94
10050 - FISHKILL CORRECTIONAL FACILITY		
Agency Advance	M&T Bank	6,758.89
Employee Benefits	M&T Bank	13,569.95
Inmate Spending Account	M&T Bank	288,327.50
Inmates Account	M&T Bank	461,964.21
Inmates Benefit	M&T Bank	48,875.09
Misc Receipts	M&T Bank	37,185.01
Occupational Therapy Account	M&T Bank	29,608.05
10060 - WALLKILL CORRECTIONAL FACILITY		
Advance Account	Key Bank	2,663.00
Employee Benefit	Key Bank	2,287.17
Inmate Occupational Therapy Fund	Key Bank	25,007.37
Inmate Savings Account	Key Bank	87,893.28
Inmates Fund Account	Key Bank	64,298.04
Misc. Receipts	Key Bank	27,962.97
10070 - SING SING CORRECTIONAL FACILITY		
Cash Advance	Sleepy Hollow National Bank	6,051.07
Inmate Spending	Sleepy Hollow National Bank	356,722.80
Misc Receipts	Sleepy Hollow National Bank	17,761.98
Money Market	Sleepy Hollow National Bank	450,827.53
Occupational Therapy	Sleepy Hollow National Bank	106,871.39
10080 - GREEN HAVEN CORRECTIONAL FACILITY		
Advance Account	Key Bank	2,892.98
General Fund	Key Bank	16,476.59
Inmates Money Market	Key Bank	286,861.01
Inmates Now Checking	Key Bank	1,002,137.61
Occupational Therapy Fund	Key Bank	80,815.63
10090 - ALBION CORRECTIONAL FACILITY		
Albion Advance Account	Bank of America, N.A.	3,857.00
Employee Benefit Fund	Bank of America, N.A.	19,497.12
Inmate Funds	Bank of America, N.A.	107,340.95
Inmate Funds Savings	Bank of America, N.A.	103,276.00
Misc Receipts	Bank of America, N.A.	2,524.65
Occupational Therapy	Bank of America, N.A.	27,800.41
10100 - EASTERN NEW YORK CORRECTIONAL FACILITY		
Agency Advance Account	Sterling Bank	1,237.07
Employee Benefit Fund	Sterling Bank	8,432.84
ID Now 3 Month CD	M&T Bank	50,102.55
Inmate Deposit Now Account	Sterling Bank	229,244.43
Inmate Occupational Therapy Account	Sterling Bank	31,723.55
Misc. Receipts	Sterling Bank	6,848.33
10110 - ELMIRA CORRECTIONAL & RECEPTION CENTER		
Agency Advance Account	Chemung Canal Trust	4,539.13
ECF Clubhouse	Chemung Canal Trust	18,385.74
Employee Benefit Fund	Chemung Canal Trust	10,687.84
Inmate CD Account	M&T Bank	213,036.83
Inmates Fund	Chemung Canal Trust	238,819.43
Miscellaneous Receipts	Chemung Canal Trust	621.55
Occupational Therapy Fund	Chemung Canal Trust	62,508.85
10120 - BEDFORD HILLS CORRECTIONAL FACILITY		
Advance Account	JPMorgan Chase Bank, N.A.	7,709.49
Employee Benefit Fund	JPMorgan Chase Bank, N.A.	7,600.58
Inmate Funds	JPMorgan Chase Bank, N.A.	136,951.75
Inmate Funds CD	JPMorgan Chase Bank, N.A.	90,000.00
Inmate Funds Money Market	JPMorgan Chase Bank, N.A.	20,290.33
Misc. Receipts	JPMorgan Chase Bank, N.A.	4,737.70
Occupational Therapy	JPMorgan Chase Bank, N.A.	35,528.03
10130 - COXSACKIE CORRECTIONAL FACILITY		
Agency Advance Account	National Bank of Cocksackie	697.52
Employee Benefits Fund	National Bank of Cocksackie	6,675.22

Inmates Fund	National Bank of Coxsackie	169,354.15
Inmates Fund Savings Acct	National Bank of Coxsackie	23,533.23
Misc. Revenue	National Bank of Coxsackie	22,999.42
Money Market Acct	National Bank of Coxsackie	159,615.86
Occupational Therapy Acct	National Bank of Coxsackie	14,447.04
10140 - WOODBOURNE CORRECTIONAL FACILITY		
Agency Advance	Bank of America, N.A.	1,099.45
CD - Inmate Funds	First National Bank of Jeffersonville	95,000.00
CD - Inmate Funds	First National Bank of Jeffersonville	50,000.00
General Fund	Bank of America, N.A.	12,083.48
Inmate Funds Checking	Bank of America, N.A.	248,937.34
Occupational Therapy Account	Bank of America, N.A.	15,130.04
10160 - DEPARTMENT OF CORRECTIONAL SERVICES		
Agency Advance Account	Key Bank	22,062.37
Employee Benefit Fund	Key Bank	24,855.80
Inmate Escrow Account	Key Bank	395,931.01
Misc. Receipts Account	Key Bank	152,324.69
Special Account	Key Bank	1,300.00
10170 - QUEENSBORO CORRECTIONAL FACILITY		
Agency Advance Account	JPMorgan Chase Bank, N.A.	7,366.93
Employee Benefit Fund	JPMorgan Chase Bank, N.A.	2,370.10
Inmate Funds Account	JPMorgan Chase Bank, N.A.	14,235.68
Miscellaneous Receipts Account	JPMorgan Chase Bank, N.A.	939.39
Occupational Therapy Fund	JPMorgan Chase Bank, N.A.	4,064.15
Savings Account	JPMorgan Chase Bank, N.A.	15,422.66
10230 - ADIRONDACK CORRECTIONAL FACILITY		
ADK QWL	Community Bank	4,308.83
Agency Advance	Community Bank	1,588.20
Diversity Management	Community Bank	826.10
Employee Benefit Fund	Community Bank	8,346.21
General Fund	Community Bank	1,526.54
Inmate Funds	Community Bank	50,728.20
Inmate Occupational Therapy Fund	Community Bank	5,613.32
Inmate Savings Money Market	Community Bank	57,221.79
Make A Difference Day	Community Bank	40.14
10240 - DOWNSTATE CORRECTIONAL FACILITY		
Agency Advance	JPMorgan Chase Bank, N.A.	1,167.66
Employee Recreational Funds	JPMorgan Chase Bank, N.A.	14,214.25
Inmate Fund	JPMorgan Chase Bank, N.A.	121,951.45
Inmates Funds Savings	JPMorgan Chase Bank, N.A.	79,228.39
Misc. Receipts	JPMorgan Chase Bank, N.A.	27,140.28
Occupational Therapy	JPMorgan Chase Bank, N.A.	36,146.27
10250 - TACONIC CORRECTIONAL FACILITY		
Inmate Funds	JPMorgan Chase Bank, N.A.	67,316.69
Misc. Revenue	JPMorgan Chase Bank, N.A.	1,975.58
Money Market	JPMorgan Chase Bank, N.A.	30,608.95
Occupational Therapy Fund	JPMorgan Chase Bank, N.A.	23,135.31
Taconic Advance Account	JPMorgan Chase Bank, N.A.	3,862.00
10270 - HUDSON CORRECTIONAL FACILITY		
Advance Account	Key Bank	2,819.43
Employee Benefit Fund Account	Key Bank	6,760.85
Inmate Funds Account	Key Bank	14,324.85
Inmate Key Advantage Account	Key Bank	65,179.00
Inmate Occupational Therapy Account	Key Bank	8,434.67
Miscellaneous Receipts Account	Key Bank	613.58
10290 - OTISVILLE CORRECTIONAL FACILITY		
Cash Advance	Jeff Bank	999.26
General Fund	Jeff Bank	653.58
Inmate Funds	Jeff Bank	60,232.57
Inmate Occupational Therapy	Jeff Bank	52,539.58
Inmate Savings	Jeff Bank	51,164.47
Inmate Savings CD	Hometown Bank	76,014.32
10300 - ROCHESTER CORRECTIONAL FACILITY		
Consolidated Advance Account	M&T Bank	237.57
Employee Recreation Fund	M&T Bank	370.77
Inmate Deposit Account	M&T Bank	127,628.60
Inmate Occupational Therapy	M&T Bank	26.26
Misc Fees	M&T Bank	2,058.47
Work Release Advance Account	M&T Bank	1,461.08
10320 - EDGECOMBE CORRECTIONAL FACILITY		
Agency Advance	JPMorgan Chase Bank, N.A.	5,178.00
Employee Benefit Account	JPMorgan Chase Bank, N.A.	3,575.61
Inmate Cash Account	JPMorgan Chase Bank, N.A.	85,137.62
Misc. Receipts Account	JPMorgan Chase Bank, N.A.	0.00

Occupational Therapy Acct	JPMorgan Chase Bank, N.A.	1,280.78
Work Release Account	JPMorgan Chase Bank, N.A.	0.00
10350 - OGDENSBURG CORRECTIONAL FACILITY		
Agency Advance Account	Community Bank	4,329.00
Inmate Fund	Community Bank	59,009.51
Inmate Savings	Community Bank	45,157.22
Misc. Receipts	Community Bank	62.32
Occupational Therapy	Community Bank	9,868.37
10360 - LINCOLN CORRECTIONAL FACILITY		
Agency Advance	JPMorgan Chase Bank, N.A.	3,450.00
Employee Benefit Fund	JPMorgan Chase Bank, N.A.	1,692.52
General Fund	JPMorgan Chase Bank, N.A.	1,850.97
Inmate Funds	JPMorgan Chase Bank, N.A.	280,003.32
Inmate Savings	JPMorgan Chase Bank, N.A.	59,590.49
Lincoln Work Release Account	JPMorgan Chase Bank, N.A.	3,610.00
Occupational Therapy	JPMorgan Chase Bank, N.A.	8,739.77
10370 - FIVE POINTS CORRECTIONAL FACILITY		
Consolidated Advance	Five Star Bank	2,245.11
EBF Checking	Five Star Bank	23,503.77
EBF Savings	Five Star Bank	45,732.35
Inmate Savings	Five Star Bank	232,714.51
Inmate Spendable	Five Star Bank	155,649.86
Misc Receipts	Five Star Bank	518.96
Occupational Therapy	Five Star Bank	47,509.25
10390 - MOHAWK CORRECTIONAL FACILITY		
Agency Advance	Key Bank	1,787.75
Employee Benefit Fund Checking	Bank of America, N.A.	23,535.19
Inmate Funds Checking	Key Bank	124,628.79
Inmate Funds Savings	Key Bank	313,200.16
Miscellaneous Revenue	Key Bank	492.41
Occupational Therapy	Key Bank	23,075.52
10430 - WENDE CORRECTIONAL FACILITY		
Consolidated Advance	Alden State Bank	5,860.16
Employee Benefit Account	Alden State Bank	52,511.70
Inmate Savings	Alden State Bank	194,422.11
Inmates Funds	Alden State Bank	185,057.67
Misc. Receipts	Alden State Bank	27,536.18
Occupational Therapy	Alden State Bank	38,006.66
10441 - DEPARTMENT OF CORRECTIONAL SERVICES-FOOD PRODUCTION CENTER		
Office of Nutritional Services		
Miscellaneous Receipts	First Niagara Bank	34,569.27
10450 - GOWANDA CORRECTIONAL FACILITY		
Advance Account	Evans National Bank	3,882.05
Employee Benefit Fund	Evans National Bank	23,941.65
Inmate Funds	Evans National Bank	56,280.64
Inmate Funds - CD	Evans National Bank	131,708.64
Inmate Funds Savings	Evans National Bank	163,483.51
Miscellaneous Revenue	Evans National Bank	4,306.57
Occupational Therapy	Evans National Bank	22,926.42
10460 - GROVELAND CORRECTIONAL FACILITY		
Agency Advance Account	Five Star Bank	3,088.68
Employee Commission Account	Five Star Bank	10,613.06
Inmate Funds Account	Five Star Bank	134,659.59
Inmate Funds Account - Savings	Five Star Bank	132,966.27
Miscellaneous Receipts Account	Five Star Bank	2,294.85
Occupational Therapy Account	Five Star Bank	15,140.35
10470 - COLLINS CORRECTIONAL FACILITY		
Agency Advance	Community Bank	8,144.03
Employee Activities	Community Bank	19,819.97
Inmate Fund Checking	Community Bank	92,851.15
Inmate Savings	Community Bank	130,377.38
Miscellaneous Revenue	Community Bank	3,929.51
Occupational Therapy	Community Bank	19,004.67
10480 - MID-STATE CORRECTIONAL FACILITY		
Agency Advance	First Niagara Bank	304.67
Employee Benefit Fund	Bank of America, N.A.	34,752.44
Inmate Funds	First Niagara Bank	188,821.74
Inmate Savings	First Niagara Bank	197,935.15
Misc. Revenue	First Niagara Bank	21,727.83
Occupational Therapy	First Niagara Bank	45,428.58
10490 - MARCY CORRECTIONAL FACILITY		
Agency Advance Account	First Niagara Bank	4,530.58
Employee Benefit Fund Account	Bank of America, N.A.	17,674.64
Inmate Fund Account	First Niagara Bank	25,242.78

Inmate Funds Checking	First Niagara Bank	45,985.31
Misc receipts Acct	First Niagara Bank	6,648.73
NYS DOCS Marcy Corr Facility	First Niagara Bank	210,982.20
Occupational Therapy fund Acct	First Niagara Bank	30,967.45
10500 - NYC CENTRAL ADMINISTRATION		
Agency Advance Acct	JPMorgan Chase Bank, N.A.	2,394.76
Misc Receipts	JPMorgan Chase Bank, N.A.	439.12
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	1,720.00
Moriah Shock Incarceration Employee Benefit Fund	Glens Falls National	4,244.21
Moriah Shock Incarceration Occ Therapy	Glens Falls National	4,517.26
Moriah Shock Misc Receipts	Glens Falls National	72.95
NYS Moriah Shock Incarceration Inmate Checking	Glens Falls National	97,989.54
10530 - FRANKLIN CORRECTIONAL FACILITY		
Advance Account	Key Bank	4,662.69
Employee Benefit Account	Key Bank	5,920.65
Inmate Funds	Key Bank	49,718.19
Inmate Occupational Therapy	Key Bank	29,334.56
Inmate Savings	Key Bank	296,954.89
Misc. Receipts	Key Bank	9,580.95
10540 - ALTONA CORRECTIONAL FACILITY		
Cons Adv Travel Petty Cash	NBT Bank	3,610.54
Employees Vending Benefit	NBT Bank	9,632.14
Inmates Funds	NBT Bank	84,761.85
Misc Revenues General Fund	NBT Bank	1,012.81
Occupational Therapy	NBT Bank	9,818.54
10550 - CAYUGA CORRECTIONAL FACILITY		
Agency Advance	First National Bank of Groton	5,918.66
Cert Of Deposit	First National Bank of Groton	86,188.07
Employee Benefit Fund	First National Bank of Groton	7,084.32
Inmate Occupational Therapy Account	First National Bank of Groton	30,062.46
Inmate Spendable	First National Bank of Groton	0.00
Inmate Spendable	First National Bank of Groton	233,099.97
Misc Receipts	First National Bank of Groton	497.67
10560 - BARE HILL CORRECTIONAL FACILITY		
Agency Advance	Key Bank	2,773.15
Employee Benefit Fund	Key Bank	10,002.36
Inmate Spendable Funds	Key Bank	103,146.16
Key Public Money Market Checking	Key Bank	236,261.84
Miscellaneous Receipts	Key Bank	523.35
Occupational Therapy	Key Bank	22,380.74
10570 - RIVERVIEW CORRECTIONAL FACILITY		
Agency Advance Account	Key Bank	688.16
Inmate Accounts	Key Bank	72,298.14
Inmate Savings Account	Key Bank	105,291.36
Miscellaneous Receipts Account	Key Bank	8,057.68
Occupational Therapy	Key Bank	13,657.07
10580 - CAPE VINCENT CORRECTIONAL FACILITY		
Advance Account	Community Bank	4,082.30
Employee Benefit Fund	Community Bank	39,653.77
Inmate Occupation Therapy Acct	Community Bank	15,642.18
Inmate Savings	Community Bank	131,419.88
Inmate Spendable Account	Community Bank	142,800.69
Miscellaneous Receipts Account	Community Bank	2,956.94
10600 - LAKEVIEW SHOCK INCARCERATION CORRECTIONAL FACILITY		
Agency Advance	Community Bank	4,200.00
Employee Benefit Fund - Sav	Community Bank	18,125.19
Inmate Funds	Community Bank	34,056.60
Inmate Funds - Sav	Community Bank	94,624.95
Miscellaneous Revenue	Community Bank	933.16
Occupational Therapy	Community Bank	1,745.01
Occupational Therapy - Sav	Community Bank	5,008.13
10610 - ULSTER CORRECTIONAL FACILITY		
Agency Advance	Bank of America, N.A.	3,700.03
Employee Benefit Fund	Bank of America, N.A.	5,104.99
Inmate Fund	Bank of America, N.A.	94,928.69
Inmate Funds Savings	Bank of America, N.A.	12,251.92
Misc. Receipts	Bank of America, N.A.	675.25
Occupational Therapy	Bank of America, N.A.	11,510.92
10630 - SOUTHPORT CORRECTIONAL FACILITY		
Advance Account	Chemung Canal Trust	1,565.24
Employee Benefit Fund	Chemung Canal Trust	17,628.43

Inmate Funds	Chemung Canal Trust	123,674.25
Inmate Funds Account	Chemung Canal Trust	22,142.29
Misc. Receipts Account	Chemung Canal Trust	49,314.24
Occupational Therapy Account	Chemung Canal Trust	17,394.43
10640 - ORLEANS CORRECTIONAL FACILITY		
Agency Advance	Bank of America, N.A.	3,787.43
Employee Benefit Fund	Bank of America, N.A.	7,555.95
Inmate Funds	Bank of America, N.A.	177,942.26
Inmate Savings	Bank of America, N.A.	107,118.20
Miscellaneous Receipts	Bank of America, N.A.	54,955.87
Occupational Therapy	Bank of America, N.A.	26,549.09
10650 - WASHINGTON CORRECTIONAL FACILITY		
Advance Account	Key Bank	1,866.18
General Account	Key Bank	0.00
Inmate Account	Key Bank	111,935.06
Inmate Funds Account Certificate Of Deposit	Glens Falls National	78,028.97
Inmate Savings Account	Key Bank	14,320.94
Occupational Therapy Account	Key Bank	14,580.46
10660 - WYOMING CORRECTIONAL FACILITY		
Agency Advance	Five Star Bank	8,270.29
Employee Benefit Fund	Five Star Bank	11,248.25
Inmate Occupational Therapy	Five Star Bank	42,210.41
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	51,032.83
Inmate Savings-Certificate of Deposit	Five Star Bank	25,000.00
Inmate Spendable	Five Star Bank	174,957.51
Misc. Receipts Account	Five Star Bank	14,549.59
10670 - GREENE CORRECTIONAL FACILITY		
Consolidated Advance	National Bank of Cocksackie	3,870.46
Inmate Accounts	National Bank of Cocksackie	73,607.68
Inmate Savings	National Bank of Cocksackie	191,923.12
Misc. Receipts	National Bank of Cocksackie	606.86
Occupational Therapy	National Bank of Cocksackie	28,480.23
10680 - SHAWANGUNK CORRECTIONAL FACILITY		
Consolidated Advance Account	Key Bank	1,204.56
Inmate Funds	Key Bank	149,990.12
Inmates Funds Account	Key Bank	64,968.70
Misc. Receipts Account	Key Bank	226.91
Occupational Therapy Acct	Key Bank	25,548.25
10690 - SULLIVAN CORRECTIONAL FACILITY		
Consolidated Advance	Bank of America, N.A.	836.91
Inmate Funds	Bank of America, N.A.	88,073.01
Miscellaneous Receipts	Bank of America, N.A.	3,290.06
Occupational Therapy	Bank of America, N.A.	27,241.93
Savings	Bank of America, N.A.	100,142.59
10800 - LIVINGSTON CORRECTIONAL FACILITY		
Consolidated Advance	Five Star Bank	2,162.29
Employee Benefit Fund	Five Star Bank	7,420.91
Inmate Funds CD	Five Star Bank	75,219.53
Inmate Funds Checking	Five Star Bank	30,224.20
Inmate Savings	Five Star Bank	45,237.92
Miscellaneous Receipts	Five Star Bank	166.19
Occupational Therapy	Five Star Bank	16,777.69
10810 - GOUVERNEUR CORRECTIONAL FACILITY		
Agency Advance	Community Bank	1,827.97
Inmate Occupational Therapy	Community Bank	23,471.70
Inmate Savings	Community Bank	264,817.88
Inmate Spendable Fund	Community Bank	114,224.18
Misc Receipts	Community Bank	1,417.44
10820 - WILLARD DRUG TREATMENT CENTER		
Consolidated Advance	Community Bank	1,010.13
Employee Benefit Fund	Community Bank	19,551.55
Inmate Funds	Community Bank	66,577.63
Inmate Occupational Therapy	Community Bank	3,859.93
Misc Receipts	Community Bank	4,395.94
10840 - UPSTATE CORRECTIONAL FACILITY-AUDIT 1		
Advance Account	Key Bank	3,860.00
Facility Committees	Key Bank	10,492.37
Inmate Fund	Key Bank	77,827.19
Inmate Fund Savings	Key Bank	290,021.81
Inmate Occupational Therapy Fund	Key Bank	7,475.47
Miscellaneous Account	Key Bank	180,340.22
10850 - HALE CREEK ASACTC		

Consolidated Advance	Key Bank	1,005.34
Employee Benefit Fund	Bank of America, N.A.	13,283.51
Inmate Funds	Key Bank	70,869.90
Inmate Interest Bearing Account	Key Bank	15,000.25
Misc Receipts	Key Bank	1,394.27
Occupational Therapy	Key Bank	23,604.52
10916 - CENTRAL OFFICE - INDUSTRIES		
Div of Ind Petty Cash Acct	Key Bank	6,500.00
Div of Ind Revenue Acct	Key Bank	1,829,041.92
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	1,335.39
Petty Cash	NBT Bank	1,925.00
Student Activity Fund	NBT Bank	1,155.39
11280 - ARCHIVES PARTNERSHIP TRUST		
Endowment	Janney Montgomery Scott LLC	4,053,245.35
Endowment - Special Account	Janney Montgomery Scott LLC	50,033.20
Trust's Board Project Account	Key Bank	129,953.66
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.	No report received
EPIC Provider Receipt Account	Bank of America, N.A.	No report received
General Account	M&T Bank	No report received
Indian Health Disbursement Account	Bank of America, N.A.	No report received
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.	77,130.66
12010 - ROSWELL PARK MEMORIAL INSTITUTE		
Office Of Patient Accounts	M&T Bank	468,681.53
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	13,330.78
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
St Albans Vet Home Maintenance Acct	NBT Bank	1,900,218.33
12180 - WESTERN NEW YORK VETERANS HOME		
Advance Account	Bank of America, N.A.	No report received
Exchange Account	Bank of America, N.A.	No report received
Maintenance Account	NBT Bank	1,059,582.44
Resident Funds	Bank of America, N.A.	No report received
12190 - VETERANS HOME AT MONTROSE		
Agency Advance Account	Bank of America, N.A.	No report received
Maintenance Acct	NBT Bank	1,524,376.35
Residence Account	Bank of America, N.A.	No report received
12200 - OFFICE OF MEDICAID INSPECTOR GENERAL		
Albany Confidential Account	Key Bank	309.59
Albany Petty Cash Account	Key Bank	500.00
NYC Confidential Account	JPMorgan Chase Bank, N.A.	185.66
14000 - DEPARTMENT OF LABOR		
Agency Advance Account	Key Bank	29,078.14

Exchange Account	Bank of America, N.A.	122,390.91
Fee And Permit Account	Key Bank	1,996,639.68
Min Wage & Claim Funding Acct	Key Bank	178,556.31
Minimum Wage & Wage Claim Acct	Key Bank	784,093.55
Misc Receipts	Bank of America, N.A.	129,079.49
U.I. Fund Clearing Account	JPMorgan Chase Bank, N.A.	66,899,657.53
UI Fund ACH Transactions	Wells Fargo Bank	100,000.00
16000 - PUBLIC SERVICE COMMISSION		
Advance For Travel	Key Bank	15,000.00
Cable Account	Key Bank	5,568.36
Petty Cash Account	Key Bank	13,361.27
Special Fee Account	Key Bank	10,970.06
17000 - NYS DEPARTMENT OF TRANSPORTATION		
Contractors Bid And Guarantee	Key Bank	403.93
Driver Improvement Program (DIP)	Key Bank	17,068.31
Emergency Card Funding Account	Bank of America, N.A.	247,132.81
Main Office Advance For Travel	Key Bank	379,245.46
Revenue Unit	Key Bank	247,906.68
Republic Airport, Long Island		
Republic Airport Revenue Acct	JPMorgan Chase Bank, N.A.	66,832.50
17100 - NYS DEPARTMENT OF TRANSPORTATION-REGION 10		
Region 10 Advance For Travel	Citibank	No report received
19000 - DEPARTMENT OF STATE		
Athletic	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		
JCOPE Petty Cash Account	Bank of America, N.A.	233.50
JCOPE Revenue Account	Bank of America, N.A.	64,132.82
20000 - DEPARTMENT OF TAXATION & FINANCE		
Exchange	Bank of America, N.A.	124,793.50
Fee Account	Key Bank	228,565.37
IFTA Funding	JPMorgan Chase Bank, N.A.	25.90
Misc Tax Account - Exchange	Bank of America, N.A.	46,037.56
Petty Cash	Bank of America, N.A.	53,301.10
Tax Preparer Registration Fee (EFT)	Wells Fargo Bank	12,600.00
Waste Tire Fee (EFT)	Wells Fargo Bank	138,442.22
Waste Tire Tax	JPMorgan Chase Bank, N.A.	30,331.87
20050 - DIVISION OF THE LOTTERY		
Custody Account	US Bank	No report received
Lottery Concentration Account	Key Bank	62,411.76
Lottery Prize Payment Account	Key Bank	0.00
Lottery Subscriptions Account	Key Bank	713,911.87
Video Gaming Revenue Account	Key Bank	12,640,552.66
21012 - WELFARE INSPECTOR GENERAL		
Confidential Fund	Bank of America, N.A.	No report received
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	20,640.48
Checking- Petty Cash Fund	Community Bank	5,000.00
Hudson River General Acct	Bank of America, N.A.	73,103.15
Money Market	Bank of America, N.A.	907.21
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.	404.00
Petty Cash Account	Key Bank	395.68
Petty Cash Fund	JPMorgan Chase Bank, N.A.	303.66
21940 - NYS FINANCIAL CONTROL BOARD		
Agency Advance Acct	JPMorgan Chase Bank, N.A.	No report received

23000 - DEPARTMENT OF MOTOR VEHICLES

Albany Central Main Acct		
Albany Central Main Acct	Wells Fargo Bank	3,280,827.02
Albany Central Main Exchange		
Exchange	Wells Fargo Bank	65,439.53
Albany Central Office		
Title Escrow Exchange (Albany Central Office)	Wells Fargo Bank	50,448.50
Albany TVB Sub (Albany Central Office)		
Adjudication Account	Wells Fargo Bank	461,388.38
Administrative Adj	M&T Bank	0.00
Albany-Region 3		
Confidential Inv Subpoena - Albany	Key Bank	No report received
Allegany-Belmont		
County Clerk Fee Allegany	Steuben Trust Co.	No report received
Andirondack Mountains		
County Fee Account	JPMorgan Chase Bank, N.A.	450,351.24
Buffalo-Region 5		
MV- Buffalo Investigator & Subpoena	M&T Bank	451.00
Capital Saratoga Revenue		
County Fee Account	JPMorgan Chase Bank, N.A.	491,179.72
Catskill Mountains		
County Fee Account	JPMorgan Chase Bank, N.A.	608,869.67
Central Leatherstocking		
County Fee Account	JPMorgan Chase Bank, N.A.	329,906.03
Chautauqua-Steuben		
County Fee Acct	JPMorgan Chase Bank, N.A.	261,196.29
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
Chemical Concentration (CTY)(OSC)		
Chemical Concentration (CTY)(OSC)	Key Bank	0.00
Chemical Concentration (DO)(OSC)		
Chemical Concentration (DO)(OSC)	Key Bank	4,624,579.75
Confidential Fund (Albany Central Office)		
Confidential Fund	Bank of America, N.A.	3,470.00
CTY Credit Card (Albany Central Office)		
County Office Credit Card Account	JPMorgan Chase Bank, N.A.	6,161,045.82
Customer Service Counter (Albany)		
NYS DMV CSC	Wells Fargo Bank	37,789.97
D.O. Credit Card (Albany Central Office)		
District Office Credit Card Account	JPMorgan Chase Bank, N.A.	20,802,296.81
DMV Division Of Field Investigations - Albany Central Office		
Field Investigation	M&T Bank	No report received
Eric County Revenue		
County Fee Account	JPMorgan Chase Bank, N.A.	151,922.69
Finger Lakes First		
County Fee Acct	JPMorgan Chase Bank, N.A.	334,924.12
Finger Lakes Second		
County Fee Acct	JPMorgan Chase Bank, N.A.	273,349.14
Genesee County		
Genesee County Clerk - DMV	Bank of Castile	No report received
Greene County		
Fee Account - Greene	Greene County Commercial Bank	No report received
HCK,WHD,BYS,PSK,WPD,BRX,BXI,BRK		
Revenue Account - Downstate	Wells Fargo Bank	3,653,895.29
Hudson Valley		
County Fee Acct	JPMorgan Chase Bank, N.A.	390,402.34
IRP (Albany Central Office)		
International Registration	M&T Bank	940,467.98
International Registration	Wells Fargo Bank	1,848,378.38
IRP Exchange (Albany Central Office)		
Irp Internet Office - Dept. MV	M&T Bank	309,302.29
Kiosk		
Kiosk Account	JPMorgan Chase Bank, N.A.	730,965.75
Long Island/Staten Island DO		
Long Island/Staten Island DO	Wells Fargo Bank	3,255,986.29
Nassau Region 1		
Div. of Vehicle Safety	Citibank	No report received
Niagara Frontier		
County Fee Acct	JPMorgan Chase Bank, N.A.	261,341.77
Office Fee (Albany Central Office)		
Office Fee	Wells Fargo Bank	76,258.91
Oneida County		

DMV Oneida County Fee Account	Bank of Utica	80,193.81
Oneida County Fee Account	NBT Bank	124,459.01
Petty Cash (Albany Central Office)		
Petty Cash	Bank of America, N.A.	37,779.24
Queens-Region 6		
Confidential - Queens	JPMorgan Chase Bank, N.A.	3,057.00
Rockland/Westchester DO		
Rockland/Westchester DO	Wells Fargo Bank	544,850.89
Search Exchange (Albany Central Office)		
MV Search	Key Bank	3,074,431.61
Search Exchange (Albany Central Office)		
MV Search	Wells Fargo Bank	796,324.12
Syracuse-Region 4		
Confidential - Syracuse	Key Bank	No report received
Thousand Island Seaway		
County Fee Acct	JPMorgan Chase Bank, N.A.	1,225,687.52
Travel Advance (Albany Central Office)		
Travel Advance	Bank of America, N.A.	4,694.00
TVB Acct		
TVB Acct	Wells Fargo Bank	195,795.31
TVB Credit Card (Albany Central Office)		
TVB Credit Card Receipts	JPMorgan Chase Bank, N.A.	3,135,313.16
Upstate DO		
Upstate District Offices (ALB, SYD, SYS, UTD)	Wells Fargo Bank	556,916.67
Utica D.O.		
Exchange Account	Bank of Utica	No report received
Revenue Utica	Bank of Utica	No report received
Yonkers-Region 2		
Safety Sup Automotive FAC INSP	JPMorgan Chase Bank, N.A.	2,214.00
25000 - OFFICE OF CHILDREN & FAMILY SERVICES		
Brentwood Resid Advance	JPMorgan Chase Bank, N.A.	664.99
Brentwood Resid Center Cash Advance	JPMorgan Chase Bank, N.A.	389.32
Bronx CMSO Cash Advance #237	JPMorgan Chase Bank, N.A.	500.00
Brooklyn Aftercare Wraparound Account	JPMorgan Chase Bank, N.A.	500.00
Brookwood Cash Advance	Key Bank	605.76
Brookwood Resid Residential Cash	Key Bank	18,028.80
Check Exchange	Bank of America, N.A.	697,384.00
CO Independent Living Acct	Bank of America, N.A.	2,000.00
Co. Training Employment Dev (Youth Stipend)	Bank of America, N.A.	22,441.42
Columbia Girls Secure Center-Advance Acct	Bank of America, N.A.	208.59
Columbia Girls Secure Center-Youth Savings	Bank of America, N.A.	1,098.64
Ella Mcqueen Reception Center For Boys	Bank of America, N.A.	500.00
Finger Lakes Res Ctr Residents Cash	Tompkins County Trust	2,997.43
Fingerlakes Res Ctr Cash Advance	Tompkins County Trust	2,867.15
Goshen Cash Advance	Bank of America, N.A.	2,034.00
Goshen Residents Account	Bank of America, N.A.	14,531.43
Highland Res Ctr Petty Cash Account	Bank of America, N.A.	1,723.50
Highland Res Ctr Residents Acct	Bank of America, N.A.	3,303.55
Home Office Care & Maintenance Account	Bank of America, N.A.	0.00
Industry Advance Account	JPMorgan Chase Bank, N.A.	2,109.40
Industry Res Account	JPMorgan Chase Bank, N.A.	1,877.31
Industry School Dug-Out	JPMorgan Chase Bank, N.A.	0.00
MacCormick Cash Advance	Tompkins County Trust	785.02
MacCormick Resid Advance	Tompkins County Trust	8,319.14
Medicaid Reimbursement Exchange	Bank of America, N.A.	1,104,550.50
Mid Hudson #236	Bank of America, N.A.	500.00
NYS OCFS Advance Acct (Travel & Misc P.C.)	Bank of America, N.A.	15,800.00
NYS OCFS Salary Advance Account	Bank of America, N.A.	14,148.00
Queens CMSO Cash Advance	Bank of America, N.A.	400.00
Queens-Long Island Aftercare	JPMorgan Chase Bank, N.A.	324.15
Red Hook Res Ctr Resident Cash	Key Bank	299.88
Red Hook Resid Ctr Cash Advance	Key Bank	287.95
Rochester Aftercare Wraparound Account	JPMorgan Chase Bank, N.A.	111.25
SCR Credit Card Revenue Account	Bank of America, N.A.	18,375.00
State Central Register	Bank of America, N.A.	121,674.00
Taberg Cash Advance Account	M&T Bank	0.00
Taberg Cash Advance Account	NBT Bank	571.32
Taberg Residents Account	M&T Bank	0.00
Taberg Residents Account	NBT Bank	990.56
Training Academy Cash Advance	Key Bank	0.00
Youth Leadership Academy	NBT Bank	361.02
Youth Leadership Cash Advance	NBT Bank	110.40
27000 - OFFICE OF TEMPORARY & DISABILITY ASSISTANCE		
Exchange Account	Key Bank	1,100,000.70

Title IV D Of Social Security	Key Bank	210,231.78
Travel Advance	Key Bank	10,000.00
28010 - SUNY ALBANY		
Fee Account	Key Bank	(257,407.75)
Loan Services Center Account	Key Bank	219,199.66
Petty Cash/Travel Advance	Key Bank	30,115.00
28020 - SUNY BINGHAMTON		
SUNY Binghamton	M&T Bank	3,882,742.39
SUNY Binghamton - Controlled Disb	M&T Bank	0.00
SUNY Binghamton - Petty Cash	M&T Bank	61,050.24
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.	607,343.56
General Revenue Account	Key Bank	0.00
Imprest Account	Key Bank	5,696.57
28050 - SUNY STONY BROOK		
Central Funding	JPMorgan Chase Bank, N.A.	1,410,653.75
Controlled Disbursement	JPMorgan Chase Bank, N.A.	0.00
Fees Depository	JPMorgan Chase Bank, N.A.	1,242,929.62
LISVH Fees Depository	JPMorgan Chase Bank, N.A.	102,673.80
LISVH Fees Depository	Sterling Bank	156,194.20
LISVH Residence Fund	Sterling Bank	392,660.92
Payroll Advance	JPMorgan Chase Bank, N.A.	4,445.40
SBU Student Refunds Cont Disb Acct	JPMorgan Chase Bank, N.A.	0.00
State Consolidated Petty Cash/Travel Advance	JPMorgan Chase Bank, N.A.	37,337.00
Student ACH Refunds Account	JPMorgan Chase Bank, N.A.	0.00
University Hosp Fees Depository	JPMorgan Chase Bank, N.A.	4,066,817.28
University Hospital Petty Cash	JPMorgan Chase Bank, N.A.	1,778.14
28100 - SUNY HEALTH SCIENCE CENTER AT BROOKLYN		
Center Revenue	JPMorgan Chase Bank, N.A.	250,296.12
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.	2,236,266.92
LICH Controlled Disbursement	JPMorgan Chase Bank, N.A.	0.00
LICH Depository	JPMorgan Chase Bank, N.A.	549,200.08
Petty Cash	JPMorgan Chase Bank, N.A.	56,284.57
Student Refunds	JPMorgan Chase Bank, N.A.	0.00
28110 - SUNY HEALTH SCIENCE CENTER AT SYRACUSE		
College Revenue	Key Bank	267,632.81
Controlled Disbursement	Key Bank	0.00
Hospital Revenue	Key Bank	4,096,377.23
Parking	Key Bank	257,797.16
28150 - SUNY BROCKPORT		
Agency Advance	M&T Bank	28,150.00
Brockport-REOC Account	Key Bank	5,181.36
Concentration Acct	M&T Bank	199,716.08
Controlled Disb	M&T Bank	0.00
28160 - SUNY BUFFALO STATE COLLEGE		
Advance Account	M&T Bank	87,403.93
Controlled Disb	M&T Bank	0.00
Dept Public Safety	M&T Bank	0.00
Special Grant Account	M&T Bank	1,916.51
Students Acct Office	M&T Bank	985,311.09
28170 - SUNY CORTLAND		
General Checking Account	Key Bank	146,112.65
Petty Cash	Key Bank	32,819.66
28180 - SUNY FREDONIA		
Controlled Disb	M&T Bank	0.00
Depository Account	M&T Bank	128,609.24
Petty Cash	M&T Bank	27,900.00
28190 - SUNY GENESEO		
Advance Account	Key Bank	44,873.68
Controlled Disbursement Account	Key Bank	0.00
State Fees	Key Bank	354,488.15
28200 - SUNY OLD WESTBURY		
Local Depository	JPMorgan Chase Bank, N.A.	47,099.06
Petty Cash	JPMorgan Chase Bank, N.A.	15,807.00
28210 - SUNY NEW PALTZ		
Disbursement Account	Key Bank	0.00
Petty Cash	Key Bank	70,108.38
State Revenue	Key Bank	409,555.14
28220 - SUNY ONEONTA		
Petty Cash Advance Account	NBT Bank	64,475.00

Revenue Account	NBT Bank	2,761,789.28
28230 - SUNY OSWEGO		
Controlled Disbursement	Key Bank	0.00
General Revenue	Key Bank	449,694.84
Imprest Account	Key Bank	42,955.37
28240 - SUNY PLATTSBURGH		
General Revenue	TD Bank	2,553,793.05
Petty Cash	Glens Falls National	20,382.21
28250 - SUNY POTSDAM		
Control Disbursement Account	Key Bank	0.00
Petty Cash Account	Key Bank	27,283.09
State Fee Reconciliation Account	Key Bank	88,409.68
28260 - SUNY PURCHASE		
General Income Fund	Key Bank	78,587.80
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.	7,659.44
Controlled Disbursement Account	Bank of America, N.A.	0.00
Revenue	Bank of America, N.A.	101,077.05
28280 - SUNY EMPIRE STATE COLLEGE		
Concentration Account	Key Bank	214,558.35
Distribution Center Account	Key Bank	61,509.79
Zero Balance Controlled Disbursement Account	Key Bank	0.00
28350 - SUNY COLLEGE OF TECHNOLOGY AT ALFRED		
Fees Account	Community Bank	648,467.77
Petty Cash Account	Community Bank	33,210.00
28360 - SUNY COLLEGE OF TECHNOLOGY AT CANTON		
Community Cash Deposits	NBT Bank	38,564.13
Consolidated Advance	Key Bank	30,000.00
Dental Hygiene	NBT Bank	5,289.00
Income Fund	Key Bank	121,369.70
International Program Account	Key Bank	8,702.64
28370 - SUNY AGRICULTURAL & TECHNICAL COLLEGE AT COBLESKILL		
Income Fund	Key Bank	250,371.91
28380 - SUNY COLLEGE OF TECHNOLOGY AT DELHI		
General Revenue	Delaware National Bank	548,203.41
Petty Cash Fund	Delaware National Bank	21,283.99
28390 - SUNY COLLEGE OF TECHNOLOGY AT FARMINGDALE		
Advance Account	Citibank	21,927.46
Income Fund	Citibank	974,102.77
28400 - SUNY AGRICULTURAL & TECHNICAL COLLEGE AT MORRISVILLE		
Income Fund	Key Bank	884,887.50
Revenue Account	NBT Bank	24,982.94
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
ESF/GSA	Key Bank	11,576.18
Forestry	Community Bank	645.26
Regular Account	Key Bank	93,921.46
Revenue Account	M&T Bank	0.00
Student Government	Key Bank	282,955.91
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.	105,552.79
Petty Cash Account	JPMorgan Chase Bank, N.A.	10,016.13
Revenue Deposit Account	JPMorgan Chase Bank, N.A.	62,242.41
Revenue EFT Account	JPMorgan Chase Bank, N.A.	14,887.86
28580 - SUNY COLLEGE OF OPTOMETRY		
Consolidated Advance	JPMorgan Chase Bank, N.A.	3,300.00
General Revenue	JPMorgan Chase Bank, N.A.	287,123.64
Medical Transportation	JPMorgan Chase Bank, N.A.	691.88
28650 - SUNY CENTRAL SYSTEM ADMINISTRATION		
ASC	Key Bank	10,000.00
NYS Iso	Key Bank	2,697,065.05
Petty Cash	Key Bank	5,000.00
Revenue	Key Bank	386,080.58
37000 - DEPARTMENT OF FINANCIAL SERVICES		
Confidential Investigations	JPMorgan Chase Bank, N.A.	9,630.90
Confidential Investigations	JPMorgan Chase Bank, N.A.	12,046.19

Fire Tax Account (Main)	Key Bank	10,338.41
Fire Tax Payment	Key Bank	0.00
General Assessment Account	JPMorgan Chase Bank, N.A.	222,739.32
General Fund	Key Bank	291,545.55
Market Stabilization Pool Account	JPMorgan Chase Bank, N.A.	90,310,282.20
Miscellaneous Account	JPMorgan Chase Bank, N.A.	1,629,038.93
Petty Cash	Key Bank	4,758.66
Workers Comp Insurance Sec Fund Pymnt	JPMorgan Chase Bank, N.A.	100,021.42
49010 - SARATOGA-CAPITAL DISTRICT STATE PARK COMMISSION		
Contractors Bid (SA)	Bank of America, N.A.	68,926.68
Revenue (SA)	Glens Falls National	12,068.71
49020 - LONG ISLAND STATE PARK COMMISSION		
Contractors Bid (LI)	JPMorgan Chase Bank, N.A.	25,294.93
Regional Account (LI)	Bank of America, N.A.	1.00
Regional Account 2 (LI)	JPMorgan Chase Bank, N.A.	438,506.39
Revenue (LI)	Suffolk County National	130,190.98
49030 - GENESEE STATE PARK COMMISSION		
Contractors Bid (GE)	Bank of Castile	44,159.94
Revenue (GE)	Bank of Castile	1,262,858.04
49040 - NIAGARA FRONTIER STATE PARK COMMISSION		
Contractors Bid (NIA)	Key Bank	974.23
Revenue (NIA)	Evans National Bank	1,283.25
49050 - PALISADES INTERSTATE STATE PARK COMMISSION		
Contractors Bid (PA)	JPMorgan Chase Bank, N.A.	4,152.83
49070 - OFFICE OF PARKS & RECREATION		
Main Office - Change Fund	Key Bank	53,885.00
Main Office Account (ALB)	Key Bank	1,500.00
OPRHP Concentration Account	First Niagara Bank	195,798.14
Petty Cash (ALB)	Key Bank	40,202.75
Revenue (NI, GE, AL, CE, TA)	M&T Bank	126,110.56
Revenue (NYC, CE, LI, PA, TA)	JPMorgan Chase Bank, N.A.	224,395.44
Revenue (SA, LI, GE, NI, CE, TA)	Bank of America, N.A.	197,102.48
Revenue (SA, NI, PA, CE, TA, TI)	Key Bank	47,765.50
Revenue (various)	Wells Fargo Bank	88,094.09
Statewide Campsite/Cabin Revenue	JPMorgan Chase Bank, N.A.	1,257,641.68
Statewide Credit Card Revenue, Revenue (ALB, FL, LI, PA, TI)	First Niagara Bank	1,730,375.71
Statewide Housing Security Deposits	Key Bank	165,380.69
49090 - FINGER LAKES STATE PARK COMMISSION		
Contractors Bid (FL)	Tompkins County Trust	14,820.78
Revenue (FL)	Savannah Bank	257,497.98
Revenue (FL-Multi)	Community Bank	105,672.91
Revenue (FL-Multi-Facilities)	Tompkins County Trust	994,768.15
49100 - ALLEGANY STATE PARK COMMISSION		
Contractors Bid (AL)	Five Star Bank	1,623.00
Regional Account (AL)	Five Star Bank	101,178.61
Revenue (AL)	Five Star Bank	423,672.36
49120 - CENTRAL NEW YORK STATE PARK COMMISSION		
Contractors Bid (CE)	JPMorgan Chase Bank, N.A.	13,699.82
Revenue (CE, SA, TI)	NBT Bank	246,257.69
49130 - TACONIC STATE PARK COMMISSION		
Contractors Bid (TA)	M&T Bank	2,253.02
49140 - THOUSAND ISLANDS STATE PARK COMMISSION		
Revenue (TI -Long Point River)	Citizens Bank	15,159.29
Revenue (TI)	Citizens Bank	22,928.81
Revenue (TI-Multi)	Community Bank	7,395.35
50000 - OFFICE OF MENTAL HEALTH		
Consolidated Advance	Bank of America, N.A.	12,629.41
Iterim Assistance Agreement	Bank of America, N.A.	0.00
OMH Medication Grant Program Acct	Bank of America, N.A.	79,118.06
Petty Cash Manufacturing	Bank of America, N.A.	300.00
Reimbursement Account	Bank of America, N.A.	1,026,433.36
50010 - GREATER BINGHAMTON HEALTH CENTER		
Agency Advance Account	JPMorgan Chase Bank, N.A.	26,189.52
Facility Holding Account	JPMorgan Chase Bank, N.A.	15,425.00
Patient Cash Funds	JPMorgan Chase Bank, N.A.	445,393.15
Patients Cash Account	JPMorgan Chase Bank, N.A.	41,115.66
Security Deposit	JPMorgan Chase Bank, N.A.	2,131.32
50020 - KINGSBORO PSYCHIATRIC CENTER		
Advance Account	Banco Popular	No report received
Family Care	Banco Popular	14,290.87
Holding Account	Banco Popular	186,304.77
Medicaid Outpatient Travel	Banco Popular	4,735.00
Patient Cash Acct (MM)	Banco Popular	328,378.24
Patient Checking Account	Citibank	78,022.48

Patient Savings Account	Banco Popular	332,608.42
Security Deposit	Banco Popular	2,488.24
Urban Oasis/EBT	Banco Popular	17,691.44
50030 - BUFFALO PSYCHIATRIC CENTER		
Advance Account	M&T Bank	60,769.19
Employee Building & Donation	M&T Bank	17,248.03
Facility Holding	M&T Bank	5,366.97
Patient Cash Checking	M&T Bank	144,108.21
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	438.40
Advance Account	Sterling Bank	No report received
CD	Hudson Valley National Bank	425,038.94
General Fund Checking	Hudson Valley National Bank	9,272.76
Patient Cash Checking	Hudson Valley National Bank	627,615.82
Patients Money Market	Hudson Valley National Bank	72,726.75
Social Service Tokens	Hudson Valley National Bank	37,628.65
50110 - ROCHESTER PSYCHIATRIC CENTER		
Agency Advance	Key Bank	17,965.04
Facility Holding	Key Bank	37,249.43
Patients Cash Account	Key Bank	213,519.56
Patients Fund Savings	Key Bank	105,559.63
50120 - ST LAWRENCE PSYCHIATRIC CENTER		
Facility Advance Account	Community Bank	24,265.50
Facility Holding Account	Community Bank	24,181.08
Patients Cash Account	Community Bank	21,064.27
Patients Cash Savings	Community Bank	310,347.87
50150 - CREEDMOOR PSYCHIATRIC CENTER		
Advance Account	HSBC	76,295.22
Certificate Of Deposit	HSBC	150,000.00
Certificate Of Deposit	HSBC	250,000.00
Holding Account	HSBC	15,430.89
Medicaid Travel Account	HSBC	0.00
Money Management Account	HSBC	693,891.13
Patient Cash Account	HSBC	100,144.61
Rent Holding Account	HSBC	1,408.00
50170 - ROCKLAND PSYCHIATRIC CENTER		
Advance Account	JPMorgan Chase Bank, N.A.	51,653.33
Exchange Account	JPMorgan Chase Bank, N.A.	104,085.47
Holding Account	JPMorgan Chase Bank, N.A.	35,996.73
Investment CD	Provident Bank	100,198.26
Investment CD	Sterling Bank	100,124.17
Investment CD	Sterling Bank	100,124.58
Investment CD	Sterling Bank	100,120.79
Investment CD	Sterling Bank	100,139.48
Investment CD	Sterling Bank	100,139.48
Patient Cash Account	JPMorgan Chase Bank, N.A.	50,000.00
Patient Cash Checking Account	JPMorgan Chase Bank, N.A.	168,513.90
Patient Cash Savings Account	JPMorgan Chase Bank, N.A.	881,333.35
50180 - NYS PSYCHIATRIC INSTITUTE		
Donation & Gift Acct/Patient Fund Acct	JPMorgan Chase Bank, N.A.	3,974.21
General	JPMorgan Chase Bank, N.A.	12,530.93
Petty Cash	JPMorgan Chase Bank, N.A.	1,498.48
50190 - RICHARD H HUTCHINGS PSYCHIATRIC CENTER		
Advance Account	Key Bank	14,726.65
Clients Count	Key Bank	155,229.58
Holding Account	Key Bank	18,973.80
50200 - PILGRIM PSYCHIATRIC CENTER		
Facility Advance Account	JPMorgan Chase Bank, N.A.	82,349.13
Facility Holding Acct	JPMorgan Chase Bank, N.A.	165,112.50
Patient Cash	JPMorgan Chase Bank, N.A.	615,801.67
50210 - MOHAWK VALLEY PSYCHIATRIC CENTER		
Advance Fund	Key Bank	15,804.14
Facility Holding	Key Bank	60,245.28
Patient Cash Checking	Key Bank	42,751.99
Patient Cash Savings	Key Bank	48,848.09
Security Deposit	Key Bank	6,497.17
50310 - BRONX PSYCHIATRIC CENTER		
CD	JPMorgan Chase Bank, N.A.	250,000.00
Consolidated Advance	JPMorgan Chase Bank, N.A.	19,004.68
Misc. Receipts	JPMorgan Chase Bank, N.A.	27,137.13
Patients Cash MM	JPMorgan Chase Bank, N.A.	84,389.09
Patients Checking Acct	JPMorgan Chase Bank, N.A.	641,485.32

50340 - NATHAN KLINE INSTITUTE		
Petty Cash Account	JPMorgan Chase Bank, N.A.	1,050.08
50350 - KIRBY FORENSIC PSYCHIATRIC CENTER		
Consolidated Advance Account	Hudson Valley National Bank	30,822.90
Holding Account	Hudson Valley National Bank	9,792.62
Patient Cash Account	Hudson Valley National Bank	79,528.24
50390 - CENTRAL NY PSYCHIATRIC CENTER		
Agency Advance Account	Key Bank	9,665.75
General Fund	Key Bank	2,514.00
Patient Checking	Key Bank	13,605.89
Patient Savings	Key Bank	125,862.87
Security Deposit	Key Bank	1,581.48
50440 - MID-HUDSON FORENSIC PSYCHIATRIC CENTER		
Facility Advance Account	Key Bank	15,975.00
Facility Holding Account	Key Bank	810.50
Patients Account	Key Bank	119,231.39
50520 - BROOKLYN CHILDRENS PSYCHIATRIC CENTER		
Petty Cash Advance Account	Banco Popular	6,785.41
50790 - SOUTH BEACH PSYCHIATRIC CENTER		
Agency Advance Checking	JPMorgan Chase Bank, N.A.	12,939.46
Facility Holding Checking	JPMorgan Chase Bank, N.A.	2,835.75
Family Care Checking	JPMorgan Chase Bank, N.A.	1,500.00
Patients Cash Checking	JPMorgan Chase Bank, N.A.	119,381.37
50800 - BRONX CHILDRENS PSYCHIATRIC CENTER		
General Fund	JPMorgan Chase Bank, N.A.	11,362.35
50810 - WESTERN NY CHILDRENS PSYCHIATRIC CENTER		
Agency Advance	M&T Bank	1,837.70
Exchange Account	M&T Bank	3,347.70
Patients Cash Acct	M&T Bank	70.00
50850 - SAGAMORE CHILDRENS PSYCHIATRIC CENTER		
Sagamore Patient Personal Acct	JPMorgan Chase Bank, N.A.	37,403.02
Sagamore Petty Cash Account	JPMorgan Chase Bank, N.A.	17,995.00
50860 - ROCKLAND CHILDRENS PSYCHIATRIC CENTER		
Advance Account	JPMorgan Chase Bank, N.A.	11,667.14
50870 - QUEENS CHILDRENS PSYCHIATRIC CENTER		
Money Management Account	HSBC	6,248.89
Queens Adv Acct	HSBC	7,144.21
Queens Childrens Account	HSBC	2,474.57
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	12,912.68
General Fund Account	Chemung Canal Trust	6,582.73
IMMA	Chemung Canal Trust	43,869.51
Patients Fund Account	Chemung Canal Trust	89,190.36
50980 - CAPITAL DISTRICT PSYCHIATRIC CENTER		
Facility Advance Account	Key Bank	2,049.14
Facility Holding Account	Key Bank	61,055.73
Parking Garage Account	Key Bank	237,368.25
Patients Cash Checking Account	Key Bank	48,882.17
Patients Cash Savings Account	Key Bank	445,960.54
51000 - OFFICE OF MENTAL RETARDATION & DEVELOPMENTAL DISABILITIES		
DIS Funded Depreciation Acct	Bank of America, N.A.	549.99
MMIS Intercept Debt Serv Acct	Bank of America, N.A.	0.00
Petty Cash Acct	Bank of America, N.A.	No report received
Revenue Account	Bank of America, N.A.	6,033,351.08
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	16,967.76
Advance Accounts	Key Bank	16,163.37
Clients Account	Key Bank	95,908.00
Consumer Cash - Checking	M&T Bank	40,617.94
Consumer Cash - Savings	Key Bank	1,746,642.56
Consumer Cash - Savings	M&T Bank	2,339,797.24
EBT Checking Account	Key Bank	176,949.34
Exchange Account	Key Bank	1,304.07

51250 - TACONIC DDSO		
Agency Advance Account	M&T Bank	63,722.92
Electronic Benefits Transfer	M&T Bank	0.00
General Fund	M&T Bank	25,551.39
Patients Cash Checking	M&T Bank	76,904.33
Patients Fund Savings	M&T Bank	2,078,237.17
500 Balltown Rd Schenectady, NY		
TDDSO Representative Payee Savings Acct	The Adirondack Trust Company	700,320.08
51270 - STATEN ISLAND DDSO		
Clients Cash Account	JPMorgan Chase Bank, N.A.	364,756.30
General Fund Account	JPMorgan Chase Bank, N.A.	0.00
Money Market Account	JPMorgan Chase Bank, N.A.	274,784.50
Petty Cash Account	JPMorgan Chase Bank, N.A.	6,926.97
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.	6,911.14
EBT Checking Account	JPMorgan Chase Bank, N.A.	658,723.60
General Fund	JPMorgan Chase Bank, N.A.	20,646.15
Patient Cash	JPMorgan Chase Bank, N.A.	1,629,894.42
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	No report received
Community Store Fund	Community Bank	No report received
EBT	Community Bank	No report received
Exchange Fund	Community Bank	No report received
Residents Fund	Community Bank	No report received
Sunmount Advance Account	Community Bank	No report received
Sunmount EBT Checking Account	Community Bank	No report received
51430 - INSTITUTE FOR BASIC RESEARCH IN DEVELOPMENTAL DISABILITIES		
Petty Cash	JPMorgan Chase Bank, N.A.	12,526.24
51450 - METRO NY DDSO		
Consolidated Acct	JPMorgan Chase Bank, N.A.	21,829.23
Manhattan DDSO Client Cash	JPMorgan Chase Bank, N.A.	32,690.63
Metro NY DDSO Food Stamp Acct	JPMorgan Chase Bank, N.A.	55,865.00
Metro NY DDSO REP PAYEE ACCOUNT	JPMorgan Chase Bank, N.A.	578,488.08
Patients Cash Account	JPMorgan Chase Bank, N.A.	22,510.98
Patients Money Market Account	JPMorgan Chase Bank, N.A.	0.09
Petty Cash	JPMorgan Chase Bank, N.A.	346.05
51470 - BERNARD M FINESON DDSO		
Bernard Fineson DDSO Food Stamp Acct	JPMorgan Chase Bank, N.A.	64,020.00
Money Market Account	JPMorgan Chase Bank, N.A.	303,328.93
Patient Fund Account	JPMorgan Chase Bank, N.A.	565,917.23
Petty Cash Fund	JPMorgan Chase Bank, N.A.	30,939.90
51780 - FINGER LAKES DDSO		
Advance Account	JPMorgan Chase Bank, N.A.	70,305.30
F.L. Newark Resident Checking	Community Bank	67,306.72
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.	311,778.37

FL Vending Machine Account	Community Bank	104,409.15
General Account	JPMorgan Chase Bank, N.A.	89,202.21
Geneseo Client Cash	Bank of America, N.A.	11,206.01
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.	203,502.80
Monroe Resident Savings	JPMorgan Chase Bank, N.A.	98,024.92
Patient Food Stamp Account	JPMorgan Chase Bank, N.A.	1,027,912.33
51940 - BROOME DDSO		
Broome DDSO	M&T Bank	18,439.18
Broome DDSO - Advance Account	M&T Bank	36,742.51
Broome DDSO - General Fund	M&T Bank	7,781.41
Disabled Individuals Savings	Key Bank	1,793,154.09
Disabled Individuals Savings	M&T Bank	39,821.66
OMRDD Broome DDSO EBT Checking	M&T Bank	97,627.11
53000 - OFFICE OF ALCOHOLISM & SUBSTANCE ABUSE SERVICES		
Agency Advance Acct	Key Bank	No report received
Patient Fees	Bank of America, N.A.	No report received
Revenue Account	Bank of America, N.A.	No report received
53020 - KINGSBORO ALCOHOLISM TREATMENT CENTER		
Petty Cash Advance Account	Bank of America, N.A.	717.58
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 Imprest Cash Account	Citibank	No report received
CUNY Admin UAO Travel Advance	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
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
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
Christopher Curtis *Deputy Commissioner and State Treasurer*

**FUNDS OF THE DIVISION OF THE TREASURY OF WHICH THE COMMISSIONER OF TAXATION AND FINANCE
IS THE SOLE CUSTODIAN WITH BALANCES AS OF 10/31/2016**

ACCOUNT DESCRIPTION		DEPOSITORY	BALANCE AS OF 10/31/2016
COMMUNITY COLLEGE TUITION AND INSTRUCTIONAL INCOME FUND			
0226	Upstate Community Colleges, FIT Series 2000A	Key Bank	54,836.53
0231	Upstate Community Colleges, Series 2005A	Key Bank	0.00
0232	Upstate Community Colleges, Series 2005B	Key Bank	118,175.87
0233	Upstate Community Colleges, Series 2005C	Key Bank	109,011.86
DORMITORY AUTHORITY OF THE STATE OF NEW YORK			
0039	Mental Hygiene Facilities Improvement Fund Income Account	Bank of America, N.A.	47,332,120.48
0070	Hospital and Nursing Home Project Operating Fund	Key Bank	0.00
0104	Lincoln Medical and Mental Health Center Project Construction Account	Key Bank	9,133.64
0105	Greenpoint Medical and Mental Health Center Project Construction Account	Key Bank	159,527.74
0149	State Advances Repayment Account	Bank of America, N.A.	53.09
1202	DA DFRF MAC #1202 Binghamton	Key Bank	30,992,035.48
1203	DA DFRF MAC #1203 Oneonta	Key Bank	5,536,328.26
1205	DA DFRF MAC #1205 Delhi	Key Bank	2,311,122.80
1206	DA DFRF MAC #1206 Buffalo Univ	Key Bank	7,038,737.19
1207	DA DFRF MAC #1207 Buffalo College	Key Bank	5,513,372.90
1208	DA DFRF MAC #1208 Alfred	Key Bank	1,964,804.47
1209	DA DFRF Mac #1209 Fredonia	Key Bank	5,001,152.52
1211	DA DFRF Mac #1211 Upstate Medical	Key Bank	2,145,305.28
1212	DA DFRF Mac #1212 Oswego	Key Bank	6,206,451.70
1214	DA DFRF Mac #1214 Cortland	Key Bank	5,877,375.37
1215	DA DFRF MAC #1215 Stony Brook	Key Bank	23,386,810.27
1216	DA DFRF MAC #1216 Old Westbury	Key Bank	2,068,129.28
1217	DA DFRF MAC #1217 Farmingdale	Key Bank	1,371,321.04
1218	DA DFRF MAC #1218 Downstate Med	Key Bank	26,990.70
1219	DA DFRF MAC #1219 Maritime	Key Bank	1,877,608.59
1221	DA DFRF MAC #1221 Brockport	Key Bank	5,418,832.32
1222	DA DFRF MAC #1222 Geneseo	Key Bank	4,246,897.83
1223	DA DFRF MAC #1223 Purchase	Key Bank	5,246,938.74
1224	DA DFRF MAC #1224 New Paltz	Key Bank	11,349,437.52
1225	DA DFRF MAC #1225 Canton	Key Bank	1,028,805.00
1226	DA DFRF MAC #1226 Plattsburgh	Key Bank	3,746,239.78
1227	DA DFRF MAC #1227 Potsdam	Key Bank	2,952,539.88
1228	DA DFRF MAC #1228 Morrisville	Key Bank	912,813.22
1229	DA DFRF MAC #1229 SUNYIT	Key Bank	2,396,942.82
1230	DA DFRF MAC #1230 Cobleskill	Key Bank	1,286,413.11
1239	DA DFRF MAC #1239 Albany	Key Bank	12,986,645.76
1240	Dormitory Authority Collection Account - Mac 1240	Key Bank	0.00
2202	DA OMRR MAC #2202 Binghamton	Key Bank	6,421,618.76
2203	DA OMRR MAC #2203 Oneonta	Key Bank	52.36
2205	DA OMRR MAC #2205 Delhi	Key Bank	1,930,537.61
2206	DA OMRR MAC #2206 Buffalo Univ	Key Bank	1,660,929.13
2207	DA OMRR MAC #2207 Buffalo College	Key Bank	611,313.16
2208	DA OMRR MAC #2208 Alfred	Key Bank	53.26
2209	DA OMRR MAC #2209 Fredonia	Key Bank	99.30
2211	DA OMRR MAC #2211 Upstate Medical	Key Bank	87.05
2212	DA OMRR MAC #2212 Oswego	Key Bank	101.64
2214	DA OMRR MAC #2214 Cortland	Key Bank	3,448,267.13
2215	DA OMRR MAC #2215 Stony Brook	Key Bank	237.23
2216	DA OMRR MAC #2216 Old Westbury	Key Bank	953,392.10
2217	DA OMRR MAC #2217 Farmingdale	Key Bank	57.01
2218	DA OMRR MAC #2218 Downstate Med	Key Bank	123,399.89
2219	DA OMRR MAC #2219 Maritime	Key Bank	1,339,775.28
2221	DA OMRR MAC #2221 Brockport	Key Bank	98.12
2222	DA OMRR MAC #2222 Geneseo	Key Bank	2,222,332.92
2223	DA OMRR MAC #2223 Purchase	Key Bank	107.80
2224	DA OMRR MAC #2224 New Paltz	Key Bank	89.69
2225	DA OMRR MAC #2225 Canton	Key Bank	81.96
2226	DA OMRR MAC #2226 Plattsburgh	Key Bank	95.96
2227	DA OMRR MAC #2227 Potsdam	Key Bank	74.01
2228	DA OMRR MAC #2228 Morrisville	Key Bank	60.01
2229	DA OMRR MAC #2229 SUNYIT	Key Bank	172,365.82
2230	DA OMRR MAC #2230 Cobleskill	Key Bank	2,837,984.37
2239	DA OMRR MAC #2239 Albany	Key Bank	150.83
2240	DA UNALLOCATED FD MAC #2240 System Admin	Key Bank	9,991,054.77
HOMELESS HOUSING ASSISTANCE CORPORATION			
0320	Social Services Homeless Housing and Assistance Corporation Operating Account	Key Bank	6,613,532.72

NELSON A. ROCKEFELLER EMPIRE STATE PLAZA PERFORMING ARTS CENTER CORPORATION

0315	Nelson A. Rockefeller Empire State Plaza Performing Arts Center Corporation	Key Bank	64,342.44
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NEW YORK CONVENTION CENTER

0300	Operating Fund	JPMorgan Chase Bank, N.A.	5,838,788.41
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NEW YORK JOB DEVELOPMENT AUTHORITY

0036	Special Purpose Fund	Bank of America, N.A.	608,247.81
0371	Series H Commercial Paper	Bank of America, N.A.	1,794,837.99
0389	Daily Demand Special Purpose Bonds Series 1992A-B	JPMorgan Chase Bank, N.A.	105,874.96
0421	Escrow Account for Package Fulfillment Center Inc.	Key Bank	30,862.77
0423	Escrow Account for USA Industries Inc.	Key Bank	37,267.36
0424	Escrow Account for Pluritec USA Inc.	Key Bank	19,778.50

NYS AFFORDABLE HOUSING CORPORATION

0491	Disbursement Account	JPMorgan Chase Bank, N.A.	93,493.07
0520	Development Account	Key Bank	2,421,785.85
0521	Development Account II	Key Bank	0.03
0522	Repayment Account	Key Bank	0.00
0523	Recapture Account	Key Bank	0.00
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.	213,799.47
0625	Advance Acct/Imprest Confidential Fund	Bank of America, N.A.	29,078.74
0626	Criminal Investigation Division	Key Bank	581,859.22
0778	PIT/STAR Rebate Exchange Account	JPMorgan Chase Bank, N.A.	0.00
0800	NYS IRS PIT offset account	Key Bank	2,309,712.30
0827	Stock Transfer Incentive Fund	Key Bank	1,128,274.48
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.	45,821.19
0030	NYS Energy Research and Development Authority	Bank of America, N.A.	774,370.91

NYS HOUSING FINANCE AGENCY

0032	Operating Fund	Key Bank	0.00
0251	Housing Project Repair Fund	Key Bank	31,784.12
0252	Energy Conservation/Tenant Health & Safety Improvement Account	JPMorgan Chase Bank, N.A.	36,262.44
0254	Agency Assisted Housing Operation Fund	JPMorgan Chase Bank, N.A.	680,458.33
0255	Residual Indebtedness Program Operating Fund	JPMorgan Chase Bank, N.A.	6,156.97
0266	Community Related Programs Operating Account	Key Bank	820,459.74
0267	Neighborhood Stabilization Program - Round 1	JPMorgan Chase Bank, N.A.	280.85
0268	Neighborhood Stabilization Program 3	JPMorgan Chase Bank, N.A.	32.77
0270	Claims Repayment Account	Key Bank	104,306.09
0271	Pre-Bond Revenue Account	Key Bank	140,022.62
0272	TCAP Account	Key Bank	213.97
0274	NYSHFA Special Reserve Fund	JPMorgan Chase Bank, N.A.	194,531.15
0277	Amalgamated Warbasse Houses Construction Defect Repair Fund	JPMorgan Chase Bank, N.A.	2.40
0283	Small Owner's Assistance Program Account	Key Bank	23,632.85
0285	Public Purpose Account	Key Bank	139,298.46
0286	Disbursement Account	Key Bank	3,868,536.25
0287	Infrastructure Development Fund	Key Bank	23,271.72
0288	Mobile Home Cooperative Fund	Key Bank	3,440.28
0290	Low Rent Lease Account	Key Bank	177,199.56
0292	Homeless Housing Initiatives	Key Bank	143,205.28
0295	Castleton Park Escrow	Key Bank	0.00
0296	NYC Contribution PHHF	Key Bank	54,542.89
0879	Payroll Account	JPMorgan Chase Bank, N.A.	128,544.50

NYS HOUSING TRUST FUND CORPORATION

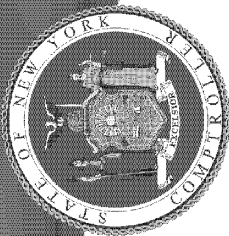
0458	Section 8 Housing Assistance Payment Account	JPMorgan Chase Bank, N.A.	12,554.60
0460	Escrow Account	M&T Bank	1,780,161.28
0461	Housing Modernization Account	M&T Bank	7,301,320.83
0462	General Custodial Account	M&T Bank	42,246,288.85
0463	General Administrative Account	M&T Bank	0.00
0464	Turnkey Account	M&T Bank	0.00
0465	Home Program Account	M&T Bank	6,045,152.33
0466	Homes for Working Families Account	M&T Bank	5,049,022.47
0467	Section 8 Administrative Account	M&T Bank	8,211,981.79
0468	Small Cities Administrative Account	M&T Bank	0.00
0469	OCR Community Miscellaneous Programs Account	M&T Bank	15,103,995.88
0470	HCV Main Account	Bank of America, N.A.	12,557,884.45
0471	Empire State Relief Fund	M&T Bank	1,624,027.55

0472	Master Escrow Account	Bank of America, N.A.	0.00
0473	Family Self-Sufficiency Account	Bank of America, N.A.	3,952,982.36
0474	Moderate Rehabilitation Account	Bank of America, N.A.	0.00
0475	Reserve Account	Bank of America, N.A.	80,023.28
0476	Voucher Fee Account	Bank of America, N.A.	0.00
0477	Five-Year Mainstream Account	Bank of America, N.A.	535,391.63
0480	OHP Miscellaneous Programs Account	Bank of America, N.A.	682,730.59
0891	Small Cities Community Development Block Grant Program	M&T Bank	383,274.24
0892	Disaster Recovery Initiative Account	M&T Bank	14,008.83
0893	Payroll Account for Small Cities CDBG Program	M&T Bank	158.69
0895	HTFC Storm Recovery Payment	M&T Bank	4,684,133.42
NYS INSURANCE DEPARTMENT			
0001	Property/Casualty Insurance Security Fund	Key Bank	248,343.70
0002	Public Motor Vehicle Security Fund	JPMorgan Chase Bank, N.A.	651,379.19
0003	Workers' Compensation Security Fund	JPMorgan Chase Bank, N.A.	3,171,528.10
0004	Medical Indemnity Fund	JPMorgan Chase Bank, N.A.	765,085.65
NYS TEACHERS RETIREMENT SYSTEM			
0052	Master Funding Account	State Street Bank & Trust Co.	0.00
0052	Main Account	JPMorgan Chase Bank, N.A.	6,454,208.22
0853	Excess Benefit Fund	JPMorgan Chase Bank, N.A.	1,912,409.90
0854	NYSTRS Electronic Value Transfer System	JPMorgan Chase Bank, N.A.	0.00
STATE INSURANCE FUND			
0053	State Insurance Fund	Bank of America, N.A.	52,044,191.55
0054	State Insurance Fund	Bank of America, N.A.	1,559,057.54
0055	State Insurance Fund	Bank of America, N.A.	1,606,098.96
0861	Disability Benefits Fund Tax Escrow Account	Bank of America, N.A.	46,641.13
STATE UNIVERSITY CONSTRUCTION FUND			
0034	Income Fund	Key Bank	582,343.36
0075	Educational Facilities Revenue Bonds Debt Service Account	Key Bank	29,420.76
0870	Deductions Account	Key Bank	103,775.61
0871	Bio-Tech Incubator at Farmingdale	Key Bank	1.90
WORKERS COMPENSATION BOARD			
0006	Fund for Reopened Cases	Bank of America, N.A.	888,562.68
0007	Special Disability Fund	Bank of America, N.A.	(5,014,769.86)
0008	Special Fund for Disability Benefits	Bank of America, N.A.	211,721.68
0008	Special Fund for Disability Benefits	Key Bank	527,215.30
0011	Uninsured Employers Fund	Bank of America, N.A.	1,525,507.03
0012	WCB Asset Transfer Account	Bank of America, N.A.	770.53
0013	WCB Assessment Revenue Clearing	Bank of America, N.A.	83,165,250.66

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

Christopher Curtis *Deputy Commissioner and State Treasurer*



Office of the NEW YORK STATE
COMPTROLLER

Comptroller's Monthly Report on State Funds Cash Basis of Accounting

OCTOBER 2016

NYS Comptroller
THOMAS P. DINAPOLI

Office of Operations
Division of Payroll, Accounting and Revenue Services
Bureau of Financial Reporting and Oil Spill Remediation



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

October 31, 2016

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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			MONTH OF			MONTH OF			MONTH OF			MONTH OF			\$ Increase/			
	7 MOS. ENDED	OCT. 31, 2016		7 MOS. ENDED	OCT. 31, 2016		7 MOS. ENDED	OCT. 31, 2016		7 MOS. ENDED	OCT. 31, 2016		7 MOS. ENDED	OCT. 31, 2016		7 MOS. ENDED	OCT. 31, 2015	(Decrease)	% Increase/Decrease
RECEIPTS:																			
Personal Income Tax	(4)	\$ 1,894.9	\$ 18,989.5	\$ 4.6	\$ 534.5	\$ 633.2	\$ 6,508.0	\$ -	\$ -	\$ -	\$ 2,532.7	\$ 26,032.0	\$ 26,684.3	\$ 2,450.7	\$ 26,684.3	\$	(652.3)		-2.4%
Consumption/Use Taxes		549.3	4,148.8	171.7	1,226.1	499.9	3,773.7	46.8	368.0		1,267.7	9,516.6	9,257.7	1,139.2	9,257.7		258.9		2.8%
Business Taxes		409.7	2,714.3	133.7	871.9	-	-	54.9	376.7		588.3	3,962.9	3,935.9	206.6	3,935.9		27.0		0.7%
Other Taxes		100.1	649.3	111.7	720.6	84.6	621.4	11.9	59.5		308.3	2,050.8	2,448.5	338.3	2,448.5		(397.7)		-16.2%
Miscellaneous Receipts		96.3	1,543.4	1,371.0	10,184.4	32.5	264.2	323.0	2,100.5		1,822.8	14,092.5	15,933.9	2,298.6	15,933.9		(1,491.4)		-9.6%
Federal Receipts		-	0.3	3,393.9	28,016.7	-	36.7	164.1	1,419.3		3,558.0	29,473.0	27,059.9	3,333.7	27,059.9		2,413.1		8.9%
Total Receipts		3,050.3	28,045.6	5,186.6	41,554.2	1,250.2	11,204.0	600.7	4,324.0		10,087.8	85,127.8	84,970.2	9,767.1	84,970.2		157.6		0.2%
DISBURSEMENTS:																			
Local Assistance Grants:	(3)																		
Education		1,367.0	11,572.7	494.7	4,814.3	-	-	2.6	19.0		1,864.3	16,406.0	16,282.6	692.3	16,282.6		123.4		0.8%
Environment and Recreation		0.1	3.5	0.1	3.6	-	-	7.2	50.5		7.4	57.6	53.6	0.5	53.6		4.0		7.5%
General Government		41.2	728.3	22.9	148.7	-	-	68.2	225.2		130.3	1,102.2	878.4	40.9	878.4		223.8		25.5%
Public Health:																			
Medicaid		1,039.8	8,264.3	2,733.8	21,054.5	-	-	-	-		3,773.6	29,318.8	27,761.4	3,302.9	27,761.4		1,557.4		5.6%
Other Public Health		50.8	848.5	601.5	4,058.2	-	-	10.7	57.3		663.0	4,964.0	3,517.8	184.9	3,517.8		1,446.2		41.1%
Public Safety		7.3	86.6	88.1	840.0	-	-	13.0	31.3		106.4	957.9	1,122.9	164.9	1,122.9		(165.0)		-14.7%
Public Welfare		163.9	1,489.1	270.5	2,721.3	-	-	9.2	81.7		443.6	4,292.1	4,534.2	401.7	4,534.2		(242.1)		-5.3%
Support and Regulate Business		10.9	92.1	1.0	15.9	-	-	4.0	445.0		15.9	553.0	517.2	11.0	517.2		35.8		6.9%
Transportation		-	58.2	379.7	2,777.3	-	-	71.1	605.5		450.8	3,441.0	3,021.2	367.5	3,021.2		419.8		13.9%
Total Local Assistance Grants		2,681.0	23,143.3	4,590.3	36,433.8	-	-	184.0	1,515.5		7,455.3	61,092.6	57,689.3	5,166.6	57,689.3		3,403.3		5.9%
Departmental Operations:																			
Personal Service		461.8	3,578.3	575.8	4,379.5	-	-	-	-		1,038.6	7,957.8	7,863.4	1,208.0	7,863.4		(5.6)		-0.1%
Non-Personal Service		220.9	1,110.4	382.1	2,725.0	0.9	25.0	-	-		603.9	3,860.4	3,568.8	267.5	3,568.8		309.6		8.7%
General State Charges		500.6	4,392.5	28.6	1,192.7	-	-	-	-		529.2	5,485.2	5,296.7	484.8	5,296.7		188.5		3.6%
Debt Service, Including Payments on	(1)	-	-	-	-	32.3	1,495.5	-	-		32.3	1,495.5	1,693.7	18.5	1,693.7		(166.2)		-11.7%
Financing Agreements		-	-	-	-	-	-	587.2	3,751.2		587.2	3,753.6	321.8	292.8	321.8		331.8		9.7%
Capital Projects		-	-	-	2.4	-	1,520.5	771.2	5,266.7		10,246.5	83,645.1	79,615.7	7,438.2	79,615.7		4,029.4		5.1%
Total Disbursements		3,864.3	32,124.5	5,577.8	44,733.4	33.2	1,520.5	771.2	5,266.7		10,246.5	83,645.1	79,615.7	7,438.2	79,615.7		4,029.4		5.1%
Excess (Deficiency) of Receipts over Disbursements		(814.0)	(4,078.9)	(391.2)	(3,179.2)	1,217.0	9,683.5	(170.5)	(942.7)		(158.7)	1,482.7	5,354.5	2,328.9	5,354.5		(3,871.8)		-72.3%
OTHER FINANCING SOURCES (USES):																			
Bond Proceeds (net)		-	-	-	-	-	-	-	-		-	-	-	-	-		-		0.0%
Transfers from Other Funds	(2)	1,173.4	10,203.5	668.7	5,051.8	187.2	1,559.0	286.9	1,481.2		2,316.2	18,300.4	19,557.6	2,124.8	19,557.6		(1,257.2)		-6.4%
Transfers to Other Funds	(2)	(1,001.6)	(6,135.1)	(81.1)	(917.5)	(1,205.8)	(10,829.3)	(30.8)	(445.8)		(2,319.3)	(18,327.7)	(19,810.5)	(2,123.7)	(19,810.5)		(1,282.8)		-6.5%
Total Other Financing Sources (Uses)		171.8	4,068.4	587.6	4,134.3	(1,018.6)	(9,270.3)	256.1	(1,040.3)		(3.1)	(27.3)	(52.9)	1.1	(52.9)		25.6		48.4%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses		(642.2)	(10.5)	196.4	955.1	198.4	413.2	85.6	97.6		(161.8)	1,455.4	5,301.6	2,330.0	5,301.6		(3,846.2)		-72.5%
Beginning Fund Balances (Deficits)		9,565.8	8,934.1	4,365.8	3,607.1	374.5	159.7	(878.8)	(890.8)		13,427.3	11,810.1	9,355.6	12,327.2	9,355.6		2,454.5		26.2%
Ending Fund Balances (Deficits)		8,923.6	8,923.6	4,562.2	4,562.2	572.9	572.9	(793.2)	(793.2)		\$ 13,265.5	\$ 13,265.5	\$ 14,057.2	\$ 14,657.2	\$ 14,057.2		\$ (1,391.7)		-8.5%

EXHIBIT A
SUPPLEMENTAL

SUPPLEMENTAL

*) 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.

GOVERNMENTAL FUNDS FOOTNOTES

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)	\$90.7 million
Urban Development Corporation (Youth Facilities)	16.1
Housing Finance Agency (HFA)	211.1
Housing Assistance Fund	13.6
Dormitory Authority (Mental Hygiene)	432.3
Dormitory Authority and State University Income Fund	467.9
Federal Capital Projects	512.3
State bond and note proceeds	37.7

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	\$899.5 million
General Debt Service Fund	412.8
Banking Services Account	24.8
Court Facilities Incentive Aid Fund	60.4
Dedicated Highway & Bridge Trust Fund	33.0
Dedicated Infrastructure Investment Fund	430.7
Dedicated Mass Transportation - Railroad Account	4.4
Dedicated Mass Transportation - Transit Authority Account	24.4
Dedicated Mass Transportation (Non-MTA)	2.5
Environmental Protection Fund	38.0
Financial Crimes Revenue Account	6.3
Hazardous Waste Remediation Oversight and Assistance Account	5.0
Housing Debt Service Fund	3.4
Mental Hygiene Program Fund	850.0
Mental Hygiene Patient Income Account	1,300.0
MTA Operating Assistance Fund	24.3
MTA Financial Assistance Fund	252.4
NYC County Courts Operating Fund	4.4
SUNY - Hospital IFR	39.1
SUNY - Income Fund	816.9

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 (\$7.8m), the State University Income Fund (\$174.9m), the Mental Hygiene Program Account (\$718.9m) and Miscellaneous State Special Revenue Account (\$0.4m).

\$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 October 31, 2016 - pursuant to a certification of the Budget Director - the reserve amount is (\$99.9m), which was funded by a transfer from the General Fund.

Special Revenue Funds "Transfers To Other Funds" includes transfers to Debt Service funds of (\$894.0m) representing the federal share of Medicaid payments for patients residing in State-operated Health and Mental Hygiene facilities and transfers to the Capital Projects funds (\$79.2m).

EXHIBIT A NOTES
October 2016

Also included in Special Revenue funds are transfers to the General Fund from the following:

Certificate of Need Account	\$22.2 million
Dept of Labor - Fee & Penalty Account	8.4
Examination & Miscellaneous Revenue Account	1.6
Federal Dept of Health & Human Services Fund	47.4
Federal USDA/Food and Nutrition Services Fund	10.1
Professional Education Services Account	2.8
SUNY Income Fund	25.0
Transportation Surplus Property Account	1.8
Unemployment Insurance Administration Fund	9.5
Unemployment Insurance - Interest & Penalty Account	3.3
Vital Records Management Fund	2.3

Debt Service Funds "Transfers To Other Funds" includes transfers to the General Fund from the following:

Revenue Bond Tax Fund	\$6,108.9 million
Local Government Assistance Tax Fund	1,844.5
Sales Tax Revenue Bond Tax Fund	1,530.5
Clean Water/Clean Air Fund	581.6

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 (\$83.7m) and Mental Hygiene (\$680.2m).

Capital Projects Funds "Transfers To Other Funds" includes transfers to the General Fund (\$15.8m), the General Debt Service Fund (\$230.5m), and the Revenue Bond Tax Fund (\$191.2m).

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.

	General Fund	Allocation of Month-End Balances Special Revenue - Federal
Medicaid Recoveries - Health Facilities	\$ -	\$ 849,836
Medicaid Recoveries - Audit	-	854,781
Medicaid Recoveries - Third Parties	-	7,901,579
Pharmacy Rebates	-	1,721,265
Medicare Catastrophic Recovery	-	-
Medicaid "Windfall" Recovery	-	-
Total	\$ -	\$ 11,327,461

4. 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. School Tax Relief payments were (\$526.1m) as of October 31, 2016.

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	7 MOS. ENDED		MONTH OF	7 MOS. ENDED		MONTH OF	7 MOS. ENDED	MONTH OF	7 MOS. ENDED	\$ Increase/ (Decrease)	% Increase/ Decrease
	OCT. 2016	OCT. 31, 2016		OCT. 2016	OCT. 31, 2016		OCT. 2016	OCT. 31, 2016	OCT. 2015	OCT. 31, 2015		
RECEIPTS:												
Miscellaneous Receipts	\$ 4.9	\$ 37.6	\$ 216.7	\$ 28.5	\$ 216.7		\$ 33.4	\$ 254.3	\$ 20.7	\$ 315.4	\$ (61.1)	-19.4%
Federal Receipts	1.5	10.1	-	-	-		1.5	10.1	2.1	17.5	(7.4)	-42.3%
Unemployment Taxes	154.5	1,156.9	-	-	-		154.5	1,156.9	151.3	1,252.2	(95.3)	-7.6%
Total Receipts	160.9	1,204.6	216.7	28.5	216.7		189.4	1,421.3	174.1	1,585.1	(163.8)	-10.3%
DISBURSEMENTS:												
Departmental Operations:												
Personal Service	1.7	3.4	55.5	7.2	55.5		8.9	58.9	8.8	54.8	4.1	7.5%
Non-Personal Service	5.1	30.8	231.7	(32.4)	231.7		(27.3)	262.5	8.9	291.4	(28.9)	-9.9%
General State Charges	-	0.4	21.2	-	21.2		-	21.6	0.3	20.5	1.1	5.4%
Unemployment Benefits	155.8	1,210.7	-	-	-		155.8	1,210.7	146.7	1,243.3	(32.6)	-2.6%
Total Disbursements	162.6	1,245.3	308.4	(25.2)	308.4		137.4	1,553.7	164.7	1,610.0	(56.3)	-3.5%
Excess (Deficiency) of Receipts Over Disbursements	(1.7)	(40.7)	(91.7)	53.7	(91.7)		52.0	(132.4)	9.4	(24.9)	(107.5)	-431.7%
OTHER FINANCING SOURCES (USES):												
Transfers from Other Funds	-	-	24.8	3.1	24.8		3.1	24.8	0.5	31.3	(6.5)	-20.8%
Transfers to Other Funds	-	-	(7.7)	-	(7.7)		-	(7.7)	(1.9)	(9.8)	(2.1)	-21.4%
Total Other Financing Sources (Uses)	-	-	17.1	3.1	17.1		3.1	17.1	(1.4)	21.5	(4.4)	-20.5%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(1.7)	(40.7)	(74.6)	56.8	(74.6)		55.1	(115.3)	8.0	(3.4)	(111.9)	-3,291.2%
Beginning Fund Balances (Deficits)	27.1	66.1	(127.2)	(258.6)	(127.2)		(231.5)	(61.1)	(157.5)	(146.1)	85.0	58.2%
Ending Fund Balances (Deficits)	\$ 25.4	\$ 25.4	\$ (201.8)	\$ (201.8)	\$ (201.8)		\$ (176.4)	\$ (176.4)	\$ (149.5)	\$ (149.5)	\$ (26.9)	-18.0%

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	7 MOS. ENDED		MONTH OF	7 MOS. ENDED		MONTH OF	7 MOS. ENDED	MONTH OF	7 MOS. ENDED	\$ Increase/ (Decrease)	% Increase (Decrease)
	OCT. 2016	OCT. 31, 2016		OCT. 2016	OCT. 31, 2016		OCT. 2016	OCT. 31, 2016	OCT. 2015	OCT. 31, 2015		
RECEIPTS:												
Miscellaneous Receipts	\$ 4.8	\$ 38.1	\$ 0.1	\$ 0.1	\$ (1.1)		\$ 4.9	\$ 37.0	\$ 4.9	\$ 62.9	\$ (25.9)	-41.2%
Total Receipts	4.8	38.1	0.1	0.1	(1.1)		4.9	37.0	4.9	62.9	(25.9)	-41.2%
DISBURSEMENTS:												
Departmental Operations:												
Personal Service	4.8	35.5	-	-	0.1		4.8	35.6	4.9	36.3	(0.7)	-1.9%
Non-Personal Service	0.9	7.0	-	-	-		0.9	7.0	0.8	6.1	0.9	14.8%
General State Charges	-	11.5	-	-	0.1		-	11.6	-	14.4	(2.8)	-19.4%
Total Disbursements	5.7	54.0	-	-	0.2		5.7	54.2	5.7	56.8	(2.6)	-4.6%
Excess (Deficiency) of Receipts Over Disbursements	(0.9)	(15.9)	0.1	0.1	(1.3)		(0.8)	(17.2)	(0.8)	6.1	(23.3)	-382.0%
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	(0.9)	(15.9)	0.1	0.1	(1.3)		(0.8)	(17.2)	(0.8)	6.1	(23.3)	-382.0%
Beginning Fund Balances (Deficits)	(14.9)	0.1		10.2	11.6		(4.7)	11.7	1.5	(5.4)	17.1	316.7%
Ending Fund Balances (Deficits)	(15.8)	(15.8)	10.3	10.3	10.3		(5.5)	(5.5)	0.7	0.7	(6.2)	-885.7%

EXHIBIT D

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
STATE FISCAL YEAR ENDED MARCH 31, 2017
FOR SEVEN MONTHS ENDED OCTOBER 31, 2016
(Amounts in millions)

	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	\$ 26,992.0	\$ 26,025.0	\$ 26,032.0	\$ (960.0)	\$ 7.0
Consumption/Use	9,397.0	9,498.0	9,516.6	119.6	18.6
Business	3,432.0	3,946.0	3,962.9	530.9	16.9
Other	1,962.0	2,036.0	2,050.8	88.8	14.8
Miscellaneous Receipts	13,513.0	13,928.0	14,092.5	579.5	164.5
Federal Receipts	29,564.0	29,448.0	29,473.0	(91.0)	25.0
Total Receipts	84,860.0	84,881.0	85,127.8	267.8	246.8
DISBURSEMENTS:					
Local Assistance Grants	60,787.0	61,058.0	61,092.6	305.6	34.6
Departmental Operations	11,516.0	11,819.0	11,818.2	302.2	(0.8)
General State Charges	5,370.0	5,485.0	5,485.2	115.2	0.2
Debt Service	1,526.0	1,495.0	1,495.5	(30.5)	0.5
Capital Projects	4,445.0	3,756.0	3,753.6	(691.4)	(2.4)
Total Disbursements	83,644.0	83,613.0	83,645.1	1.1	32.1
Excess (Deficiency) of Receipts over Disbursements	1,216.0	1,268.0	1,482.7	266.7	214.7
OTHER FINANCING SOURCES (USES):					
Bond and Note Proceeds, net	11.0	-	-	(11.0)	-
Transfers from Other Funds	19,666.0	18,552.0	18,300.4	(1,365.6)	(251.6)
Transfers to Other Funds	(19,693.0)	(18,582.0)	(18,327.7)	(1,365.3)	(254.3)
Total Other Financing Sources (Uses)	(16.0)	(30.0)	(27.3)	(11.3)	2.7
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	1,200.0	1,238.0	1,455.4	255.4	217.4
Fund Balances (Deficits) at April 1	11,810.0	11,810.0	11,810.1	0.1	0.1
Fund Balances (Deficits) at October 31, 2016	\$ 13,010.0	\$ 13,048.0	\$ 13,265.5	\$ 255.5	\$ 217.5

(*) Source: 2016-17 Enacted Budget dated May 13, 2016.

(**) Source: 2016-17 Mid-Year Update dated November 14, 2016.

EXHIBIT D
(continued)STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
STATE FISCAL YEAR ENDED MARCH 31, 2017
FOR SEVEN MONTHS ENDED OCTOBER 31, 2016
(Amounts in millions)

	STATE OPERATING FUNDS (****)			
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan Updated Financial Plan
RECEIPTS:				
Taxes:				
Personal Income	\$ 26,992.0	\$ 26,025.0	\$ 26,032.0	\$ (960.0)
Consumption/Use	9,055.0	9,124.0	9,148.6	93.6
Business	3,069.0	3,573.0	3,586.2	517.2
Other	1,902.0	1,976.0	1,991.3	89.3
Miscellaneous Receipts	11,283.0	11,867.0	11,869.8	586.8
Federal Receipts	37.0	38.0	36.4	(0.6)
Total Receipts	52,338.0	52,603.0	52,664.3	326.3
DISBURSEMENTS:				
Local Assistance Grants	32,666.0	33,760.0	33,760.7	1,094.7
Departmental Operations	10,519.0	10,696.0	10,693.0	174.0
General State Charges	5,216.0	5,350.0	5,350.2	134.2
Debt Service	1,526.0	1,495.0	1,495.5	(30.5)
Capital Projects	-	2.0	2.4	2.4
Total Disbursements	49,927.0	51,303.0	51,301.8	1,374.8
Excess (Deficiency) of Receipts over Disbursements	2,411.0	1,300.0	1,362.5	(1,048.5)
OTHER FINANCING SOURCES (USES):				
Transfers from Other Funds	17,283.0	17,065.0	17,043.9	(239.1)
Transfers to Other Funds	(18,216.0)	(17,116.0)	(17,119.4)	(1,096.6)
Total Other Financing Sources (Uses)	(933.0)	(51.0)	(75.5)	857.5
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	1,478.0	1,249.0	1,287.0	(191.0)
Fund Balances (Deficits) at April 1	12,641.0	12,641.0	12,641.2	0.2
Fund Balances (Deficits) at October 31, 2016	\$ 14,119.0	\$ 13,890.0	\$ 13,928.2	\$ (190.8)

(*) Source: 2016-17 Enacted Budget dated May 13, 2016.

(**) Source: 2016-17 Mid-Year Update dated November 14, 2016.

(***). 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, 2017
FOR SEVEN MONTHS ENDED OCTOBER 31, 2016
(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	\$ 19,709.0	\$ 18,985.0	\$ 18,989.5	\$ (719.5)	\$ 4.5
Consumption/Use	4,092.0	4,136.0	4,148.8	56.8	12.8
Business	2,317.0	2,714.0	2,714.3	397.3	0.3
Other	606.0	652.0	649.3	43.3	(2.7)
Miscellaneous Receipts	1,463.0	1,541.0	1,543.4	80.4	2.4
Federal Receipts	-	-	0.3	0.3	0.3
Transfers From:					
PIT in excess of Revenue Bond Debt Service	6,326.0	6,106.0	6,108.9	(217.1)	2.9
Sales Tax in excess of LGAC / STRBF Debt Service	3,323.0	3,362.0	3,375.0	52.0	13.0
Real Estate Taxes in excess of CW/CA Debt Service	561.0	581.0	581.6	20.6	0.6
All Other	103.0	138.0	138.0	35.0	-
Total Receipts and Other Financing Sources	38,500.0	38,215.0	38,249.1	(250.9)	34.1
DISBURSEMENTS:					
Local Assistance Grants	21,939.0	23,144.0	23,143.3	1,204.3	(0.7)
Departmental Operations	4,547.0	4,688.0	4,688.7	141.7	0.7
General State Charges	4,207.0	4,293.0	4,292.5	85.5	(0.5)
Transfers To:					
Debt Service	424.0	415.0	412.8	(11.2)	(2.2)
Capital Projects	2,220.0	1,407.0	1,406.9	(813.1)	(0.1)
State Share Medicaid	793.0	719.0	902.0	109.0	183.0
SUNY Operations	818.0	817.0	816.9	(1.1)	(0.1)
Other Purposes	2,860.0	2,789.0	2,596.5	(263.5)	(192.5)
Total Disbursements and Other Financing Uses	37,808.0	38,272.0	38,259.6	451.6	(12.4)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	692.0	(57.0)	(10.5)	(702.5)	46.5
Fund Balances (Deficits) at April 1	8,934.0	8,934.0	8,934.1	0.1	0.1
Fund Balances (Deficits) at October 31, 2016	\$ 9,626.0	\$ 8,877.0	\$ 8,923.6	\$ (702.4)	\$ 46.6

(*) Source: 2016-17 Enacted Budget dated May 13, 2016.

(**) Source: 2016-17 Mid-Year Update dated November 14, 2016.

(***) 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.

EXHIBIT D
(continued)STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
STATE FISCAL YEAR ENDED MARCH 31, 2017
FOR SEVEN MONTHS ENDED OCTOBER 31, 2016
(Amounts in millions)

SPECIAL REVENUE FUNDS									
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Eliminations	Total	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan		
RECEIPTS:									
Taxes:									
Personal Income	\$ 534.0	\$ 534.0	\$ 534.5	\$ -	\$ 534.5	\$ 0.5	\$ 0.5		
Consumption/Use	1,238.0	1,226.0	1,226.1	-	1,226.1	(11.9)	0.1		
Business	752.0	859.0	871.9	-	871.9	119.9	12.9		
Other	695.0	703.0	720.6	-	720.6	25.6	17.6		
Miscellaneous Receipts	9,686.0	10,180.0	10,184.4	-	10,184.4	498.4	4.4		
Federal Receipts	28,360.0	27,992.0	28,016.7	-	28,016.7	(343.3)	24.7		
Transfers from Other Funds(***)	5,417.0	5,290.0	5,281.4	(229.6)	5,051.8	(365.2)	(238.2)		
Total Receipts and Other Financing Sources	46,682.0	46,784.0	46,835.6	(229.6)	46,606.0	(76.0)	(178.0)		
DISBURSEMENTS:									
Local Assistance Grants	37,069.0	36,401.0	36,433.8	-	36,433.8	(635.2)	32.8		
Departmental Operations	6,940.0	7,105.0	7,104.5	-	7,104.5	164.5	(0.5)		
General State Charges	1,163.0	1,192.0	1,192.7	-	1,192.7	29.7	0.7		
Capital Projects	-	2.0	2.4	-	2.4	2.4	0.4		
Transfers to Other Funds(***)	1,275.0	1,176.0	1,147.1	(229.6)	917.5	(357.5)	(258.5)		
Total Disbursements and Other Financing Uses	46,447.0	45,876.0	45,880.5	(229.6)	45,650.9	(796.1)	(225.1)		
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	235.0	908.0	955.1	-	955.1	720.1	47.1		
Fund Balances (Deficits) at April 1	3,607.0	3,607.0	3,607.1	-	3,607.1	0.1	0.1		
Fund Balances (Deficits) at October 31, 2016	\$ 3,842.0	\$ 4,515.0	\$ 4,562.2	\$ -	\$ 4,562.2	\$ 720.2	\$ 47.2		

(*) Source: 2016-17 Enacted Budget dated May 13, 2016.

(**) Source: 2016-17 Mid-Year Update dated November 14, 2016.

(***) 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, 2017FOR SEVEN MONTHS ENDED OCTOBER 31, 2016
(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	\$ 534.0	\$ 534.0	\$ 534.5	\$ 0.5	\$ 0.5	\$ -	\$ -	\$ -	\$ -	\$ -
Consumption/Use	1,238.0	1,226.0	1,226.1	(11.9)	0.1	-	-	-	-	-
Business	752.0	859.0	871.9	119.9	12.9	-	-	-	-	-
Other	695.0	703.0	720.6	25.6	17.6	-	-	-	-	-
Miscellaneous Receipts	9,559.0	10,062.2	10,062.2	503.2	(2.8)	127.0	115.0	122.2	(4.8)	7.2
Federal Receipts	-	1.0	(0.6)	(0.6)	(1.6)	28,360.0	27,991.0	28,017.3	(342.7)	26.3
Transfers from Other Funds	5,417.0	5,290.0	5,281.4	(135.6)	(8.6)	-	-	-	-	-
Total Receipts and Other Financing Sources	18,195.0	18,678.0	18,696.1	501.1	18.1	28,487.0	28,106.0	28,139.5	(347.5)	33.5
DISBURSEMENTS:										
Local Assistance Grants	10,727.0	10,616.0	10,617.4	(109.6)	1.4	26,342.0	25,785.0	25,816.4	(525.6)	31.4
Departmental Operations	5,943.0	5,982.0	5,979.3	36.3	(2.7)	997.0	1,123.0	1,125.2	128.2	2.2
General State Charges	1,009.0	1,057.0	1,057.7	48.7	0.7	154.0	135.0	135.0	(19.0)	-
Capital Projects	-	2.0	2.4	2.4	0.4	-	-	-	-	-
Transfers to Other Funds	229.0	155.0	155.0	(74.0)	-	1,046.0	1,021.0	992.1	(53.9)	(28.9)
Total Disbursements and Other Financing Uses	17,908.0	17,812.0	17,811.8	(96.2)	(0.2)	28,539.0	28,064.0	28,068.7	(470.3)	4.7
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	287.0	866.0	884.3	597.3	18.3	(52.0)	42.0	70.8	122.8	28.8
Fund Balances (Deficits) at April 1	3,547.0	3,547.0	3,547.4	0.4	0.4	60.0	60.0	59.7	(0.3)	(0.3)
Fund Balances (Deficits) at October 31, 2016	\$ 3,834.0	\$ 4,413.0	\$ 4,431.7	\$ 597.7	\$ 18.7	\$ 8.0	\$ 102.0	\$ 130.5	\$ 122.5	\$ 28.5

(*) Source: 2016-17 Enacted Budget dated May 13, 2016.

(**) Source: 2016-17 Mid-Year Update dated November 14, 2016.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
STATE FISCAL YEAR ENDED MARCH 31, 2017
FOR SEVEN MONTHS ENDED OCTOBER 31, 2016
(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	\$ 6,749.0	\$ 6,506.0	\$ 6,508.0	\$ 2.0
Consumption/Use	3,725.0	3,762.0	3,773.7	48.7
Other	601.0	621.0	621.4	20.4
Miscellaneous Receipts	261.0	261.0	264.2	3.2
Federal Receipts	37.0	37.0	36.7	(0.3)
Transfers from Other Funds	1,553.0	1,588.0	1,559.0	(29.0)
Total Receipts and Other Financing Sources	12,926.0	12,775.0	12,763.0	(163.0)
DISBURSEMENTS:				
Departmental Operations	29.0	26.0	25.0	(4.0)
Debt Service	1,526.0	1,495.0	1,495.5	(30.5)
Transfers to Other Funds	10,872.0	10,814.0	10,829.3	(42.7)
Total Disbursements and Other Financing Uses	12,427.0	12,335.0	12,349.8	(77.2)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	499.0	440.0	413.2	(85.8)
Fund Balances (Deficits) at April 1	160.0	160.0	159.7	(0.3)
Fund Balances (Deficits) at October 31, 2016	\$ 659.0	\$ 600.0	\$ 572.9	\$ (86.1)
				\$ (27.1)

(*) Source: 2016-17 Enacted Budget dated May 13, 2016.

(**) Source: 2016-17 Mid-Year Update dated November 14, 2016.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
STATE FISCAL YEAR ENDED MARCH 31, 2017
FOR SEVEN MONTHS ENDED OCTOBER 31, 2016
(Amounts in millions)

EXHIBIT D
(continued)

CAPITAL PROJECTS FUNDS						
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Eliminations	Total	Actual Over/ (Under) Enacted Financial Plan Updated Financial Plan
RECEIPTS:						
Taxes:						
Consumption/Use	\$ 342.0	\$ 374.0	\$ 368.0	\$ -	\$ 368.0	\$ 26.0
Business	363.0	373.0	376.7	-	376.7	13.7
Other	60.0	60.0	59.5	-	59.5	(0.5)
Miscellaneous Receipts	2,103.0	1,946.0	2,100.5	-	2,100.5	154.5
Federal Receipts	1,167.0	1,419.0	1,419.3	-	1,419.3	252.3
Bond and Note Proceeds, net	11.0	-	-	-	-	(11.0)
Transfers from Other Funds	2,383.0	1,487.0	1,516.5	(30.4)	1,486.1	(896.9)
Total Receipts and Other Financing Sources	6,429.0	5,659.0	5,840.5	(30.4)	5,810.1	(618.9)
DISBURSEMENTS:						
Local Assistance Grants	1,779.0	1,513.0	1,515.5	-	1,515.5	(263.5)
Capital Projects	4,445.0	3,754.0	3,751.2	-	3,751.2	(693.8)
Transfers to Other Funds	431.0	445.0	476.2	(30.4)	445.8	14.8
Total Disbursements and Other Financing Uses	6,655.0	5,712.0	5,742.9	(30.4)	5,712.5	(942.5)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(226.0)	(53.0)	97.6	-	97.6	323.6
Fund Balances (Deficits) at April 1	(891.0)	(891.0)	(890.8)	-	(890.8)	0.2
Fund Balances (Deficits) at October 31, 2016	\$ (1,117.0)	\$ (944.0)	\$ (793.2)	\$ -	\$ (793.2)	\$ 323.8

(*) Source: 2016-17 Enacted Budget dated May 13, 2016.

(**) Source: 2016-17 Mid-Year Update dated November 14, 2016.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
STATE FISCAL YEAR ENDED MARCH 31, 2017
FOR SEVEN MONTHS ENDED OCTOBER 31, 2016
(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) Enacted 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	\$ 342.0	\$ 374.0	\$ 388.0	\$ 26.0	\$ (6.0)	\$ -	\$ -	\$ -	\$ -	\$ -
Business	363.0	373.0	376.7	13.7	3.7	-	-	-	-	-
Other	60.0	60.0	59.5	(0.5)	(0.5)	-	-	-	-	-
Miscellaneous Receipts	2,103.0	1,945.0	2,098.1	(3.9)	154.1	-	1.0	1.4	1.4	0.4
Federal Receipts	2.0	2.0	2.5	0.5	0.5	1,165.0	1,417.0	1,416.8	251.8	(0.2)
Bond and Note Proceeds, net	11.0	-	-	(11.0)	-	-	-	-	-	-
Transfers from Other Funds	2,384.0	1,517.0	1,516.5	(867.5)	(0.5)	(1.0)	(30.0)	-	1.0	30.0
Total Receipts and Other Financing Sources	5,265.0	4,271.0	4,422.3	(842.7)	151.3	1,164.0	1,388.0	1,418.2	254.2	30.2
DISBURSEMENTS:										
Local Assistance Grants	1,436.0	1,116.0	1,117.4	(320.6)	1.4	341.0	397.0	398.1	57.1	1.1
Capital Projects	3,723.0	2,818.0	2,816.8	(906.2)	(1.2)	722.0	936.0	934.4	212.4	(1.6)
Transfers to Other Funds	422.0	436.0	437.5	15.5	1.5	9.0	9.0	38.7	29.7	29.7
Total Disbursements and Other Financing Uses	5,583.0	4,370.0	4,371.7	(1,211.3)	1.7	1,072.0	1,342.0	1,371.2	299.2	29.2
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(318.0)	(99.0)	50.6	368.6	149.6	92.0	46.0	47.0	(45.0)	1.0
Fund Balances (Deficits) at April 1	(333.0)	(333.0)	(331.5)	1.5	1.5	(558.0)	(558.0)	(559.3)	(1.3)	(1.3)
Fund Balances (Deficits) at October 31, 2016	\$ (651.0)	\$ (432.0)	\$ (280.9)	\$ 370.1	\$ 151.1	\$ (466.0)	\$ (512.0)	\$ (512.3)	\$ (46.3)	\$ (0.3)

(*) Source: 2016-17 Enacted Budget dated May 13, 2016

(**) Source: 2016-17 Mid-Year Update dated November 14, 2016.

STATE OF NEW YORK
GOVERNMENTAL FUNDS
COMPARATIVE SCHEDULE OF TAX RECEIPTS
(Amounts in millions)

	EXHIBIT E									
	GENERAL					CAPITAL PROJECTS				
	MONTH OF OCT. 2016	7 MOS. ENDED OCT. 31, 2016	SPECIAL REVENUE MONTH OF OCT. 2016	7 MOS. ENDED OCT. 31, 2016	DEBT SERVICE MONTH OF OCT. 2016	7 MOS. ENDED OCT. 31, 2016	MONTH OF OCT. 2016	7 MOS. ENDED OCT. 31, 2016	TOTAL GOVERNMENTAL FUNDS MONTH OF OCT. 2016	7 MOS. ENDED OCT. 31, 2016
										YEAR OVER YEAR % Increase/ Decrease
PERSONAL INCOME TAX										
Withholding	\$ 2,562.4	\$ 18,592.7	\$ -	\$ -	\$ -	\$ -	\$ 2,562.4	\$ 18,592.7	\$ 2,464.8	18,356.8
Estimated Payments	162.4	9,581.7	-	-	-	-	162.4	9,581.7	162.1	10,547.1
Returns	399.2	2,345.7	-	-	-	-	399.2	2,345.7	416.0	2,361.4
State/City Offsets	(294.7)	(614.1)	-	-	-	-	(294.7)	(614.1)	(266.7)	(515.9)
Other (Assessments/LLC)	103.9	764.7	-	-	-	-	103.9	764.7	89.3	668.4
Gross Receipts	2,933.2	30,670.7	-	-	-	-	2,933.2	30,670.7	2,865.5	31,416.8
Transfers to School Tax Relief Fund	(4.6)	(534.5)	4.6	534.5	-	-	-	-	-	-
Transfers to Revenue Bond Tax Fund	(633.2)	(6,508.0)	-	-	633.2	6,508.0	-	-	(414.8)	(4,732.5)
Less: Refunds issued	(400.5)	(4,638.7)	-	-	633.2	6,508.0	(400.5)	(4,638.7)	2,450.7	26,684.3
Total	1,894.9	18,989.5	4.6	534.5	633.2	6,508.0	2,532.7	26,032.0		
CONSUMPTION/USE TAXES										
Sales and Use	500.2	3,775.7	69.7	543.3	499.9	3,773.7	1,069.8	8,092.7	932.3	7,819.5
Auto Rental	-	-	3.7	32.1	-	-	3.7	74.7	0.8	73.4
Cigarette/Tobacco Products	28.8	220.7	72.6	535.7	-	-	101.4	756.4	112.0	775.1
Medical Marijuana	-	-	0.1	0.3	-	-	0.1	0.3	-	-
Motor Fuel	-	-	9.4	64.8	-	35.5	44.9	306.8	42.3	263.6
Alcoholic Beverage	20.3	152.4	-	-	-	-	20.3	152.4	20.1	150.2
Highway Use	-	-	1.7	1.7	-	-	13.0	85.1	15.5	91.0
Metropolitan Commuter Trans. Taxicab Trip	-	-	14.5	48.2	-	-	14.5	48.2	16.2	54.9
Total	549.3	4,148.8	171.7	1,226.1	499.9	3,773.7	1,267.7	9,516.6	1,136.2	9,297.7
BUSINESS TAXES										
Corporation Franchise	141.2	1,596.1	34.3	372.6	-	-	175.5	1,968.7	77.0	2,198.1
Corporation and Utilities	4.2	215.9	0.1	67.6	-	-	4.3	289.0	8.0	305.7
Insurance	0.6	622.9	1.9	80.4	-	-	2.5	703.3	3.3	650.6
Bank	263.7	279.4	53.4	54.0	-	-	317.1	333.4	21.3	115.5
Petroleum Business	-	-	44.0	297.3	-	-	98.9	668.5	97.0	668.0
Total	409.7	2,714.3	133.7	871.9	-	-	588.3	3,962.9	206.6	3,935.9
OTHER TAXES										
Real Property Gains	-	-	-	-	-	-	-	-	-	-
Estate and Gift	99.0	637.6	-	-	-	-	99.0	637.6	142.6	1,062.8
Pari-Mutuel	1.1	10.8	-	-	-	-	1.1	10.8	1.2	11.5
Real Estate Transfer	-	-	-	-	84.6	621.4	96.5	680.9	107.2	689.8
Racing and Exhibitions	-	0.9	-	-	-	-	-	0.9	0.1	1.1
Metropolitan Commuter Trans. Mobility	-	-	111.7	720.6	-	-	111.7	720.6	87.2	683.3
Total	100.1	649.3	111.7	720.6	84.6	621.4	308.3	2,050.8	338.3	2,448.5
Total Tax Receipts	\$ 2,954.0	\$ 26,501.9	\$ 421.7	\$ 3,353.1	\$ 1,217.7	\$ 10,903.1	\$ 4,707.0	\$ 41,562.3	\$ 4,134.8	\$ 42,326.4
										-1.8%

STATE OF NEW YORK
GOVERNMENTAL FUNDS (*)
STATEMENT OF CASH FLOW
FISCAL YEAR 2016-2017
(Amounts in millions)

	2016												7 Months Ended October 31		% Increase/ Decrease
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2016	2015	
Beginning Fund Balance	\$ 11,810.1	\$ 14,231.2	\$ 12,089.8	\$ 12,226.4	\$ 12,499.3	\$ 12,188.0	\$ 13,427.3						\$ 11,810.1	\$ 9,356.6	\$ 2,454.5
RECEIPTS:															26.2%
Personal Income Tax:															
Earnings	2,649.4	2,595.0	2,860.0	2,545.1	2,914.8	2,468.0	2,652.4						19,602.7	18,355.8	206.9
Estimated Payments	4,784.0	137.0	1,950.5	95.0	97.1	2,355.7	162.4						9,581.7	10,581.7	(965.4)
Returns	1,717.3	63.3	39.8	30.2	33.9	63.0	399.2						2,345.7	2,361.4	(15.7)
State/City Offsets	(184.9)	(18.2)	(16.7)	(15.9)	(18.6)	(64.9)	(294.7)						(614.1)	(515.9)	98.2
Other (Assessments)/LLC	170.4	104.2	122.9	79.4	90.8	93.1	103.9						668.4	668.4	0.0
Gross Receipts	9,138.2	2,881.3	4,955.5	2,733.8	3,117.8	4,972.8	2,832.2						30,670.7	31,416.8	(746.1)
Transfers to School Tax Relief Fund	-	-	-	-	-	-	-						-	-	-
Transfers to Revenue Bond Tax Fund	(27,522.5)	(695.5)	(231.6)	(172.0)	(178.0)	(208.5)	(400.5)						(4,638.7)	(4,732.5)	(63.9)
Refunds issued	6,383.7	2,163.7	4,723.9	2,961.8	2,939.6	4,704.4	2,937.7						26,084.3	26,084.3	0.0
Total Personal Income Tax	1,087.0	1,014.8	1,400.0	1,065.5	1,036.9	1,397.7	1,069.8						8,092.7	7,819.5	273.2
Consumption Tax:															
Sales and Use	1.0	-	32.3	4.6	4.5	28.6	3.7						73.4	73.4	0.0
Cigarette/Tobacco Products	98.6	99.4	120.8	103.8	120.6	111.8	101.4						756.4	775.1	(18.7)
Medical Marijuana	-	-	0.1	-	-	0.1	0.1						0.3	0.3	0.0
Motor Fuel	39.0	37.3	44.3	46.5	50.0	44.8	44.9						306.8	293.6	13.2
Alcoholic Beverage	20.4	19.3	21.7	29.8	16.5	24.4	20.3						150.2	150.2	0.0
Highway Use	12.6	10.7	12.3	12.5	12.3	11.7	13.0						85.1	91.0	(5.9)
Metropolitan Commuter Trans.	15.7	0.6	0.6	15.7	0.5	0.6	14.5						48.2	54.9	(6.7)
Total Consumption Tax	1,274.3	1,621.3	1,632.1	1,294.4	1,241.3	1,619.7	1,267.7						9,516.6	9,291.7	224.9
Business Tax:															
Corporate Franchise	155.7	83.5	628.5	75.0	17.5	833.0	175.5						1,996.7	2,198.1	(201.4)
Corporation and Utilities	11.2	1.2	126.0	5.3	0.5	140.5	4.3						305.7	305.7	0.0
Insurance	19.7	20.2	327.2	3.7	14.6	315.4	2.5						703.3	650.6	52.7
Bank	6.2	(0.9)	(25.1)	2.8	38.1	(4.8)	317.1						333.4	115.5	217.9
Petroleum Business	87.5	77.9	93.6	118.7	93.1	98.8	98.9						666.0	666.0	0.0
Total Business Taxes	280.3	181.9	1,150.2	205.5	163.8	1,362.9	596.3						3,967.9	3,935.9	32.0
Other Taxes:															
Real Property Gains	74.9	106.1	77.2	72.7	122.0	85.7	89.0						637.6	1,095.8	(458.2)
Estate and Gift	0.7	1.7	1.3	1.3	2.3	3.1	3.1						10.8	10.8	0.0
Real Estate Transfer	90.4	74.0	103.0	113.9	102.4	100.7	96.5						680.9	680.9	0.0
Racing and Exhibitions	-	0.1	-	0.1	0.4	0.3	-						0.9	1.1	(0.2)
Metropolitan Commuter Trans. Mobility	116.6	94.0	100.6	85.2	107.8	104.7	111.7						720.6	663.3	57.3
Total Other Taxes	282.6	275.8	282.5	273.2	334.9	293.7	308.3						2,550.8	2,448.5	102.3
Total Taxes	8,220.9	3,825.3	7,788.7	4,338.9	4,679.8	8,000.7	4,707.0						41,567.3	42,326.4	(764.1)
Miscellaneous Receipts:															
Abandoned Property	0.9	(0.1)	1.8	0.9	-	40.0	30.0						73.5	52.3	21.2
Unclaimed Property	(0.3)	0.1	31.1	0.1	0.1	38.5	0.8						68.4	62.1	6.3
Assessments:															
Business	41.8	318.2	123.7	19.8	46.4	125.8	18.4						684.1	741.6	(47.5)
Medical Care	423.0	482.1	490.3	468.7	455.7	451.9	467.1						3,238.8	3,067.2	171.6
Public Utilities	5.7	0.2	(0.1)	-	0.7	100.1	(0.1)						106.5	163.0	(56.5)
Other	20.5	18.9	19.3	19.8	19.2	19.7	19.1						136.5	130.3	6.2
Fees, Licenses and Permits:															
Alcohol Beverage Control Licensing	5.6	5.1	4.4	4.5	5.0	5.2	5.4						35.2	43.1	(7.9)
Audit Fees	0.9	0.1	0.1	0.1	0.1	0.1	0.1						0.1	0.1	0.0
Professional Fees	51.2	50.3	109.7	47.5	69.7	101.7	66.6						464.9	710.1	(245.2)
Civil	24.6	18.1	25.0	13.7	13.7	22.6	23.3						158.3	175.5	(17.2)
Criminal	-	2.1	0.3	0.4	1.9	-	0.7						5.4	5.0	0.4
Motor Vehicle	122.9	123.3	130.6	105.1	121.2	108.8	42.4						755.3	822.2	(66.9)
Recreational/Consumer	40.4	41.0	48.8	39.8	71.3	123.8	66.2						203.9	203.9	0.0
Fines, Penalties and Forfeitures	9.2	75.6	33.5	26.8	241.0	12.8	36.6						437.5	2,042.9	(1,605.4)
Gaming:															
Casino	15.3	-	34.4	15.6	-	37.0	16.3						118.6	148.9	(30.3)
Lottery	188.8	202.5	244.8	209.8	228.0	175.1	174.8						1,414.9	1,401.9	13.0
Video Lottery	78.4	77.4	80.8	70.6	59.1	74.1	61.8						562.2	563.1	(0.9)
Intoxicating Liquor	5.4	7.4	0.3	6.7	5.9	5.3	5.9						25.1	25.1	0.0
Receipts from Public Authorities:															
Bond Proceeds	-	112.9	556.0	4.2	9.0	536.5	251.4						1,470.0	1,512.8	(42.8)
Cost Recovery Assessments	-	-	22.6	-	-	-	25.2						25.2	25.2	0.0
Insurance Fees	15.6	6.1	3.2	8.4	5.2	17.2	13.8						68.5	65.2	3.3
Non Bond Related	1.0	0.9	0.6	(0.4)	4.5	0.8	23.2						47.0	30.6	16.4
Receipts from Municipalities	58.4	24.9	54.3	21.8	21.7	24.8	22.1						228.0	85.4	142.6
Rentals	55.1	31.7	21.8	3.7	47.5	2.9	35.2						198.9	124.4	74.5
Revenues of State Departments:															

STATE OF NEW YORK
GOVERNMENTAL FUNDS (*)
STATEMENT OF CASH FLOW
FISCAL YEAR 2016-2017
(Amounts in millions)

	2016												7 Months Ended October 31		% Increase/ Decrease
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2016	2015	
Administrative Recoveries	0.4	29.1	34.6	20.9	9.9	28.6	8.1	-	-	-	-	-	101.6	30.0	28.5%
Commissions	0.2	0.2	0.2	0.1	0.3	2.8	-	-	-	-	-	-	2.2	1.6	72.7%
Gifts, Grants and Donations	3.4	2.6	3.2	1.6	0.7	4.0	-	-	-	-	-	-	5.0	12.9	258.0%
Indirect Cost Recoveries	0.4	25.7	6.9	(0.4)	3.1	23.9	0.5	-	-	-	-	-	62.1	(2.1)	-3.4%
Patient/Care Reimbursement	156.5	215.6	53.7	251.9	251.9	275.3	162.8	-	-	-	-	-	587.1	807.5	142.4%
Reimbursement of Other Funds	2.2	1.7	1.4	1.7	1.7	1.7	1.7	-	-	-	-	-	1.7	1.7	0.0%
Rehabilitation and Settlements	7.2	132.7	63.3	35.5	2.4	3.5	7.9	-	-	-	-	-	254.4	(928.9)	-78.5%
Student Loans	8.2	6.9	6.2	7.4	6.4	6.4	9.8	-	-	-	-	-	44.8	4.8	10.3%
All Other	49.0	28.4	54.4	43.3	39.9	56.5	52.0	-	-	-	-	-	58.5	265.0	453.0%
Sales	1.8	1.4	1.6	1.4	1.6	1.4	8.7	-	-	-	-	-	17.3	0.6	3.5%
Tuition	54.7	45.5	60.7	48.7	177.7	418.7	164.5	-	-	-	-	-	970.5	(264.9)	-21.4%
Total Miscellaneous Receipts	1,455.5	2,101.6	2,347.3	1,542.0	1,965.6	2,857.7	1,827.8	-	-	-	-	-	14,092.5	15,583.9	-9.6%
Federal Receipts	3,275.7	4,197.5	5,208.4	3,642.2	4,205.4	5,361.8	3,550.0	-	-	-	-	-	29,473.0	27,059.9	8.9%
Total Receipts	12,852.1	16,124.4	15,344.4	9,526.1	10,850.8	16,240.2	10,087.8	-	-	-	-	-	85,127.8	84,970.2	0.2%
DISBURSEMENTS:															
Local Assistance Grants:															
Education	1,097.9	3,326.5	4,064.1	593.6	1,213.7	4,245.9	1,864.3	-	-	-	-	-	16,262.6	123.4	0.8%
Environment and Recreation	3.4	4.3	8.5	12.7	15.3	6.0	7.4	-	-	-	-	-	53.6	4.0	7.5%
General Government	71.5	45.3	610.1	48.7	58.0	140.3	130.3	-	-	-	-	-	878.4	223.8	25.5%
Public Health:															
Medicaid	3,569.1	4,384.6	4,795.6	4,267.7	4,714.9	3,813.3	3,775.6	-	-	-	-	-	27,761.4	1,557.4	5.6%
Other Public Health	59.4	674.5	641.3	728.0	775.1	688.7	665.0	-	-	-	-	-	3,517.6	1,446.2	41.7%
Public Works	1,060.3	1,060.3	1,060.3	1,060.3	1,060.3	1,060.3	1,060.3	-	-	-	-	-	1,060.3	1,060.3	0.0%
Public Welfare	370.1	428.9	748.3	596.5	515.6	1,188.6	443.6	-	-	-	-	-	4,532.2	(242.1)	-5.3%
Support and Regulate Business	5.0	15.9	192.8	64.9	188.5	60.0	15.9	-	-	-	-	-	553.0	35.8	6.9%
Transportation	226.0	525.0	612.0	387.8	574.5	664.9	450.8	-	-	-	-	-	3,021.2	419.8	13.9%
Total Local Assistance Grants	6,031.3	9,563.2	11,880.3	6,832.7	8,075.4	11,154.4	7,455.3	-	-	-	-	-	61,092.6	3,483.3	5.9%
Departmental Operations:															
Personal Service	1,074.8	1,060.3	1,366.2	1,045.0	1,084.1	1,258.8	1,036.6	-	-	-	-	-	7,963.4	(5.6)	-0.1%
Non-Personal Service	383.5	523.2	602.6	444.2	666.7	656.3	603.9	-	-	-	-	-	3,550.8	309.6	8.7%
General State Charges	2,629.2	466.2	509.1	430.2	467.9	453.4	526.2	-	-	-	-	-	5,286.7	188.5	3.6%
Debt Service, Including Payments on	113.3	162.9	89.9	25.3	281.8	789.0	32.3	-	-	-	-	-	1,690.7	(198.2)	-11.7%
Debt Service, Including Payments on	313.6	486.0	643.8	470.9	561.4	690.7	587.2	-	-	-	-	-	3,421.8	331.8	9.7%
Capital Projects															
Total Disbursements	10,525.7	12,261.8	15,211.9	9,248.3	11,147.3	15,003.6	10,246.5	-	-	-	-	-	78,615.7	4,028.4	5.1%
Excess (Deficiency) of Receipts over Disbursements	2,426.4	(2,137.4)	132.5	278.8	(296.5)	1,236.6	(156.7)	-	-	-	-	-	5,354.5	(3,871.8)	-72.3%
OTHER FINANCING SOURCES (USES):															
Bond Proceeds (net of Premiums)	3,182.1	2,615.0	2,679.9	2,687.0	1,824.6	2,705.6	2,316.2	-	-	-	-	-	19,300.4	19,557.6	0.0%
Transfers from Other Funds	(3,187.4)	(2,619.0)	(2,881.8)	(2,687.9)	(1,849.4)	(2,702.9)	(2,315.3)	-	-	-	-	-	(18,327.7)	(1,262.8)	-5.5%
Transfers to Other Funds															
Total Other Financing Sources (Uses)	(5.3)	(4.9)	(1.9)	(0.9)	(14.8)	2.7	(3.1)	-	-	-	-	-	(27.3)	(52.9)	48.4%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	2,421.1	(2,141.4)	130.6	277.9	(311.3)	1,239.3	(161.8)	-	-	-	-	-	1,455.4	5,301.6	-72.5%
Ending Fund Balance	\$ 14,231.2	\$ 12,088.8	\$ 12,220.4	\$ 12,498.3	\$ 12,188.0	\$ 13,427.3	\$ 13,265.5	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 13,265.5	\$ 14,657.2	-9.5%

(*) 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 2016-2017
(Amounts in millions)

	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	2016 APRIL	2015 APRIL	7 Months Ended October 31 \$ (Increase/ Decrease)	% Increase/ Decrease
Beginning Fund Balance	\$ 12,641.2	\$ 15,345.1	\$ 13,150.5	\$ 12,548.1	\$ 13,151.9	\$ 13,391.9	\$ 13,901.7						\$ 12,641.2	\$ 9,890.8	\$ 2,750.4	27.8%
RECEIPTS:																
Personal Income Tax:																
Withholdings	2,609.4	2,595.0	2,860.0	2,545.1	2,914.8	2,468.0	2,562.4						18,592.7	18,355.8	236.9	1.3%
Estimated Payments	4,789.0	137.0	1,950.5	95.0	87.1	2,355.7	182.4						9,581.7	10,547.1	(965.4)	-9.2%
Returns	1,717.3	63.3	38.8	30.2	33.9	63.0	399.2						2,345.7	2,361.4	(15.7)	-0.7%
State/City Offsets	(184.9)	(18.2)	(16.7)	(15.9)	(18.8)	(64.9)	(284.7)						(614.1)	(515.9)	98.2	18.0%
Other (Assessments)/LLC	170.4	104.2	122.9	79.4	90.8	93.1	103.9						764.7	688.4	86.3	14.4%
Gross Receipts	9,136.2	2,881.3	4,955.5	2,733.8	3,173.8	4,912.9	2,833.2						30,670.7	31,416.8	(746.1)	-2.4%
Transfers to General Fund	-	-	-	-	-	-	-						-	-	-	0.0%
Transfers to Revenue Bond Tax Fund	(2,752.5)	(695.6)	(231.6)	(172.0)	(178.0)	(208.5)	(400.5)						(4,638.7)	(4,732.5)	(93.8)	-2.0%
Refunds Issued	6,383.7	2,185.7	4,723.9	2,561.8	2,938.8	4,704.4	2,532.7						28,032.0	28,684.3	(652.3)	-2.4%
Total Personal Income Tax	1,067.0	1,014.8	1,400.0	1,066.5	1,036.9	1,397.7	1,068.9						8,092.7	7,819.5	273.2	3.5%
Consumption/Use Taxes:																
Sales and Use	89.6	98.4	120.8	103.8	120.6	111.8	101.4						756.4	775.1	(18.7)	-2.4%
Cigarette/Tobacco Products	-	-	0.1	-	-	0.1	0.1						0.3	-	0.3	100.0%
Medical Marijuana	8.2	7.9	9.2	10.1	10.5	9.5	9.4						61.7	3.1	58.6	1,900.0%
Motor Fuel	20.4	19.3	21.7	29.8	16.5	24.4	15.2						152.4	150.2	2.2	1.5%
Alcoholic Beverage	15.7	0.6	0.6	15.7	0.5	0.6	11.7						48.9	54.0	(5.1)	-9.3%
Highway Use	15.7	0.6	0.6	15.7	0.5	0.6	11.7						48.9	54.0	(5.1)	-9.3%
Miscellaneous	123.0	1,142.0	1,565.8	1,250.3	1,188.4	1,545.5	1,220.9						8,148.5	8,888.3	(739.8)	-8.4%
Total Consumption/Use Taxes	231.3	1,387.7	1,896.0	1,392.2	1,122.2	1,323.4	543.4						3,586.2	3,560.2	26.0	0.7%
Other Taxes:																
Real Property Gains	-	-	-	-	-	-	-						1,988.7	2,198.1	(209.4)	-10.4%
Estate and Gift	74.9	106.1	77.2	72.7	122.0	85.7	99.0						637.6	1,062.8	(425.2)	-40.0%
Real Estate Transfer	14.4	14.4	81.1	102.0	80.5	88.8	84.6						621.4	630.2	(8.8)	-1.4%
Racing and Exhibitions	90.4	74.0	-	0.1	0.4	0.3	-						0.9	1.1	(0.2)	-18.2%
Metropolitan Commuter Trans. Mobility	-	-	-	-	-	-	-						720.6	663.3	57.3	8.6%
Total Other Taxes	282.6	275.6	270.6	281.3	323.0	281.8	286.4						1,991.3	2,388.9	(397.6)	-16.6%
Total Taxes	8,129.2	3,742.0	7,856.3	4,212.7	4,584.4	7,861.1	4,593.4						40,758.1	41,522.2	(764.1)	-1.8%
Miscellaneous Receipts:																
Abandoned Property	0.9	(0.1)	1.8	0.9	-	40.0	30.0						73.5	52.3	21.2	40.5%
Bottle Bill	(0.3)	0.1	8.1	0.1	0.1	38.5	0.8						45.4	39.1	6.3	16.1%
Assessments	28.5	276.1	113.3	6.7	28.4	114.0	7.6						574.6	632.6	(58.0)	-9.2%
Medical Care	423.0	482.1	490.3	488.7	455.7	451.9	467.1						3,238.8	3,067.2	171.6	5.6%
Public Utilities	5.7	0.2	(0.1)	-	0.7	100.1	(0.1)						106.5	163.0	(56.5)	-34.7%
Other	20.5	18.9	19.3	19.8	19.2	19.7	19.1						136.5	130.3	6.2	4.8%
Fees, Licenses and Permits:																
Alcoholic Beverage Control Licensing	5.6	5.1	4.4	4.5	5.0	5.2	5.4						35.2	43.1	(7.9)	-18.3%
Audit Fee	-	0.9	1.0	0.1	-	-	0.1						2.1	2.1	-	100.0%
Business/Professional	48.6	45.2	104.4	45.6	66.1	99.2	64.8						473.9	690.9	(217.0)	-31.4%
Civil	24.6	18.1	25.0	31.0	13.7	22.6	158.3						175.5	175.5	(0.0)	0.0%
Criminal	-	2.1	0.3	0.4	1.9	-	0.7						5.0	5.0	-	0.0%
Motor Vehicle	56.6	95.7	68.9	42.6	95.5	47.5	(10.6)						328.9	485.7	(156.8)	-37.4%
Consumer	18.0	22.2	30.3	30.3	30.3	30.3	30.3						180.3	210.3	(30.0)	-14.3%
Fines, Penalties and Forfeitures	6.0	72.6	30.2	20.1	237.4	8.6	26.0						400.9	2,022.2	(1,621.3)	-80.2%
Gaming:																
Casino	15.3	-	34.4	15.6	-	37.0	16.3						118.6	148.9	(30.3)	-20.3%
Lottery	188.8	202.5	244.8	200.9	228.0	175.1	174.8						1,414.9	1,401.9	13.0	0.9%
Video Lottery	78.4	177.4	90.6	75.6	93.1	74.1	562.2						563.1	130.9	432.2	327.2%
Intoxicating Liquors	5.0	7.1	3.9	3.9	6.2	5.1	5.5						46.7	24.5	22.2	90.6%
Recipients from Public Authorities:																
Bond Proceeds	-	-	-	-	-	-	-						-	-	-	0.0%
Cost Recovery Assessments	-	-	22.6	-	-	-	-						22.6	25.2	(2.6)	-10.3%

**GOVERNMENTAL FUNDS
STATEMENT OF CASH FLOW - STATE OPERATING (*)
FISCAL YEAR 2016-2017
(Amounts in millions)**

	7 Months Ended October 31												\$ Increase/ (Decrease)	% Increase/ Decrease	
	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	2016 2015		
Insurance Fees	15.6	6.1	3.2	8.4	5.2	17.2	13.8	-	-	-	-	-	65.2	4.3	6.6%
Non Bond Related	0.9	0.9	-	(0.4)	0.5	-	23.2	-	-	-	-	-	25.1	(18.6)	-42.6%
Receipts from Municipalities	58.4	24.3	54.0	21.6	21.6	24.8	22.1	-	-	-	-	-	85.1	141.5	166.3%
Rentals	55.4	31.5	21.4	2.5	47.2	1.3	34.9	-	-	-	-	-	120.4	73.8	61.3%
State Departments:															
Administrative Recoveries	0.4	29.1	34.5	20.9	9.9	26.6	8.1	-	-	-	-	-	131.5	30.6	30.3%
Commissions	0.2	0.2	0.2	0.1	0.3	0.2	-	-	-	-	-	-	3.8	2.2	1.6
Gifts, Grants and Donations	0.9	1.0	3.1	0.8	0.7	0.8	1.3	-	-	-	-	-	8.6	5.7	196.6%
Indirect Cost Recoveries	0.4	25.7	6.8	25.4	25.0	25.0	3.1	-	-	-	-	-	60.0	62.1	5.2%
Indirect Cost Reimbursement	15.3	215.6	53.9	259.4	261.9	275.3	163.1	-	-	-	-	-	80.0	(2.1)	-3.4%
Rebates	1.3	3.5	3.6	14.0	0.7	5.3	3.1	-	-	-	-	-	31.5	2.4	14.2%
Restitution and Settlements	7.2	132.2	62.8	33.8	0.3	0.7	9.6	-	-	-	-	-	246.6	(954.3)	-79.1%
Student Loans	8.2	6.9	6.2	7.4	6.4	6.4	7.9	-	-	-	-	-	48.4	4.6	10.3%
All Other	48.9	27.2	51.8	42.5	6.4	51.4	52.8	-	-	-	-	-	44.6	272.8	611.7%
Salaries	37.7	4.4	3.7	4.4	3.7	3.7	1.6	-	-	-	-	-	44.6	61.7	38.1%
Tuition	54.7	45.5	60.2	48.7	17.2	418.3	164.5	-	-	-	-	-	970.5	(264.3)	-21.4%
Total Miscellaneous Receipts	1,357.3	1,838.6	1,677.1	1,438.8	1,882.5	2,192.9	1,482.6	-	-	-	-	-	11,889.8	(1,511.8)	-11.3%
Federal Receipts	14.8	0.7	0.1	0.5	20.4	(0.1)	-	-	-	-	-	-	36.4	(0.3)	-0.8%
Total Receipts	9,500.3	5,801.3	9,333.5	5,652.0	6,447.3	10,053.9	6,076.0	-	-	-	-	-	54,940.5	(2,276.2)	-4.1%
DISBURSEMENTS:															
Local Assistance Grants:															
Education	829.5	3,043.9	3,766.9	418.1	1,016.7	4,116.4	1,513.5	-	-	-	-	-	14,705.0	283.2	1.8%
Environment and Recreation	0.1	0.4	0.6	0.2	2.8	0.5	0.1	-	-	-	-	-	4.6	0.1	2.2%
General Government	11.8	28.9	583.8	28.1	36.3	103.3	55.1	-	-	-	-	-	849.3	45.9	5.7%
Public Health:															
Medicaid	1,325.3	1,757.5	1,790.2	1,712.0	1,758.2	1,667.3	1,474.7	-	-	-	-	-	11,485.2	484.3	4.5%
Other Public Health	174.5	278.4	629.0	223.9	140.3	507.3	203.7	-	-	-	-	-	1,864.3	282.8	15.7%
Public Safety	18.0	30.4	19.3	24.4	22.6	42.5	2.9	-	-	-	-	-	181.1	(9.7)	-5.7%
Public Welfare	123.3	131.0	421.4	288.7	188.6	194.8	164.5	-	-	-	-	-	1,482.3	1,649.4	-9.5%
Support and Regulate Business	2.3	7.6	16.0	15.6	30.2	15.8	11.8	-	-	-	-	-	106.3	(18.1)	-7.1%
Transportation	192.1	489.4	524.2	307.9	428.7	428.7	376.4	-	-	-	-	-	2,895.5	193.2	7.4%
Total Local Assistance Grants	2,677.9	5,761.0	7,551.4	3,022.9	3,665.1	7,086.6	3,802.7	-	-	-	-	-	33,780.7	1,114.6	3.4%
Departmental Operations:															
Personal Service	1,026.0	1,016.1	1,314.3	1,003.7	1,035.5	1,211.7	983.4	-	-	-	-	-	7,600.7	7,623.3	-0.3%
Non-Personal Service	317.9	428.2	485.9	364.8	514.7	477.6	502.2	-	-	-	-	-	3,092.3	2,871.6	7.7%
General State Charges	2,618.7	431.1	484.9	430.0	433.4	416.6	525.5	-	-	-	-	-	5,163.2	187.0	3.6%
Debt Service, Including Payments on															
Financing Agreements	113.3	162.9	89.9	25.3	281.8	790.0	32.3	-	-	-	-	-	1,495.5	1,683.7	-11.7%
Capital Projects	0.1	0.1	0.2	0.2	0.2	1.6	-	-	-	-	-	-	2.4	1.8	300.0%
Total Disbursements	6,753.9	7,798.5	10,136.6	4,846.9	5,930.7	9,978.1	5,856.1	-	-	-	-	-	49,988.5	1,303.3	2.6%
Excess (Deficiency) of Receipts over Disbursements	2,746.4	(2,198.2)	(803.1)	805.1	516.6	75.8	219.9	-	-	-	-	-	4,942.0	(3,579.5)	-72.4%
OTHER FINANCING SOURCES (USES):															
Transfers from Other Funds (**)	3,034.0	2,444.0	2,988.6	2,324.9	1,506.2	2,728.2	2,038.0	-	-	-	-	-	17,043.9	18,846.3	-8.6%
Transfers to Other Funds (**)	(3,076.5)	(2,440.4)	(2,766.9)	(2,527.2)	(1,782.6)	(2,294.2)	(2,231.4)	-	-	-	-	-	(17,119.4)	(986.7)	-5.5%
Total Other Financing Sources (Uses)	(42.5)	3.6	201.7	(202.3)	(276.6)	434.0	(193.4)	-	-	-	-	-	730.2	(805.7)	-110.3%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	2,703.9	(2,194.6)	(601.4)	602.8	240.0	508.8	26.5	-	-	-	-	-	5,672.2	(4,385.2)	-77.3%
Ending Fund Balance	\$ 15,345.1	\$ 13,150.5	\$ 12,549.1	\$ 13,151.9	\$ 13,391.9	\$ 13,901.7	\$ 13,928.2	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 13,928.2	\$ (1,634.8)	-10.5%

(*) **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.

EXHIBIT F

STATE OF NEW YORK
GENERAL FUND
STATEMENT OF CASH FLOW
FISCAL YEAR 2016-2017
(Amounts in millions)

	7 Months Ended October 31												% Increase/ Decrease
	2016	2016	2016	2016	2016	2016	2016	2016	2016	2016	2016	2016	
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	
Beginning Fund Balance	\$ 8,034.1	\$ 10,892.7	\$ 7,750.5	\$ 7,210.2	\$ 6,765.3	\$ 6,229.0	\$ 5,565.8						
RECEIPTS:													
Taxes:													
Personal Income Tax:													
Withholdings	2,949.4	2,595.0	2,860.0	2,545.1	2,914.8	2,468.0	2,562.4						13%
Refundable Payments	1,171.3	1,171.3	1,171.3	1,171.3	1,171.3	1,171.3	1,171.3						0%
State/City Offsets	184.9	184.9	184.9	184.9	184.9	184.9	184.9						-10%
Other (Assessments/LLO)	170.4	104.2	122.9	79.4	90.8	93.1	103.9						-10%
Gross Receipts	9,136.2	2,851.3	4,955.5	2,753.3	3,117.8	4,917.9	2,932.7						-24%
Transfers to School Tax Relief Fund	(1.3)	-	(420.2)	-	-	(108.4)	(4.6)						-14%
Transfers to Revenue Bond Tax Fund	(1,995.9)	(546.5)	(1,880.9)	(840.5)	(734.9)	(1,176.1)	(633.2)						-24%
Refunds Issued	(2,752.5)	(685.9)	(231.9)	(172.0)	(178.0)	(205.5)	(400.5)						-20%
Net Receipts from General Income Tax	4,786.3	1,039.2	3,128.6	1,971.3	2,204.9	3,419.9	1,894.9						-21%
Consumption Use Taxes:													
Sales and Use	497.9	474.7	665.4	509.9	485.7	652.9	500.2						37%
Auto Rental	-	-	-	-	-	-	-						0%
Cigarette/Tobacco Products	28.7	28.9	33.9	28.2	35.0	36.2	28.8						94%
Motor Fuel	-	-	-	-	-	-	-						0%
Alcoholic Beverage	20.4	19.3	21.7	28.8	16.5	24.4	20.3						15%
Highway Use	-	-	-	-	-	-	-						0%
Metroport Authority Trans. Taxicab Trip	-	-	-	-	-	-	-						0%
Total Consumption Use Taxes	547.0	522.9	711.0	567.9	537.2	713.5	549.3						39%
Business Taxes:													
Corporation Franchise	123.8	60.0	614.5	64.2	(2.5)	694.9	141.2						-15%
Corporation and Utilities	8.1	1.1	94.7	1.5	0.2	106.1	4.2						-7%
Insurance	18.2	20.0	286.9	2.9	13.5	280.8	0.6						75%
Bank	7.9	2.5	(24.8)	2.8	30.6	(3.3)	253.7						231%
Petroleum Business	-	-	-	-	-	-	-						0%
Total Business Taxes	158.0	83.0	871.3	71.4	41.8	1,076.5	408.7						-27%
Other Taxes:													
Real Property Gains	-	-	-	-	-	-	-						0%
Estate and Gift	74.9	106.1	77.2	72.7	122.0	85.7	99.0						-40%
Par-Mutual	0.7	1.4	1.7	1.3	2.3	2.3	1.1						-61%
Real Estate Transfer	-	-	-	-	-	-	-						0%
Racing and Exhibitions	-	0.1	-	0.1	0.4	0.3	-						-18%
Metroport Authority Trans. Mobility	-	-	-	-	-	-	-						0%
Total Other Taxes	75.6	107.6	78.9	74.1	124.7	88.3	100.1						-38%
Total Receipts	5,597.1	2,353.3	4,784.0	2,634.7	2,908.6	5,300.2	2,954.0						-27%
Miscellaneous Receipts:													
Abandoned Property	-	-	-	-	-	39.2	29.3						46%
Bottle Bill	(0.3)	0.1	8.1	0.1	0.1	36.5	0.8						16%
Assessments:													
Business	-	250.0	-	-	-	-	-						0%
Medical Care	6.5	-	4.8	-	14.2	2.7	2.0						-17%
Public Utilities	-	-	-	-	-	55.7	-						-57%
Other	0.1	-	-	-	0.1	-	-						-50%
Fees/Licenses and Penalties:													
Alcohol Beverage Control Licensing	5.6	5.1	4.4	4.5	5.0	5.2	5.4						-18%
Business/Professional	0.9	6.2	33.0	11.0	7.9	29.4	12.0						-20%
Civil	19.2	13.9	20.5	26.5	8.9	17.9	17.7						-12%
Criminal	-	0.1	-	0.1	0.1	-	0.1						33%
Motor Vehicle	16.9	16.4	26.0	(4.0)	29.9	5.9	(49.6)						-84%
Recreational/Consumer	1.1	1.1	1.4	0.8	1.4	1.8	1.2						-18%
Fines, Penalties and Forfeitures	1.8	48.3	19.7	10.9	222.3	4.6	18.2						-80%
Receipts from Public Authorities:	2.4	2.1	2.2	1.5	1.3	1.1	1.5						202%
Cost Recovery Assessments	-	-	-	2.2	-	-	-						-54%
Insurance Fees	8.4	6.1	3.2	8.4	5.2	17.2	13.8						74%
Non Bond Related	-	0.9	-	(0.6)	-	-	23.0						-43%
Receipts from Municipalities	-	16.7	16.6	16.7	16.7	16.6	16.7						100%
Rentals	0.1	0.1	0.4	0.3	0.4	0.1	0.5						-40%
Revenues of State Departments:													
Commissioner of Education	-	-	24.9	0.7	0.2	20.1	(0.3)						14%
Commissioner of Social Services	-	-	-	-	-	0.1	-						100%
Gifts, Grants and Donations	-	-	-	-	-	-	-						-100%
Indirect Cost Recoveries	0.4	20.7	6.8	(0.4)	3.1	23.9	0.4						-55%
Rebates	(1.8)	-	(0.1)	(0.3)	(0.3)	(0.7)	1.8						-66%
Restitution and Settlements	8.4	121.2	(0.1)	4.4	-	0.2	0.5						-88%
Student Loans	-	-	-	-	-	-	-						0%
All Other	(1.4)	1.6	3.7	3.7	3.6	5.5	1.5						16%
Sales	-	-	-	-	-	-	-						-2%
Total Miscellaneous Receipts	65.3	513.1	176.7	88.8	320.2	282.0	96.3						-46%
Total Receipts	5,662.4	2,866.4	4,960.7	2,723.5	3,228.8	5,582.2	3,050.3						-27%
Disbursements:													
Operating Expenses:													
Salaries and Benefits	18,562.7	18,562.7	18,562.7	18,562.7	18,562.7	18,562.7	18,562.7						0%
Travel	(1,562.7)	(1,562.7)	(1,562.7)	(1,562.7)	(1,562.7)	(1,562.7)	(1,562.7)						0%
Supplies	(2,345.7)	(2,345.7)	(2,345.7)	(2,345.7)	(2,345.7)	(2,345.7)	(2,345.7)						0%
Other	(15.4)	(15.4)	(15.4)	(15.4)	(15.4)	(15.4)	(15.4)						0%
Total Operating Expenses	16,984.3	16,984.3	16,984.3	16,984.3	16,984.3	16,984.3	16,984.3						0%
Capital Outlays:													
Depreciation	(623.9)	(623.9)	(623.9)	(623.9)	(623.9)	(623.9)	(623.9)						0%
Other	(163.1)	(163.1)	(163.1)	(163.1)	(163.1)	(163.1)	(163.1)						0%
Total Capital Outlays	(787.0)	(787.0)	(787.0)	(787.0)	(787.0)	(787.0)	(787.0)						0%
Other Disbursements:													
Transfers to School Tax Relief Fund	(654.5)	(654.5)	(654.5)	(654.5)	(654.5)	(654.5)	(654.5)						-14%
Transfers to Revenue Bond Tax Fund	(6,571.1)	(6,571.1)	(6,571.1)	(6,571.1)	(6,571.1)	(6,571.1)	(6,571.1)						-24%
Refunds Issued	(4,732.5)	(4,732.5)	(4,732.5)	(4,732.5)	(4,732.5)	(4,732.5)	(4,732.5)						-20%
Total Other Disbursements	(11,958.1)	(11,958.1)	(11,958.1)	(11,958.1)	(11,958.1)	(11,958.1)	(11,958.1)						-21%
Total Disbursements	29,729.4	29,729.4	29,729.4	29,729.4	29,729.4	29,729.4	29,729.4						-21%
Change in Fund Balance	(2,367.0)	(2,367.0)	(2,367.0)	(2,367.0)	(2,367.0)	(2,367.0)	(2,367.0)						-27%
Ending Fund Balance	\$ 5,697.1	\$ 5,525.4	\$ 4,593.7	\$ 4,843.2	\$ 4,448.1	\$ 3,912.2	\$ 3,588.3						

STATE OF NEW YORK
GENERAL FUND
STATEMENT OF CASH FLOW
FISCAL YEAR 2016-2017
(Amounts in millions)

EXHIBIT F

	7 Months Ended October 31												% Increase/ Decrease
	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	
Federal Receipts	-	0.2	4,960.8	2,771.5	-	5,882.2	3,080.3	-	-	-	-	-	0.1
Total Receipts	5,834.4	2,866.6	4,960.8	2,771.5	-	5,882.2	3,080.3	-	-	-	-	-	(3,113.3)
DISBURSEMENTS:													
Local Assistance Grants	828.1	3,043.4	3,045.9	419.3	1,016.2	1,854.8	1,387.0	-	-	-	-	-	215.9
Education	0.1	0.4	0.4	-	2.2	0.3	0.1	-	-	-	-	-	0.5
Environment and Recreation	2.1	12.6	589.7	10.7	2.3	98.7	41.2	-	-	-	-	-	3.0
General Government	990.1	1,259.9	1,361.8	1,070.3	1,281.1	1,261.3	1,039.8	-	-	-	-	-	728.7
Health	24.7	210.8	255.3	62.1	44.4	200.4	50.8	-	-	-	-	-	7,887.0
Medicaid	7.2	11.0	8.1	17.0	9.2	26.8	7.3	-	-	-	-	-	377.3
Other Public Health	122.9	130.1	420.9	288.6	188.0	194.7	163.9	-	-	-	-	-	348.0
Public Safety	2.2	6.4	11.3	17.2	27.7	16.4	10.9	-	-	-	-	-	111.0
Support and Regulate Business	-	23.2	11.0	0.1	23.9	-	-	-	-	-	-	-	1,647.2
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	32.4
Total Local Assistance Grants	1,977.4	4,697.8	5,674.4	1,884.3	2,574.0	3,654.4	2,681.0	-	-	-	-	-	22,326.3
Disposal Operations	474.9	487.9	609.4	478.2	480.3	577.8	461.8	-	-	-	-	-	3,564.8
Personal Services	102.9	135.3	182.1	131.5	186.4	171.3	220.9	-	-	-	-	-	965.9
Non-Personal Services	2,438.7	193.5	391.3	403.1	384.3	-	500.6	-	-	-	-	-	4,191.8
General State Charges	4,994.9	5,514.5	6,837.2	2,886.1	3,615.0	4,403.5	3,884.3	-	-	-	-	-	31,076.8
Total Disbursements	640.5	(2,647.9)	(1,876.4)	(173.6)	(386.2)	1,178.7	(814.0)	-	-	-	-	-	78.1
Excess (Deficiency) of Receipts over Disbursements	5,193.9	7,608.7	6,837.2	2,945.1	3,615.0	4,704.7	4,894.3	-	-	-	-	-	(4,157.0)
OTHER FINANCING SOURCES (USES):													
Transfers from Revenue Bond Tax Fund	1,594.3	590.9	1,191.0	489.7	289.9	1,430.0	593.2	-	-	-	-	-	6,228.4
Transfers from General Fund	442.8	295.1	727.0	455.1	392.1	821.9	440.0	-	-	-	-	-	3,371.4
Transfers from OMCA Funds	74.1	74.1	90.5	96.3	84.8	83.2	78.7	-	-	-	-	-	(8.4)
Transfers from Other Funds	5.0	38.8	23.0	6.0	0.7	43.4	21.1	-	-	-	-	-	598.0
Transfers to State Capital Projects	(122.3)	(71.3)	39.6	(214.3)	(341.6)	23.8	(214.4)	-	-	-	-	-	(438.2)
Transfers to Federal Capital Projects	-	-	-	-	-	-	-	-	-	-	-	-	(508.9)
Transfers to All Other Capital Projects	(40.0)	(108.0)	(145.7)	(130.0)	-	(16.5)	(67.2)	-	-	-	-	-	(419.9)
Transfers to General Debt Service	(245.3)	1.8	3.0	(188.9)	18.0	80.7	(104.1)	-	-	-	-	-	(500.4)
Transfers to All Other State Funds	(380.4)	(1,256.2)	(692.3)	(787.2)	(574.0)	(108.4)	(616.9)	-	-	-	-	-	(5,188.1)
Total Other Financing Sources (Uses)	1,918.1	(484.3)	1,336.1	(271.3)	(150.1)	2,158.1	171.8	-	-	-	-	-	4,010.7
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	1,958.6	(3,142.2)	(540.3)	(441.9)	(536.3)	3,336.8	(642.2)	-	-	-	-	-	4,088.8
Ending Fund Balance	10,992.7	7,750.5	7,210.2	6,765.3	6,229.0	9,565.8	8,923.6	-	-	-	-	-	11,386.3

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2016-2017
(Amounts in millions)

EXHIBIT G

Beginning Fund Balance	2016												Intra-Fund Transfer Eliminations (*)	7 Months Ended October 31		% Increase/ Decrease	% Increase/ Decrease
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH		2016	2015		
RECEIPTS:																	
Taxes:																	
Personal Income Tax	1.3	-	420.2	-	-	108.4	4.6	-	-	-	-	-	-	534.5	623.9	(89.4)	-14.3%
Consumption/Use Taxes	90.9	65.6	89.5	69.3	65.9	92.3	69.7	-	-	-	-	-	-	543.3	536.7	6.6	1.2%
Sales and Use	30.7	34.6	34.6	34.6	34.6	34.6	34.6	-	-	-	-	-	-	34.6	34.6	0.0	0.0%
Cigarette/Tobacco Products	69.9	70.5	86.9	74.6	85.6	75.6	72.6	-	-	-	-	-	-	535.7	573.3	(37.6)	-6.6%
Medical Marijuana	-	-	0.1	-	-	0.1	0.1	-	-	-	-	-	-	0.3	0.3	0.0	100.0%
Motor Fuel	8.2	7.9	9.2	10.1	10.5	9.5	9.4	-	-	-	-	-	-	64.8	61.7	3.1	5.0%
Alcoholic Beverage	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Highway Use	15.7	0.6	-	15.7	0.6	0.6	14.5	1.7	-	-	-	-	-	1.7	-	1.7	100.0%
Metropolitan Commuter Trans. Taxicab Trip	15.7	0.6	0.6	15.7	0.6	0.6	14.5	1.7	-	-	-	-	-	1.7	-	1.7	100.0%
Metropolitan Commuter Trans. Taxicab Trip	15.7	0.6	0.6	15.7	0.6	0.6	14.5	1.7	-	-	-	-	-	1.7	-	1.7	100.0%
Business Taxes:																	
Corporation Franchise	31.9	23.5	114.0	10.8	20.0	138.1	34.3	-	-	-	-	-	-	372.6	306.7	65.9	21.5%
Insurance	2.3	0.1	29.2	3.7	0.3	31.9	0.1	-	-	-	-	-	-	67.6	66.0	1.6	2.4%
Bank	1.5	0.2	40.3	0.8	1.1	34.6	1.9	-	-	-	-	-	-	80.4	71.0	9.4	13.2%
Petroleum Business	(1.7)	(3.4)	(0.3)	-	7.5	(1.5)	53.4	-	-	-	-	-	-	31.2	22.8	8.4	37.1%
Petroleum Business Taxes	39.3	34.7	41.5	52.5	41.5	43.8	44.0	-	-	-	-	-	-	297.3	255.9	41.4	16.2%
Other Taxes:	73.3	35.1	224.7	97.3	70.2	246.9	133.7	-	-	-	-	-	-	776.7	776.7	0.0	0.0%
Metropolitan Commuter Trans. Mobility	116.6	94.0	100.6	85.2	107.8	104.7	111.7	-	-	-	-	-	-	720.6	683.3	37.3	5.5%
Total Other Taxes	116.6	94.0	100.6	85.2	107.8	104.7	111.7	-	-	-	-	-	-	720.6	683.3	37.3	5.5%
Total Taxes	376.8	263.9	945.2	327.2	345.0	643.5	421.7	-	-	-	-	-	-	3,353.1	3,351.0	2.1	0.6%
Miscellaneous Receipts																	
Abandoned Property	0.9	(0.1)	1.8	0.9	-	1.8	0.7	-	-	-	-	-	-	6.0	6.1	(0.1)	-1.6%
Assessments:																	
Business	32.4	59.5	113.4	8.7	38.6	114.1	9.1	-	-	-	-	-	-	375.8	431.5	(55.7)	-12.9%
Medical Care	416.5	479.9	485.5	468.7	441.5	449.2	465.1	-	-	-	-	-	-	3,206.4	3,028.0	178.4	5.9%
Public Utilities	5.7	0.2	(0.1)	-	0.7	44.4	(0.1)	-	-	-	-	-	-	50.8	31.3	19.5	62.3%
Fees, Licenses and Permits:																	
Auto Fees	-	0.9	1.0	0.1	-	-	0.1	-	-	-	-	-	-	2.1	-	2.1	100.0%
Business/Professional	47.7	39.0	71.4	34.6	58.2	69.8	52.8	-	-	-	-	-	-	373.5	588.4	(214.9)	-36.5%
Civil	5.4	4.2	4.5	4.5	4.8	4.7	5.6	-	-	-	-	-	-	33.7	32.9	0.8	2.4%
Criminal	-	2.0	0.3	0.3	1.8	-	0.6	-	-	-	-	-	-	5.0	4.7	0.3	6.4%
Motor Vehicle	39.9	42.1	42.6	46.6	36.6	41.6	39.2	-	-	-	-	-	-	288.6	290.9	(2.3)	-0.8%
Professional/Consumer	32.2	32.6	47.3	33.8	39.0	56.0	63.7	-	-	-	-	-	-	385.6	370.3	15.3	4.1%
Fines, Penalties and Forfeitures	3.1	25.6	11.1	12.4	13.8	5.4	14.5	-	-	-	-	-	-	89.3	404.2	(314.9)	-77.9%
Gaming	15.3	-	34.4	15.6	-	37.0	16.3	-	-	-	-	-	-	118.6	148.9	(30.3)	-20.3%
Casino	188.8	202.5	244.8	200.9	228.0	175.1	174.8	-	-	-	-	-	-	1,414.9	1,401.9	13.0	0.9%
Lottery	78.4	77.4	90.8	76.6	93.1	74.1	71.8	-	-	-	-	-	-	562.2	563.1	(0.9)	-0.2%
Interest Earnings	2.8	5.2	3.9	4.4	5.1	4.2	4.2	-	-	-	-	-	-	29.8	20.8	9.0	43.3%
Receipts from Public Authorities:																	
State Police	-	-	22.6	(2.2)	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Cost Recovery Assessments	7.2	-	-	-	-	-	-	-	-	-	-	-	-	7.2	7.2	-	0.0%
Issuance Fees	0.9	-	-	0.2	0.5	-	0.2	-	-	-	-	-	-	1.8	2.4	(0.6)	-25.0%
Non Bond Related	56.4	7.2	37.3	4.1	4.1	7.1	4.2	-	-	-	-	-	-	123.0	80.3	42.7	53.2%
Receipts from Municipalities	55.3	31.1	21.3	2.2	46.8	1.2	34.4	-	-	-	-	-	-	192.3	117.2	75.1	64.1%
Revenues of State Departments:																	
Revenues of State Departments	0.4	28.1	9.7	20.2	9.7	8.5	8.4	-	-	-	-	-	-	86.0	61.8	24.2	39.2%
Commissions	0.2	0.2	0.2	0.1	0.3	2.7	-	-	-	-	-	-	-	3.7	2.2	1.5	68.2%
Gifts, Grants and Donations	0.9	1.0	3.1	0.8	-	-	1.3	-	-	-	-	-	-	8.6	2.8	5.8	207.1%
Indirect Cost Recoveries	-	-	-	-	-	-	0.1	-	-	-	-	-	-	5.1	4.0	1.1	27.5%
Patient/Client Care Reimbursement	145.8	189.7	91.8	120.5	200.6	234.3	131.6	-	-	-	-	-	-	1,114.3	278.2	836.1	300.5%
Rebates	11.0	12.7	10.0	22.4	10.1	14.5	11.2	-	-	-	-	-	-	91.9	87.1	4.8	5.5%
Restitution and Settlements	(1.2)	11.0	62.9	2.4	11.0	6.5	7.9	-	-	-	-	-	-	112.0	63.7	48.3	75.8%
State Loans	8.2	8.2	8.2	8.2	8.2	8.2	8.2	-	-	-	-	-	-	48.2	48.2	0.0	0.0%
All Other	50.3	26.0	48.0	38.8	35.7	44.7	50.0	-	-	-	-	-	-	293.5	29.7	263.8	889.2%
Sales	0.7	1.4	1.5	1.3	1.3	1.3	8.6	-	-	-	-	-	-	16.1	11.6	4.5	38.8%

**STATE OF NEW YORK
SPECIAL REVENUE FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2016-2017
(Amounts in millions)**

EXHIBIT G

	7 Months Ended October 31												% Increase/ Decrease
	2016	2016	2016	2016	2016	2016	2016	2016	2016	2016	2016	2016	
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	
Total Miscellaneous Receipts													
Tuition	54.7	45.5	60.7	48.7	177.7	418.7	164.5						
	1,291.3	1,363.1	1,547.3	1,227.4	1,506.5	1,877.8	1,371.0						
Federal Receipts													
	3,149.5	4,040.9	4,981.0	3,491.2	3,940.8	5,019.4	3,393.9						
Total Receipts	4,817.4	5,607.9	7,473.5	5,445.8	5,702.3	7,540.7	5,108.6						
DISBURSEMENTS:													
Local Assistance Grants:													
Education	269.8	282.9	1,018.1	167.5	192.9	2,388.4	494.7						
Environment and Recreation	0.6	-	0.9	0.4	1.1	0.5	0.1						
General Government	10.5	21.2	32.4	19.4	37.1	5.2	22.9						
Public Health:													
Medicaid	2,579.0	3,124.7	3,433.8	3,197.4	3,433.8	2,552.0	2,733.8						
Other Public Health	570.0	452.2	578.6	652.1	527.3	676.5	601.5						
Public Safety	85.0	141.1	99.0	119.6	200.0	109.2	86.1						
Public Welfare	247.2	283.2	327.4	272.9	341.6	978.5	270.5						
Support and Regulate Business	0.1	1.2	4.7	1.7	3.8	3.4	1.0						
Transportation	50.2	46.1	55.1	39.4	47.9	42.8	31.1						
Total Local Assistance Grants	3,866.4	4,761.9	6,077.0	4,414.4	5,270.9	7,146.9	4,590.3						
Departmental Operations:													
Personal Service	599.9	572.4	776.8	568.8	603.8	681.0	576.8						
Non-Personal Service	260.1	386.2	439.7	298.2	477.1	481.6	382.1						
General State Charges	189.5	272.7	117.8	27.1	103.6	453.4	28.6						
Capital Projects	0.1	0.1	0.2	0.2	0.2	1.6	-						
Total Disbursements	5,010.0	5,998.3	7,351.5	5,635.7	6,394.9	8,764.2	5,577.8						
Excess (Deficiency) of Receipts over Disbursements	(192.6)	(391.4)	122.0	(589.9)	(602.6)	(1,223.5)	(391.2)						
OTHER FINANCING SOURCES (USES):													
Transfers from Other Funds	560.0	1,365.6	755.0	996.8	708.0	218.6	677.4						
Transfers to Other Funds	(103.9)	(186.7)	(346.6)	(148.3)	(62.6)	(207.0)	(69.0)						
Total Other Financing Sources (Uses)	456.1	1,178.9	408.2	848.5	625.4	11.6	587.6						
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	263.5	897.5	528.2	258.6	22.8	(4,211.9)	186.4						
Ending Fund Balance	\$ 3,870.6	\$ 4,768.1	\$ 5,296.3	\$ 5,554.9	\$ 5,577.7	\$ 4,365.8	\$ 4,382.2						

(*) Intra-Fund transfer eliminations represent transfers between Special Revenue, State and Federal Funds.

EXHIBIT G

7 Months Ended October 31											
2016		2017		2018		2019		2020		2021	
APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH
\$ 3,547.4	\$ 4,127.5	\$ 4,382.0	\$ 4,973.0	\$ 5,579.2	\$ 6,054.3	\$ 3,961.4					
Beginning Fund Balance											
RECEIPTS:											
Taxes:											
Personal Income Tax	1.3	-	-	-	108.4	4.6					
Consumption/Use Taxes:											
Sales and Use	65.8	86.5	69.3	65.8	92.3	69.7					
Auto Rental	0.7	13.4	4.5	4.4	5.4	3.7					
Cigarette/Tobacco Products	69.9	86.9	74.6	65.6	75.6	72.6					
Medical Marijuana	-	0.1	-	-	0.1	0.1					
Motor Fuel	8.2	9.2	10.1	10.5	9.5	9.4					
Alcohol Beverage	-	-	-	-	-	-					
Highway Use	-	-	-	-	-	1.7					
Metropolitan Commuter Trans. Tax/Local Trip	15.7	0.6	15.7	0.5	0.6	14.5					
Total Consumption/Use Taxes	185.4	144.3	197.2	165.3	183.5	171.7					
Business Taxes											
Corporation Franchise	31.9	114.0	10.8	20.0	138.1	34.3					
Corporation and Utilities	2.3	0.1	3.7	0.3	31.9	0.3					
Insurance	0.2	40.5	0.6	1.1	34.9	1.8					
Professional	(1.7)	(3.4)	0.1	7.5	11.0	53.4					
Petroleum Business	39.3	41.5	52.5	41.5	43.8	52.4					
Total Business Taxes	73.3	224.7	67.8	70.4	246.9	133.7					
Other Taxes											
Metropolitan Commuter Trans. Mobility	116.6	94.0	85.2	107.8	104.7	111.7					
Total Other Taxes	116.6	94.0	85.2	107.8	104.7	111.7					
Total Taxes	376.6	293.9	345.2	327.2	345.0	427.7					
Miscellaneous Receipts:											
Abandoned Property:											
Abandoned Property	0.9	1.8	0.9	-	1.8	0.7					
Assessments:											
Business	28.5	26.1	113.3	8.7	28.4	7.6					
Medical Care	416.5	479.9	485.7	441.5	449.2	485.1					
Other Utilities	0.1	2.0	0.1	0.1	0.1	0.1					
Other	20.4	19.9	19.8	19.1	19.7	19.3					
Fees, Licenses and Permits:											
Audit Fees	-	0.9	1.0	0.1	-	0.1					
Business/Professional	47.7	39.0	71.4	34.6	69.8	52.8					
Civil	4.2	4.5	4.5	4.5	4.7	5.6					
Criminal	-	2.0	0.3	0.3	1.8	0.6					
Motor Vehicle	39.9	42.1	42.6	48.6	41.6	38.2					
Motor Vehicle Consumer	5.0	46.3	38.5	38.5	39.5	38.5					
Fines, Penalties and Forfeitures	4.2	24.3	10.5	9.2	4.0	7.8					
Gaming:											
Casino	15.3	34.4	15.6	15.6	37.0	16.3					
Lottery	202.5	244.8	209.9	228.0	175.1	174.8					
Video Lottery	78.4	90.8	76.6	93.1	74.1	71.8					
Interest Earnings	2.6	5.0	3.7	4.3	4.0	4.0					
Receipts from Public Authorities:											
Cost Recovery:											
Cost Recovery/Assessments	-	22.6	-	-	-	-					
Insurance Fees	7.2	-	(2.2)	-	-	-					
Non Bond Related	0.9	-	0.2	0.5	-	0.2					
Receipts from Municipalities	58.4	7.2	37.3	4.7	7.1	4.2					
Rentals	55.3	31.1	21.3	2.2	46.8	34.4					
Revenues of State Departments:											
Administrative Recoveries	0.4	29.1	9.6	29.2	8.5	8.4					
Commissaire	0.2	0.2	0.2	0.2	2.7	2.7					
Grants	0.9	31	0.8	0.7	0.8	1.3					
Gifts, Grants and Donations	-	1.0	0.1	-	-	-					
Indirect Cost Recoveries	-	5.0	-	-	-	0.1					
Patient/Cient Care Reimbursement	145.8	189.7	91.8	120.5	234.3	131.6					
Rebates	3.1	3.5	2.2	14.0	6.0	1.3					
Restitution and Settlements	(1.2)	11.0	62.9	23.4	0.3	9.1					
Student Loans	8.2	6.9	8.2	6.9	8.4	8.4					
Student Loans - Other	25.0	17.1	38.5	38.5	39.5	38.5					
Student Loans - Other	0.7	48.3	36.3	36.3	43.3	8.6					
Total											

EXHIBIT G

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - STATE
STATEMENT OF RECEIPTS AND DISBURSEMENTS
FISCAL YEAR 2016-2017
(Amounts in millions)

	7 Months Ended October 31												% Increase/ Decrease
	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	
Tuition	54.7	48.5	60.7	48.7	177.7	418.7	161.5	-	-	-	-	-	
Total Miscellaneous Receipts	1,278.3	1,319.2	1,330.4	1,213.7	1,490.0	1,368.0	1,351.8	-	-	-	-	-	(264.9) -21.4%
Federal Receipts	14.8	0.5	-	(11.1)	(14.7)	(0.1)	-	-	-	-	-	-	884.7 9.6%
Total Receipts	1,699.7	1,813.6	2,483.6	1,536.8	1,820.3	2,512.2	1,775.5	-	-	-	-	-	905.3 7.2%
DISBURSEMENTS:													
Local Assistance Grants:													
Capital Construction	1.4	0.5	721.0	(0.2)	1.5	2,261.6	146.5	-	-	-	-	-	47.3 1.5%
Environment and Recreation	-	0.2	0.2	0.2	0.6	0.2	-	-	-	-	-	-	(0.4) -25.0%
General Government	9.7	17.3	24.1	18.4	34.0	3.6	13.9	-	-	-	-	-	46.3 82.0%
Public Health:													
Medicaid	335.2	487.6	428.4	641.7	477.1	406.0	434.9	-	-	-	-	-	117.0 3.8%
Other Public Health	149.8	67.6	373.7	161.8	95.9	306.9	152.9	-	-	-	-	-	(55.2) -4.0%
Public Safety	11.8	19.4	11.2	7.4	13.4	15.7	(4.4)	-	-	-	-	-	14.7 24.6%
Public Welfare	0.4	0.9	0.5	0.1	0.6	0.1	0.6	-	-	-	-	-	(3.0) 45.5%
Transport and Regulate Business	1.2	1.2	1.4	1.4	0.5	1.7	0.9	-	-	-	-	-	(0.7) -5.7%
Capital Projects	192.1	457.6	513.2	307.8	465.5	428.7	376.1	-	-	-	-	-	194.7 7.6%
Total Local Assistance Grants	700.5	1,052.3	2,017.0	1,138.6	1,091.1	3,426.2	1,121.7	-	-	-	-	-	297.6 2.9%
Departmental Operations:													
Personal Service	551.1	528.2	704.9	527.5	545.2	633.9	531.6	-	-	-	-	-	(6.1) -0.2%
Non-Personal Service	214.5	292.2	323.0	216.8	325.1	302.9	280.4	-	-	-	-	-	71.5 3.8%
General State Charges	179.0	237.6	103.6	26.9	69.1	416.6	24.9	-	-	-	-	-	86.3 8.9%
Capital Projects	0.1	0.1	0.2	0.2	0.2	1.6	-	-	-	-	-	-	1.8 300.0%
Total Disbursements	1,645.2	2,120.4	3,208.7	1,912.0	2,030.7	4,781.2	1,956.6	-	-	-	-	-	451.1 2.6%
Excess (Deficiency) of Receipts over Disbursements	24.5	(506.8)	(725.1)	(372.2)	(210.4)	(2,269.0)	(183.1)	-	-	-	-	-	454.2 9.7%
OTHER FINANCING SOURCES (USES):													
Transfers from Other Funds	560.0	1,365.6	755.0	966.8	708.0	218.6	67.4	-	-	-	-	-	(977.4) -15.6%
Transfers to Other Funds	(4.4)	(4.3)	(38.9)	(18.4)	(22.5)	(42.5)	(24.0)	-	-	-	-	-	(320.8) -67.4%
Total Other Financing Sources (Uses)	555.6	1,361.3	716.1	978.4	685.5	176.1	653.4	-	-	-	-	-	(656.6) -41.4%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	580.1	854.5	(9.0)	606.2	475.1	(2,092.9)	470.3	-	-	-	-	-	(202.4) -18.6%
Ending Fund Balance	\$ 4,127.5	\$ 4,982.0	\$ 4,973.0	\$ 5,579.2	\$ 6,054.3	\$ 3,961.4	\$ 4,431.7	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 872.4 24.5%

EXHIBIT G

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - FEDERAL
STATEMENT OF RECEIPTS AND DISBURSEMENTS
FISCAL YEAR 2016-2017
(Amounts in millions)

	7 Months Ended October 31												% Increase/ Decrease				
	2016						2017										
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH					
Beginning Fund Balance	\$ 59.7	\$ (256.9)	\$ (213.9)	\$ 323.3	\$ (24.3)	\$ (476.6)	\$ 404.4							\$ 59.7	\$ 189.2	\$ (129.5)	-68.4%
RECEIPTS:																	
Miscellaneous Receipts:																	
Abandoned Property:																	
Assessments:																	
Business:	3.9	33.4	0.1	2.0	10.2	0.1	1.5	-	-	-	-	-	-	51.2	48.9	2.3	4.7%
Medical Care	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Public Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Other	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Fees, Licenses and Permits:																	
Business/Professional	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Civil	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Criminal	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Motor Vehicle	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Recreational/Consumer	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Fines, Penalties and Forfeitures	0.9	0.7	0.6	3.2	0.7	1.4	6.7	-	-	-	-	-	-	14.2	7.6	6.6	86.8%
Interest Earnings	0.2	0.2	0.2	0.1	0.3	0.2	0.2	-	-	-	-	-	-	1.4	0.3	1.1	366.7%
Receipts from Public Authorities:																	
Bond Proceeds	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Cost Recovery Assessments	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Insurance 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	0.6	(0.5)	-83.3%
Commissions	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Gifts, Grants and Donations	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Indirect Cost Recoveries	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Patient/Client Care Reimbursement	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Rebates	7.9	9.2	7.8	8.4	9.1	8.5	9.9	-	-	-	-	-	-	60.8	59.2	1.6	2.7%
Restitution and Settlements	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-100.0%
Student Loans	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
All Other	0.1	0.4	(0.1)	-	(3.8)	(1.2)	(1.1)	-	-	-	-	-	-	(6.7)	0.7	(6.4)	-914.3%
Sales	-	-	0.2	-	-	-	-	-	-	-	-	-	-	0.2	-	0.2	100.0%
Tuition	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Total Miscellaneous Receipts	13.0	43.9	8.9	13.7	16.5	9.0	17.2	-	-	-	-	-	-	122.2	117.4	4.8	4.1%
Federal Receipts	3,134.7	4,040.4	4,981.0	3,492.3	3,955.5	5,019.5	3,393.9	-	-	-	-	-	-	28,017.3	25,895.7	2,121.6	8.2%
Total Receipts	3,147.7	4,084.3	4,989.9	3,506.0	3,972.0	5,028.5	3,411.1	-	-	-	-	-	-	28,139.6	26,013.1	2,126.4	8.2%

EXHIBIT G

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EXHIBIT H

28

EXHIBIT I

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2016-2017
(Amounts in millions)

7 Months Ended October 31																
Beginning Fund Balance																
2016	Intra-Fund															
APRIL	2017												Transfer	% Increase/		
\$ (880.8)	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	Eliminations (*)	\$ (Decrease)	% Decrease		
\$ (880.8)	\$ (857.0)	\$ (846.8)	\$ (652.0)	\$ (628.3)	\$ (777.3)	\$ (878.8)						\$ -	\$ (166.4)	-23.0%		
RECEIPTS:																
Taxes:																
Consumption/Use Taxes:																
Alcohol	0.3	-	18.9	0.1	0.1	23.2	-	-	-	-	-	-	42.6	46.0	(3.4)	-7.4%
Motor Fuel	30.8	29.4	35.1	36.4	39.5	35.5	-	-	-	-	-	-	242.0	231.9	10.1	4.4%
Highway Use	12.6	10.7	12.3	12.5	12.3	11.7	-	-	-	-	-	-	93.4	91.0	(2.4)	-2.4%
Total Consumption/Use Taxes	43.7	40.1	66.3	48.0	51.9	70.2	-	-	-	-	-	-	368.0	368.9	(0.9)	-0.2%
Business Taxes:																
Corporation Franchise	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Corporation and Utilities	0.8	-	2.1	0.1	-	2.5	-	-	-	-	-	-	-	-	-	0.0%
Petroleum Business	48.2	43.2	54.2	66.2	51.6	54.9	-	-	-	-	-	-	371.2	370.2	1.0	0.3%
Total Business Taxes	49.0	43.2	56.3	66.3	51.6	57.5	-	-	-	-	-	-	376.7	375.7	1.0	0.3%
Other Taxes:																
Real Estate Transfer	-	-	11.9	11.9	11.9	11.9	-	-	-	-	-	-	59.5	59.6	(0.1)	-0.2%
Total Other Taxes	-	-	11.9	11.9	11.9	11.9	-	-	-	-	-	-	59.5	59.6	(0.1)	-0.2%
Total Taxes	92.7	83.3	132.4	127.2	115.4	138.6	-	-	-	-	-	-	804.2	804.2	-	0.0%
Miscellaneous Receipts:																
Abandoned Property:	-	-	23.0	-	-	-	-	-	-	-	-	-	23.0	-	-	0.0%
Bottle Bill	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Assessments:	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Business:	9.4	8.7	10.3	11.1	7.8	11.7	9.3	-	-	-	-	-	68.3	60.1	8.2	13.6%
Fees, Licenses and Permits:	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Business/Professional	2.6	6.3	2.3	1.9	3.6	2.5	1.8	-	-	-	-	-	21.0	19.2	1.8	9.4%
Civil	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Motor Vehicle	66.1	64.8	62.0	63.5	54.7	61.3	53.0	-	-	-	-	-	425.4	415.5	9.9	2.4%
Recreational/Consumer	0.1	0.3	0.1	0.2	0.9	28.0	(0.7)	-	-	-	-	-	26.9	14.6	12.3	84.2%
Fines, Penalties and Forfeitures	2.3	2.3	2.7	3.5	2.9	2.8	5.9	-	-	-	-	-	22.4	13.1	9.3	71.0%
Interest Earnings	0.1	0.1	0.2	0.1	0.2	0.2	0.2	-	-	-	-	-	1.2	0.3	0.9	300.0%
Real Estate Public Authorities:	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Bond Proceeds:	-	112.9	556.0	4.2	9.0	536.5	251.4	-	-	-	-	-	1,470.0	1,512.8	(42.8)	-2.8%
Insurance Fees	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Non Bond Related	0.1	-	0.6	-	4.0	0.8	-	-	-	-	-	-	5.5	3.3	2.2	66.7%
Receipts from Municipalities	-	0.6	0.3	0.4	0.1	-	-	-	-	-	-	-	1.4	0.3	1.1	366.7%
Rentals	-	0.2	0.4	1.2	0.3	1.6	0.3	-	-	-	-	-	4.7	4.0	0.7	17.5%
Revenues of State Departments:	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Administrative Recoveries	2.5	-	-	-	-	-	-	-	-	-	-	-	-	0.1	(0.1)	-100.0%
Gifts and Donations	-	-	-	-	-	-	-	-	-	-	-	-	-	34.9%	7.2	20.0%
Indirect Cost Recoveries	-	-	0.1	0.8	-	3.2	1.1	-	-	-	-	-	9.3	2.1	7.2	342.9%
Rebates	-	-	-	-	0.3	-	(0.1)	-	-	-	-	-	0.2	0.2	-	0.0%
Restitution and Settlements	-	0.5	0.5	1.7	2.1	2.8	0.2	-	-	-	-	-	7.8	2.2	5.6	254.5%
All Other	0.1	0.8	2.7	0.8	0.6	6.3	0.5	-	-	-	-	-	11.8	13.2	(1.4)	-10.6%
Sales	1.1	199.1	687.3	88.5	88.6	655.8	323.0	-	-	-	-	-	1.6	0.9	0.7	77.8%
Total Miscellaneous Receipts	85.2	199.1	687.3	88.5	88.6	655.8	323.0	-	-	-	-	-	2,100.5	2,084.9	15.6	0.7%
Federal Receipts	126.2	156.4	227.3	153.4	239.5	362.4	184.1	-	-	-	-	-	1,419.3	1,127.5	291.8	25.9%
Total Receipts	304.1	438.8	1,021.0	370.1	431.5	1,157.8	600.7	-	-	-	-	-	4,324.0	4,016.6	307.4	7.7%

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2016-2017
(Amounts in millions)

EXHIBIT I

	7 Months Ended October 31												% Increase/ Decrease
	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	
DISBURSEMENTS:													
Local Assistance Grants:													
Education	-	0.2	0.1	7.8	5.6	2.7	2.6	-	-	-	19.0	13.6	5.4
Environment and Recreation	2.7	3.9	7.2	12.3	12.0	5.2	7.2	-	-	-	50.5	47.2	3.3
General Government	58.9	11.5	18.0	16.6	16.6	35.4	66.2	-	-	-	223.2	46.9	178.3
Health:	-	-	-	-	-	-	-	-	-	-	-	-	-
Medicaid	-	-	-	-	-	-	-	-	-	-	-	-	-
Other Public Health	2.7	11.5	7.4	9.8	3.4	11.8	10.7	-	-	-	57.3	47.8	9.5
Public Safety	(1.3)	5.9	0.5	2.2	0.6	10.4	13.0	-	-	-	31.3	43.2	(11.9)
Public Welfare	-	15.8	-	35.0	6.0	15.7	9.2	-	-	-	81.7	54.9	26.8
Support and Regulate Business	2.7	8.3	178.8	46.0	187.0	40.2	4.0	-	-	-	446.0	389.5	45.5
Transportation	27.8	40.4	78.9	77.3	78.0	232.0	71.1	-	-	-	605.5	394.0	211.5
Total Local Assistance Grants	83.5	97.5	288.9	207.0	291.2	353.4	184.0	-	-	-	1,315.5	1,047.1	488.3
Departmental Operations:													
Police	-	-	-	-	-	-	-	-	-	-	-	-	-
Public Safety	-	-	-	-	-	-	-	-	-	-	-	-	-
Non-Personal Service	-	-	-	-	-	-	-	-	-	-	-	-	-
General State Changes	-	-	-	-	-	-	-	-	-	-	-	-	-
Capital Projects	313.5	485.9	643.6	470.7	561.2	688.1	587.2	-	-	-	3,751.2	3,421.2	330.0
Total Disbursements	407.0	583.4	932.5	677.7	852.4	1,042.5	771.2	-	-	-	5,266.7	4,468.3	788.4
Excess (Deficiency) of Receipts over Disbursements	(102.9)	(144.6)	88.5	(302.6)	(420.9)	115.3	(170.5)	-	-	-	(942.7)	(451.7)	(491.0)
OTHER FINANCING SOURCES (USES):													
Bond Proceeds (net)	-	-	-	-	-	-	-	-	-	-	-	-	-
Transfers from Other Funds	162.2	183.8	138.4	362.5	352.8	28.9	286.9	-	-	-	1,486.1	985.1	501.0
Transfers to Other Funds	(25.5)	(28.0)	(32.1)	(31.2)	(30.9)	(296.7)	(30.8)	-	-	-	(445.8)	(600.8)	(155.0)
Total Other Financing Sources (Uses)	136.7	155.8	106.3	331.3	321.9	(766.8)	256.1	-	-	-	1,040.3	384.3	656.0
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	33.8	10.2	194.8	23.7	(99.0)	(151.5)	85.6	-	-	-	97.6	(67.4)	165.0
Ending Fund Balance	\$ (857.0)	\$ (846.8)	\$ (652.0)	\$ (628.3)	\$ (727.3)	\$ (878.8)	\$ (783.2)	\$ -	\$ -	\$ -	\$ (793.2)	\$ (791.8)	\$ (1.4)

(*) Intra-Fund transfer eliminations represent transfers from Capital Projects- State and Federal Funds.

EXHIBIT I

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - STATE
STATEMENT OF RECEIPTS AND DISBURSEMENTS
FISCAL YEAR 2016-2017
(Amounts in millions)

	7 Months Ended October 31												% Increase/ Decrease				
	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH					
Beginning Fund Balance	\$ (331.5)	\$ (347.0)	\$ (346.5)	\$ (219.0)	\$ (155.8)	\$ (288.6)	\$ (431.0)							\$ (331.5)	2016 \$ (342.4)	\$ 10.9	3.2%
RECEIPTS:																	
Taxes:																	
Consumption/Use Taxes																	
Auto Rental	0.3	-	18.9	0.1	0.1	23.2	35.5	-	-	-	-	-	-	42.6	46.0	(3.4)	-7.4%
Motor Fuel	30.6	29.4	35.1	36.4	39.5	35.3	11.3	-	-	-	-	-	-	242.0	231.8	10.1	4.4%
Highway Use	12.9	10.7	12.3	12.3	12.3	11.7	11.3	-	-	-	-	-	-	63.4	61.0	(2.4)	-3.4%
Total Consumption/Use Taxes	43.7	40.1	66.3	48.6	51.9	70.2	46.8							368.0	358.9	(0.9)	-4.2%
Business Taxes																	
Corporation Franchise	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Corporation and Utilities	0.8	-	2.1	0.1	-	2.5	-	-	-	-	-	-	-	5.5	5.5	-	0.0%
Petroleum Business	48.2	43.2	52.1	66.2	51.6	55.0	54.9	-	-	-	-	-	-	371.2	370.2	1.0	0.3%
Total Business Taxes	49.0	43.2	54.2	66.3	51.6	57.5	54.9							376.7	375.7	1.0	0.3%
Other Taxes																	
Real Estate Transfer	-	-	11.9	11.9	11.9	11.9	11.9	-	-	-	-	-	-	58.5	58.6	(0.1)	-0.2%
Total Other Taxes	-	-	11.9	11.9	11.9	11.9	11.9	-	-	-	-	-	-	59.5	59.6	(0.1)	-0.2%
Total Taxes	92.7	83.3	132.4	127.2	115.4	139.6	113.6							804.2	804.2	-	0.0%
Miscellaneous Receipts:																	
Abandoned Property:																	
Bottle Bill	-	-	23.0	-	-	-	-	-	-	-	-	-	-	23.0	23.0	-	0.0%
Assessments:																	
Business	9.4	8.7	10.3	11.1	7.8	11.7	9.3	-	-	-	-	-	-	68.3	60.1	8.2	13.6%
Fees, Licenses and Permits:																	
Business/Professional	2.6	6.3	2.3	1.9	3.6	2.5	1.8	-	-	-	-	-	-	21.0	19.2	1.8	9.4%
Civil	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Motor Vehicle	66.1	64.8	62.0	63.5	54.7	61.3	53.0	-	-	-	-	-	-	425.4	415.5	9.9	2.4%
Recreational/Consumer	0.1	0.3	0.1	0.2	0.9	26.0	(0.7)	-	-	-	-	-	-	28.9	14.6	14.3	84.2%
Fines, Penalties and Forfeitures	2.3	2.3	2.7	3.5	2.9	2.8	5.9	-	-	-	-	-	-	22.4	13.1	9.3	71.0%
Interest Earnings	0.2	0.1	0.2	0.1	0.2	0.2	0.2	-	-	-	-	-	-	1.2	0.3	0.9	300.0%
Receipts from Public Authorities:																	
Bond Proceeds	-	112.9	556.0	4.2	9.0	536.5	251.4	-	-	-	-	-	-	1,470.0	1,512.8	(42.8)	-2.8%
Issuance Fees	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Non Bond Related	0.1	-	0.6	-	4.0	0.8	-	-	-	-	-	-	-	5.5	3.3	2.2	66.7%
Receipts from Municipalities	-	0.6	0.3	0.4	0.1	-	-	-	-	-	-	-	-	1.4	0.3	1.1	366.7%
Rentals	0.6	0.2	0.4	1.1	0.2	1.6	0.2	-	-	-	-	-	-	4.3	3.7	0.6	16.2%
Revenues of State Departments:																	
Administrative Recoveries	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.1	(0.1)	-100.0%
Gifts, Grants and Donations	2.5	1.6	0.1	0.8	-	3.2	1.1	-	-	-	-	-	-	9.3	2.1	7.2	342.9%
Indirect Cost Recoveries	-	-	-	-	-	-	(0.1)	-	-	-	-	-	-	-	-	-	0.0%
Rebates	-	-	-	-	0.3	-	-	-	-	-	-	-	-	0.2	0.2	-	0.0%
Restitution and Settlements	-	0.5	0.5	1.7	2.1	2.8	0.2	-	-	-	-	-	-	7.8	2.2	5.6	254.5%
All Other	0.1	0.8	2.7	0.8	0.6	6.3	0.5	-	-	-	-	-	-	11.8	13.2	(1.4)	-10.6%
Sales	0.2	-	-	0.1	0.1	0.1	0.1	-	-	-	-	-	-	0.9	0.7	(0.2)	-14.3%
Total Miscellaneous Receipts	84.2	195.1	651.2	89.4	86.5	655.8	322.9	-	-	-	-	-	-	2,099.1	2,084.4	14.7	0.7%
Federal Receipts														2.5	2.5	-	0.0%
Total Receipts	176.9	282.4	783.6	216.6	201.9	797.9	436.5							2,905.6	2,904.1	14.7	0.5%

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DISBURSEMENTS:

Excess (Deficiency) of Receipts and

Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses

Ending Fund Balance

EXHIBIT I

**STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - FEDERAL
STATEMENT OF RECEIPTS AND DISBURSEMENTS
FISCAL YEAR 2016-2017**
(Amounts in millions)

	7 Months Ended October 31												
	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	
Beginning Fund Balance	\$ (559.3)	\$ (510.0)	\$ (500.3)	\$ (433.0)	\$ (472.5)	\$ (458.7)	\$ (447.8)						
RECEIPTS:													
Miscellaneous Receipts:													
Abandoned Property:													
Bottle Bill	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Assessments:													
Business	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Fees, Licenses and Permits:													
Business/Professional	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Other	-	-	-	-	-	-	-	-	-	-	-	-	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%
Insurance Fees	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Non Bond Related	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Receipts from Municipalities	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Rentals	0.1	-	-	0.1	0.1	-	0.1	-	-	0.3	-	-	33.3%
Revenues of State Departments:													
Administrative Recoveries	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Grants, Gifts and Donations	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Indirect Cost Recoveries	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Prizes and Statements	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
All Other	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Sales	0.9	-	0.1	-	-	-	-	-	-	-	-	-	400.0%
Total Miscellaneous Receipts	1.0	-	0.1	0.1	0.1	-	0.1	-	-	-	-	-	180.0%
Federal Receipts	126.2	156.4	227.3	153.4	229.5	359.9	164.1	-	-	1,125.0	-	-	25.9%
Total Receipts	127.2	156.4	227.4	153.5	229.6	359.9	164.2	-	-	1,125.0	-	-	26.0%
DISBURSEMENTS:													
Local Assistance Grants:													
Education	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Environment and Recreation	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
General Government	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Public Health:													
Other	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Other Public Health	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Public Safety	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Public Welfare	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Support and Regulate Business	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Transportation	22.0	37.2	27.7	64.7	64.5	114.9	61.2	-	-	228.0	-	-	72.0%
Total Local Assistance Grants	22.0	37.2	27.7	64.7	64.5	114.9	61.2	-	-	228.0	-	-	72.0%
Departmental Operations:													
Personal Service	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Non-Personal Service	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
General State Charges	55.9	109.5	128.2	126.4	151.3	197.7	165.4	-	-	862.1	-	-	8.4%
Capital Projects	77.9	148.7	155.9	191.1	215.8	318.5	228.6	-	-	1,090.1	-	-	22.2%
Total Disbursements	48.3	9.7	71.5	(37.6)	13.8	41.4	(62.4)	-	-	35.4	-	-	142.1%
Excess (Deficiency) of Receipts over Disbursements	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
OTHER FINANCING SOURCES (USES):													
Transfers from Other Funds	-	-	(4.2)	(1.9)	-	(30.5)	(2.1)	-	-	(2.7)	-	-	0.0%
Transfers to Other Funds	-	-	(4.2)	(1.9)	-	(38.5)	(2.1)	-	-	(2.7)	-	-	1,333.3%
Total Other Financing Sources (Uses)	-	-	(4.2)	(1.9)	-	(38.5)	(2.1)	-	-	(2.7)	-	-	1,333.3%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	48.3	9.7	67.3	(39.5)	13.8	10.9	(64.5)	-	-	-	-	-	43.7%
Ending Fund Balance	\$ (510.0)	\$ (500.3)	\$ (433.0)	\$ (472.5)	\$ (458.7)	\$ (447.8)	\$ (417.3)	\$ -	\$ -	\$ -	\$ -	\$ -	-46.7%

STATE OF NEW YORK
ENTERPRISE FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2016-17
(Amounts in millions)

EXHIBIT J

	2017												7 Months Ended October 31		% Increase/ Decrease	
	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2015 \$	2016 \$		2015 \$
Beginning Fund Balance	\$ 66.1	\$ 23.0	\$ 23.4	\$ 24.6	\$ 22.4	\$ 24.3	\$ 27.1						\$ 66.1	\$ 50.6	\$ 15.5	30.6%
RECEIPTS:																
Miscellaneous Receipts	4.1	4.5	5.9	4.5	5.1	8.6	4.9						37.6	42.4	(4.8)	-11.3%
Federal Receipts	1.4	1.3	1.5	1.3	1.6	1.5	1.5						10.1	17.5	(7.4)	-42.3%
Unemployment Taxes	132.0	184.1	159.6	167.8	208.0	150.9	154.5						1,156.9	1,252.2	(95.3)	-7.6%
Total Receipts	137.5	189.9	167.0	173.6	214.7	161.0	160.9	-	-	-	-	-	1,204.6	1,312.1	(107.5)	-8.2%
DISBURSEMENTS:																
Departmental Operations:																
Personal Service	0.4	0.1	0.4	0.2	0.5	0.1	1.7						3.4	4.1	(0.7)	-17.1%
Non-Personal Service	2.4	4.1	4.1	6.6	2.6	5.9	5.1						30.8	49.8	(19.0)	-38.2%
General State Charges	0.2	0.1	-	-	-	0.1	-						0.4	0.3	0.1	33.3%
Unemployment Benefits	177.6	185.2	161.3	169.0	209.7	152.1	155.8						1,210.7	1,243.3	(32.6)	-2.6%
Total Disbursements	180.6	189.5	165.8	175.8	212.8	158.2	162.6	-	-	-	-	-	1,245.3	1,297.5	(52.2)	-4.0%
Excess (Deficiency) of Receipts over Disbursements	(43.1)	0.4	1.2	(2.2)	1.9	2.8	(1.7)	-	-	-	-	-	(40.7)	14.6	(55.3)	-378.8%
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	(43.1)	0.4	1.2	(2.2)	1.9	2.8	(1.7)	-	-	-	-	-	(40.7)	14.6	(55.3)	-378.8%
Ending Fund Balance	\$ 23.0	\$ 23.4	\$ 24.6	\$ 22.4	\$ 24.3	\$ 27.1	\$ 25.4	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 25.4	\$ 65.2	\$ (39.8)	-61.0%

EXHIBIT K

STATE OF NEW YORK
INTERNAL SERVICE FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2016-17
(Amounts in millions)

	2017												7 Months Ended October 31			
	2016	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2016	2015	\$ Increase/ (Decrease)	% Increase/ (Decrease)
	\$ (127.2)	\$ (191.3)	\$ (213.4)	\$ (219.3)	\$ (213.4)	\$ (235.5)	\$ (288.6)						\$ (127.2)	\$ (196.7)	\$ 69.5	35.3%
Beginning Fund Balance																
RECEIPTS:																
Miscellaneous Receipts	17.5	30.1	43.1	32.9	35.1	29.5	28.5						216.7	273.0	(56.3)	-20.6%
Total Receipts	17.5	30.1	43.1	32.9	35.1	29.5	28.5	-	-	-	-	-	216.7	273.0	(56.3)	-20.6%
DISBURSEMENTS:																
Departmental Operations:																
Personal Service	7.4	7.2	10.4	6.9	8.7	7.7	7.2						55.5	50.7	4.8	9.5%
Non-Personal Service	79.5	41.1	36.1	20.9	47.5	39.0	(32.4)						231.7	241.6	(9.9)	-4.1%
General State Charges	-	8.2	4.1	-	6.0	2.9	-						21.2	20.2	1.0	5.0%
Total Disbursements	86.9	56.5	50.6	27.8	62.2	49.6	(25.2)	-	-	-	-	-	308.4	312.5	(4.1)	-1.3%
Excess (Deficiency) of Receipts over Disbursements	(69.4)	(26.4)	(7.5)	5.1	(27.1)	(20.1)	53.7	-	-	-	-	-	(91.7)	(39.5)	(52.2)	-132.2%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	5.3	4.3	1.8	0.8	5.0	4.5	3.1						24.8	31.3	(6.5)	-20.8%
Transfers to Other Funds	-	-	(0.2)	-	-	(7.5)	-						(7.7)	(9.8)	2.1	21.4%
Total Other Financing Sources (Uses)	5.3	4.3	1.6	0.8	5.0	(3.0)	3.1	-	-	-	-	-	17.1	21.5	(8.6)	-40.0%
Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses	(64.1)	(22.1)	(5.9)	5.9	(22.1)	(23.1)	56.8	-	-	-	-	-	(74.6)	(18.0)	(60.8)	-337.8%
Ending Fund Balance	\$ (191.3)	\$ (213.4)	\$ (219.3)	\$ (213.4)	\$ (235.5)	\$ (258.6)	\$ (201.8)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ (201.8)	\$ (214.7)	\$ 12.9	6.0%

EXHIBIT L

	2016		MAY		JUNE		JULY		AUGUST		SEPTEMBER		OCTOBER		NOVEMBER		DECEMBER		JANUARY		FEBRUARY		MARCH		7 Months Ended October 31		\$ Increase/ (Decrease)		% Increase/ (Decrease)							
	APRIL	\$	0.1	\$ 1.8	\$ 1.0	\$ 1.0	\$ 2.1	\$ (3.3)	\$ (3.3)	\$ (14.1)	\$ (14.9)	\$ (14.9)	\$ (14.9)	\$ (14.9)	\$ (14.9)	\$ (14.9)	\$ (14.9)	\$ (14.9)	\$ (14.9)	\$ (14.9)	\$ (14.9)	\$ (14.9)	\$ (14.9)	\$ (14.9)	\$ (14.9)	\$ (14.9)	\$ (14.9)	\$ (14.9)	\$ (14.9)	\$ (14.9)						
Beginning Fund Balance																																				
RECEIPTS:																																				
Miscellaneous Receipts	7.2		4.5	6.9	6.9	6.9	4.6	5.3	5.3	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8				
Total Receipts	7.2		4.5	6.9	6.9	6.9	4.6	5.3	5.3	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8				
DISBURSEMENTS:																																				
Departmental Operations:																																				
Personal Service	4.8		4.6	6.9	6.9	6.9	4.5	5.2	5.2	4.7	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8	4.8				
Non-Personal Service	0.7		0.7	1.1	1.1	1.3	1.4	1.4	1.4	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9	0.9				
General State Charges	-		-	-	2.0	-	-	9.5	9.5	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-			
Total Disbursements	5.5		5.3	10.0	10.0	5.8	16.1	16.1	16.1	5.6	5.7	5.7	5.7	5.7	5.7	5.7	5.7	5.7	5.7	5.7	5.7	5.7	5.7	5.7	5.7	5.7	5.7	5.7	5.7	5.7	5.7	5.7	5.7			
Excess (Deficiency) of Receipts over Disbursements																																				
	1.7		(0.8)	(3.1)	(3.1)	(1.2)	(10.8)	(10.8)	(10.8)	(0.8)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)			
OTHER FINANCING SOURCES (USES):																																				
Transfers from Other Funds	-		-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
Transfers to Other Funds	-		-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
Total Other Financing Sources (Uses)	-		-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses																																				
	1.7		(0.8)	(3.1)	(3.1)	(1.2)	(10.8)	(10.8)	(10.8)	(0.8)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)	(0.9)		
Ending Fund Balance	1.8		\$ 1.0	\$ (2.1)	\$ (3.3)	\$ (3.3)	\$ (14.1)	\$ (14.1)	\$ (14.1)	\$ (14.9)	\$ (15.8)	\$ (15.8)	\$ (15.8)	\$ (15.8)	\$ (15.8)	\$ (15.8)	\$ (15.8)	\$ (15.8)	\$ (15.8)	\$ (15.8)	\$ (15.8)	\$ (15.8)	\$ (15.8)	\$ (15.8)	\$ (15.8)	\$ (15.8)	\$ (15.8)	\$ (15.8)	\$ (15.8)	\$ (15.8)	\$ (15.8)	\$ (15.8)	\$ (15.8)	\$ (15.8)		

EXHIBIT M

37

SCHEDULE 1

STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
CHANGES IN FUND BALANCES
FOR THE MONTH OF OCTOBER 2016
(Amounts in millions)

	BALANCE OCTOBER 1, 2016	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE OCTOBER 31, 2016
GENERAL FUND					
10000-10049-Local Assistance Account	\$ -	\$ 0.062	\$ 2,680.539	\$ 2,680.477	\$ -
10050-10099-State Operations Account	9,506.299	3,032.763	1,165.771	(2,508.653)	8,864.638
10100-10149-Tax Stabilization Reserve	-	-	-	-	-
10150-10199-Contingency Reserve	-	-	-	-	-
10200-10249-Universal Pre-K Reserve	-	-	-	-	-
10250-10299-Community Projects	59.487	-	0.494	-	58.993
10300-10349-Rainy Day Reserve Fund	-	-	-	-	-
10400-10449-Refund Reserve Account	-	-	-	-	-
10500-10549-Fringe Benefits Escrow	-	17.563	17.563	-	-
10550-10599-Tobacco Revenue Guarantee	-	-	-	-	-
TOTAL GENERAL FUND	9,565.786	3,050.388	3,864.367	171.824	8,923.631
SPECIAL REVENUE FUNDS-STATE					
20000-20099-Mental Health Gifts and Donations	2.209	0.005	0.005	-	2.209
20100-20299-Combined Expendable Trust	63.987	0.754	0.832	-	63.909
20300-20349-New York Interest on Lawyer Account	42.143	1.085	0.078	-	43.150
20350-20399-NYS Archives Partnership Trust	0.213	-	0.022	-	0.191
20400-20449-Child Performer's Protection	0.209	0.005	0.018	-	0.196
20450-20499-Tuition Reimbursement	6.315	0.283	0.134	(0.320)	6.144
20500-20549-New York State Local Government Records Management Improvement	3.235	0.796	1.128	(0.782)	2.121
20550-20599-School Tax Relief	5.106	4.580	1.322	-	8.364
20600-20649-Charter Schools Stimulus	1.713	0.001	-	-	1.714
20650-20699-Not-For-Profit Short Term Revolving Loan	-	-	-	-	-
20800-20849-HCRA Resources	213.727	490.300	476.625	(0.538)	226.864
20850-20899-Dedicated Mass Transportation Trust	79.794	52.532	62.375	-	69.951
20900-20949-State Lottery	(578.507)	247.038	146.841	-	(478.310)
20950-20999-Combined Student Loan	12.635	2.936	3.991	-	11.580
21000-21049-Sewage Treatment Program Mgmt. & Administration	(3.715)	-	0.031	-	(3.746)
21050-21149-Encon Special Revenue	(15.181)	11.832	5.346	(0.523)	(9.218)
21150-21199-Conservation	79.262	2.464	2.443	-	79.283
21200-21249-Environmental Protection and Oil Spill Compensation	34.716	4.457	2.385	(2.724)	34.064
21250-21299-Training and Education Program on OSHA	10.123	0.004	2.988	(0.004)	7.135
21300-21349-Lawyers' Fund for Client Protection	3.968	0.751	0.182	-	4.537
21350-21399-Equipment Loan for the Disabled	0.518	0.003	-	-	0.521
21400-21449-Mass Transportation Operating Assistance	198.659	171.250	198.260	0.019	171.668
21450-21499-Clean Air	(19.430)	8.879	1.690	-	(12.241)
21500-21549-New York State Infrastructure Trust	0.067	-	-	-	0.067
21550-21599-Legislative Computer Services	11.000	0.032	0.625	-	10.407
21600-21649-Biodiversity Stewardship and Research	0.457	-	-	-	0.457
21650-21699-Combined Non-Expendable Trust	-	-	-	-	-
21700-21749-Winter Sports Education Trust	0.001	-	-	-	0.001
21750-21799-Musical Instrument Revolving	0.839	-	-	-	0.839
21850-21899-Arts Capital Revolving	-	-	-	-	-
21900-22499-Miscellaneous State Special Revenue	1,525.376	150.696	447.214	605.818	1,834.676

SCHEDULE 1

STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
CHANGES IN FUND BALANCES
FOR THE MONTH OF OCTOBER 2016
(Amounts in millions)

	BALANCE OCTOBER 1, 2016	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE OCTOBER 31, 2016
SPECIAL REVENUE FUNDS-STATE (CONTINUED)					
22500-22549-Court Facilities Incentive Aid	13,029	0,006	2,855	-	10,180
22550-22599-Employment Training	0,050	-	-	-	0,050
22650-22699-State University Income	1,444,315	423,676	470,939	11,539	1,408,591
22700-22749-Chemical Dependence Service	43,059	0,148	0,441	-	42,766
22750-22799-Lake George Park Trust	0,367	0,089	0,063	-	0,393
22800-22849-State Police Motor Vehicle Law Enforcement and Motor Vehicle Theft and Insurance Fraud Prevention	80,438	11,112	0,017	-	91,533
22850-22899-New York Great Lakes Protection	0,500	-	0,042	-	0,458
22900-22949-Federal Revenue Maximization	0,023	-	-	-	0,023
22950-22999-Housing Development	9,572	0,004	0,224	-	9,352
23000-23049-NYS/DOT Highway Safety Program	(8,771)	0,206	0,267	-	(8,832)
23050-23099-Vocational Rehabilitation	0,149	0,008	-	(0,032)	0,125
23100-23149-Drinking Water Program Management and Administration	(5,984)	-	-	-	(5,984)
23150-23199-NYC County Clerks' Operations Offset	(38,945)	-	2,328	-	(41,273)
23200-23249-Judiciary Data Processing Offset	7,617	3,310	1,819	-	9,108
23250-23449-IFR/CUTRA	160,836	10,098	6,420	-	164,514
23500-23549-USOC Lake Placid Training	0,078	0,002	-	-	0,080
23550-23599-Indigent Legal Services	188,699	9,382	2,137	-	195,944
23600-23649-Unemployment Insurance Interest and Penalty	21,487	0,974	0,154	-	22,307
23650-23699-MTA Financial Assistance Fund	81,808	144,057	116,000	61,612	171,477
23700-23749-New York State Commercial Gaming Fund	118,126	-	0,159	-	117,967
23750-23799-Medical Marihuana Trust Fund	0,888	0,048	0,241	-	0,695
23800-23899-Dedicated Miscellaneous State Special Revenue	-	1,717	-	-	1,717
40350-40399-State University Dormitory Income	164,607	19,990	-	(20,668)	163,929
TOTAL SPECIAL REVENUE FUNDS-STATE	3,961,387	1,775,510	1,958,641	653,397	4,431,653
SPECIAL REVENUE FUNDS-FEDERAL					
25000-25099-Federal USDA/Food and Consumer Services	(6,231)	166,621	157,975	-	2,415
25100-25199-Federal Health and Human Services	546,555	2,744,526	2,982,563	(65,779)	242,739
25200-25249-Federal Education	(18,904)	344,815	339,150	-	(13,239)
25300-25399-Federal Miscellaneous Operating Grants	(211,054)	132,017	113,519	-	(192,556)
25900-25949-Unemployment Insurance Administration	94,300	13,462	15,177	0,004	92,589
25950-25999-Unemployment Insurance Occupational Training	1,605	0,374	0,530	-	1,449
26000-26049-Federal Employment and Training Grants	(1,863)	9,304	10,317	-	(2,876)
TOTAL SPECIAL REVENUE FUNDS-FEDERAL	404,408	3,411,119	3,619,231	(65,775)	130,521
TOTAL SPECIAL REVENUE FUNDS	4,365,795	5,186,629	5,577,872	587,622	4,562,174
DEBT SERVICE FUNDS					
40000-40049-Debt Reduction Reserve	-	-	-	-	-
40100-40149-Mental Health Services	135,831	24,602	0,204	13,670	173,899
40150-40199-General Debt Service	192,402	883,124	31,609	(692,310)	351,607
40250-40299-State Housing Debt Service	-	1,240	1,273	0,033	-
40300-40349-Department of Health Income	33,548	6,692	-	(9,150)	31,090
40400-40449-Clean Water/Clean Air	10,331	84,562	-	(80,990)	13,903
40450-40499-Local Government Assistance Tax	2,345	249,934	0,118	(249,786)	2,375
TOTAL DEBT SERVICE FUNDS	374,457	1,250,154	33,204	(1,018,533)	572,874

SCHEDULE 1

STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
CHANGES IN FUND BALANCES
FOR THE MONTH OF OCTOBER 2016
(Amounts in millions)

	BALANCE OCTOBER 1, 2016	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE OCTOBER 31, 2016
CAPITAL PROJECTS FUNDS					
30000-30049-State Capital Projects	-	0.003	214.683		-
30050-30099-Dedicated Highway and Bridge Trust	(117.374)	358.805	152.732	214.680	63.531
30100-30299-SUNY Residence Halls Rehabilitation and Repair	132.765	0.056	4.306	(25.168)	128.815
30300-30349-New York State Canal System Development	5.110	0.295	-	0.300	5.405
30350-30399-Parks Infrastructure	(30.081)	-	9.828	-	(39.909)
30400-30449-Passenger Facility Charge	0.014	-	-	-	0.014
30450-30499-Environmental Protection	104.975	12.794	11.631	-	106.138
30500-30549-Clean Water/Clean Air Implementation	-	-	-	-	-
30600-30699-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	1.451	-	-	-	1.451
30650-30659-Rebuild and Renew New York Transportation Bond	23.290	-	-	(1.285)	22.005
30660-30669-Transportation Infrastructure Renewal Bond	4.255	-	-	-	4.255
30670-30679-1986 Environmental Quality Bond Act	5.576	-	-	-	5.576
30680-30689-Accelerated Capacity and Transportation Improvement Bond	2.778	-	-	-	2.778
30690-30699-Clean Water/Clean Air Bond	4.569	-	-	(0.003)	4.566
30700-30709-State Housing Bond	-	-	-	-	-
30710-30719-Smart Schools Bond	-	-	-	-	-
30750-30799-Outdoor Recreation and Development Bond	-	-	-	-	-
30900-30949-Rail Preservation and Development Bond	-	-	-	-	-
31350-31449-Federal Capital Projects	(447.755)	164.187	226.533	(2.195)	(512.296)
31450-31499-Forest Preserve Expansion	0.903	-	-	-	0.903
31500-31549-Hazardous Waste Remedial	(99.158)	1.539	7.899	(0.799)	(106.317)
31650-31699-Suburban Transportation	0.509	-	-	-	0.509
31700-31749-Division for Youth Facilities Improvement	(13.932)	-	2.175	-	(16.107)
31800-31849-Housing Assistance	(13.631)	-	-	-	(13.631)
31850-31899-Housing Program	(201.946)	-	9.162	-	(211.108)
31900-31949-Natural Resource Damage	15.561	3.895	0.019	-	19.437
31950-31999-DOT Engineering Services	(12.628)	-	-	-	(12.628)
32200-32249-Miscellaneous Capital Projects	53.033	0.501	2.291	-	51.243
32250-32299-CUNY Capital Projects	(0.024)	-	-	-	(0.024)
32300-32349-Mental Hygiene Facilities Capital Improvement	(421.147)	0.034	11.192	-	(432.305)
32350-32399-Correction Facilities Capital Improvement	(119.757)	58.525	29.432	-	(90.664)
32400-32999-State University Capital Projects	172.385	0.071	7.425	3.300	168.331
33000-33049-NYS Storm Recovery Fund	(52.235)	-	(3.067)	-	(49.168)
33050-33099-Dedicated Infrastructure Investment Fund	119.583	-	84.922	67.170	101.831
TOTAL CAPITAL PROJECTS FUNDS	(878.751)	600.705	771.163	256.000	(793.209)
TOTAL GOVERNMENTAL FUNDS	\$ 13,427.287	\$ 10,087.876	\$ 10,246.606	\$ (3.087)	\$ 13,265.470

SCHEDULE 2

STATE OF NEW YORK
 PROPRIETARY FUNDS
 SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
 CHANGES IN FUND BALANCES
 FOR THE MONTH OF OCTOBER 2016
 (Amounts in millions)

FUND TYPE	BALANCE OCTOBER 1, 2016	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE OCTOBER 31, 2016
ENTERPRISE FUNDS					
50000-50049-Youth Commissary	\$ 0.152	\$ 0.011	\$ 0.009	-	\$ 0.154
50050-50099-State Exposition Special	4.704	0.949	3.033	-	2.620
50100-50299-Correctional Services Commissary	3.106	3.215	3.278	-	3.043
50300-50399-Agencies Enterprise	3.551	0.259	0.231	-	3.579
50400-50449-Sheltered Workshop	2.125	0.069	0.040	-	2.154
50450-50499-Patient Workshop	1.491	0.241	0.046	-	1.686
50500-50599-Mental Hygiene Community Stores	4.247	0.116	0.093	-	4.270
50650-50699-Unemployment Insurance Benefit	7.738	156.034	155.897	-	7.875
TOTAL ENTERPRISE FUNDS	27.114	160.894	162.627	-	25.381
INTERNAL SERVICE FUNDS					
55000-55049-Centralized Services	(66.222)	23.757	24.944	(0.387)	(67.796)
55050-55099-Agency Internal Service	(135.826)	0.974	(56.674)	3.474	(74.704)
55100-55149-Mental Hygiene Revolving	0.446	0.077	0.055	-	0.468
55150-55199-Youth Vocational Education	0.056	-	-	-	0.056
55200-55249-Joint Labor and Management Administration	0.929	-	0.036	-	0.893
55250-55299-Audit and Control Revolving	(11.177)	-	1.480	-	(12.657)
55300-55349-Health Insurance Revolving	(19.504)	0.592	1.004	-	(19.916)
55350-55399-Correctional Industries Revolving	(27.333)	3.138	3.938	-	(28.133)
TOTAL INTERNAL SERVICE FUNDS	(258.631)	28.538	(25.217)	3.087	(201.789)
TOTAL PROPRIETARY FUNDS	\$ (231.517)	\$ 189.432	\$ 137.410	\$ 3.087	\$ (176.408)

SCHEDULE 3

STATE OF NEW YORK
FIDUCIARY FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
FOR THE MONTH OF OCTOBER 2016
(Amounts in millions)

FUND TYPE	BALANCE OCTOBER 1, 2016	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE OCTOBER 31, 2016
<u>PENSION TRUST FUNDS</u>					
65000-65049-Common Retirement Administration	\$ (14.891)	\$ 4.732	\$ 5.656	-	\$ (15.815)
TOTAL PENSION TRUST FUNDS	(14.891)	4.732	5.656	-	(15.815)
<u>PRIVATE PURPOSE TRUST FUNDS</u>					
66000-66049-Agriculture Producers' Security	2.464	0.002	-	-	2.466
66050-66099-Milk Producers' Security	7.764	0.065	0.009	-	7.820
TOTAL PRIVATE PURPOSE TRUST FUNDS	10.228	0.067	0.009	-	10.286
<u>AGENCY FUNDS</u>					
60050-60149-School Capital Facilities Financing Reserve	21.180	0.300	-	-	21.480
60150-60199-Child Performer's Holding	0.451	0.006	0.001	-	0.456
60200-60249-Employees Health Insurance	807.367	607.994	697.568	-	717.793
60250-60299-Social Security Contribution	14.994	87.842	87.898	-	14.938
60300-60399-Employee Payroll Withholding	3.182	348.906	351.597	-	0.491
60400-60449-Employees Dental Insurance	9.268	5.862	2.606	-	12.524
60450-60499-Management Confidential Group Insurance	0.459	0.884	0.251	-	1.092
60500-60549-Lottery Prize	425.003	69.395	51.448	-	442.950
60550-60599-Health Insurance Reserve Receipts	0.121	-	-	-	0.121
60600-60799-Miscellaneous New York State Agency	1,516.016	26.484	49.500	-	1,493.000
60800-60849-Elderly Pharmaceutical Insurance Coverage (EPIC) Escrow	24.212	9.783	9.786	-	24.209
60850-60899-CUNY Senior College Operating	45.870	225.154	214.725	-	56.299
60900-60949-Medicaid Management Information System (MMIS) Escrow	256.187	4,817.508	4,818.243	-	255.452
60950-60999-Special Education	-	-	-	-	-
61000-61099-State University of New York Revenue Collection	268.357	(121.158)	-	-	147.199
61100-61999-State University Federal Direct Lending Program	(6.342)	43.880	43.253	-	(5.715)
62000-62049-SSI SSP Payment Escrow	-	-	-	-	-
TOTAL AGENCY FUNDS	3,386.325	6,122.840	6,326.876	-	3,182.289
TOTAL FIDUCIARY FUNDS	\$ 3,381.662	\$ 6,127.639	\$ 6,332.541	\$ -	\$ 3,176.760

STATE OF NEW YORK
SOLE CUSTODY AND INVESTMENT ACCOUNTS
STATEMENT OF CASH RECEIPTS AND DISBURSEMENTS
FOR THE MONTH OF OCTOBER 2016
(Amounts in millions)

(*) Includes Public Asset Fund resources

As of October 31, 2016, \$8,997,405.05 (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(1)(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).

SCHEDULE 5

STATE OF NEW YORK
DEBT SERVICE FUNDS
STATEMENT OF DIRECT STATE DEBT ACTIVITY
FISCAL YEAR ENDED MARCH 31, 2017

PURPOSE	DEBT OUTSTANDING APR. 1, 2016	DEBT ISSUED		DEBT MATURED		DEBT OUTSTANDING OCTOBER 31, 2016		INTEREST DISBURSED	
		MONTH OF OCTOBER	7 MONTHS ENDED OCTOBER 31, 2016	MONTH OF OCTOBER	7 MONTHS ENDED OCTOBER 31, 2016	MONTH OF OCTOBER	7 MONTHS ENDED OCTOBER 31, 2016	MONTH OF OCTOBER	7 MONTHS ENDED OCTOBER 31, 2016
GENERAL OBLIGATION BONDED DEBT:									
Accelerated Capacity and Transportation Improvements	\$ 106,955,627.05	\$ -	\$ -	\$ -	\$ 39,550,487.04	\$ 67,405,140.01	\$ -	\$ 1,036,273.71	\$ 3,640,289.48
Clean Water/Clean Air:									
Air Quality	3,010,952.09	-	-	-	142,894.15	2,868,057.94	-	11,652.07	77,335.06
Safe Drinking Water	-	-	-	-	-	-	-	-	-
Water	402,544,044.61	-	-	-	11,662,595.73	390,881,448.88	-	2,056,526.38	9,790,950.25
Solid Waste	37,125,908.42	-	-	-	1,749,960.93	35,375,947.49	-	204,966.30	665,706.94
Environmental Restoration	79,264,390.55	-	-	-	150,000.00	79,114,390.55	-	26,498.63	1,664,797.13
Energy Conservation Through Improved Transportation:									
Rapid Transit and Rail Freight	2,574,158.76	-	-	-	641,630.73	1,932,528.03	-	34,823.80	91,446.21
Environmental Quality (1972):									
Air	494,853.29	-	-	-	160,000.00	334,853.29	-	8,000.00	20,285.14
Land and Wetlands	6,671,868.18	-	-	-	2,303,107.56	4,368,760.62	-	16,054.26	181,139.03
Water	29,701,680.75	-	-	-	7,787,062.80	21,914,617.95	-	197,546.06	800,338.23
Environmental Quality (1986):									
Land Acquisition/Development/Restoration/Forests	15,489,192.93	-	-	-	2,346,200.74	13,142,992.19	-	108,705.17	393,348.34
Solid Waste Management	179,135,421.94	-	-	-	6,579,393.52	172,556,028.42	-	1,360,759.72	5,201,593.84
Housing:									
Low Cost	16,120,000.00	-	-	1,060,000.00	2,880,000.00	13,240,000.00	-	213,200.00	468,800.00
Middle Income	13,975,000.00	-	-	-	3,455,000.00	10,520,000.00	-	-	233,745.00
Park and Recreation Land Acquisition	6,351.45	-	-	-	-	6,351.45	-	-	127.03
Pure Waters	31,246,366.40	-	-	-	4,845,555.71	26,400,810.69	-	247,350.13	906,592.17
Rail Preservation Development	297,438.64	-	-	-	297,438.64	-	-	-	7,867.25
Rebuild and Renew New York Transportation:									
Highway Facilities	802,029,290.37	-	-	-	-	802,029,290.37	-	-	17,907,368.51
Canals and Waterways	15,019,108.04	-	-	-	-	15,019,108.04	-	-	361,947.80
Aviation	48,703,092.50	-	-	-	-	48,703,092.50	-	-	1,049,387.84
Rail and Port	79,651,413.07	-	-	-	-	79,651,413.07	-	-	1,822,052.37
Mass Transit - Dept. of Transportation	6,268,331.08	-	-	-	-	6,268,331.08	-	-	141,704.35
Mass Transit - Metropolitan Transportation Authority	838,086,893.13	-	-	-	-	838,086,893.13	-	-	18,371,959.55
Rebuild New York-Transportation Infrastructure Renewal:									
Highways, Parkways, and Bridges	1,427,346.08	-	-	-	-	1,427,346.08	-	-	33,334.47
Rapid Transit, Rail and Aviation	5,775,985.38	-	-	-	1,304,038.11	4,471,947.27	-	83,955.43	214,607.77
Transportation Capital Facilities:									
Aviation	5,846,614.98	-	-	-	1,455,964.57	4,390,650.41	-	65,941.71	190,364.77
Mass Transportation	38,669.77	-	-	-	38,669.77	-	-	-	996.40
Total General Obligation Bonded Debt	\$ 2,727,459,999.46	\$ -	\$ -	\$ 1,060,000.00	\$ 87,350,000.00	\$ 2,640,109,999.46	\$ 5,672,253.37	\$ -	\$ 64,228,084.93

SCHEDULE 5a

STATE OF NEW YORK
DEBT SERVICE FUNDS
FINANCING AGREEMENTS
FOR THE SEVEN MONTHS ENDED OCTOBER 31, 2016

	DEBT REDUCTION RESERVE (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		\$ INCREASE/ (DECREASE)
								7 MONTHS ENDED OCTOBER 31 2016	2015	
Special Contractual Financing Obligations:										
Payments to Public Authorities:	\$ -	\$ 124,098,975	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 124,098,975	\$ 186,518,520	\$ (42,419,545)
City University Construction	-	-	-	-	-	-	-	-	-	-
Dormitory Authority:	-	-	-	-	-	-	-	-	-	-
Albany County Airport	-	-	-	-	-	-	-	-	-	-
Consolidated Service Contract Refunding	-	-	-	-	-	-	-	-	-	-
DA/SNY Revenue Bond	-	-	-	-	-	385,743,701	104,256,222	489,999,923	387,476,414	82,523,509
David Axelrod Institute	-	-	-	-	-	-	-	-	-	-
Department of Health Facilities	-	-	-	-	-	-	-	-	-	-
Economic Development Housing	-	-	14,206,759	-	-	-	-	14,206,759	14,100,513	106,246
Educational	-	-	-	-	-	-	-	-	-	-
General Purpose	-	-	-	-	-	-	-	-	-	-
Health Care	-	-	-	-	-	-	-	-	-	-
Mental Health Facilities	-	-	-	-	69,156,250	-	-	69,156,250	71,839,317	(2,683,067)
OGS Parking	-	-	-	-	-	-	-	-	-	-
Sales Tax Revenue Bond	-	-	-	-	-	-	-	-	-	-
Secured Hospital Program	-	-	-	-	-	-	-	-	-	-
State Department of Education Facilities	-	1,616,684	-	-	-	-	-	1,616,684	2,711,049	(1,094,365)
State Facilities and Equipment	-	-	-	-	-	-	-	-	-	-
SUNY Community Colleges	-	-	-	-	-	-	-	-	-	-
SUNY Educational Facilities	-	-	-	-	-	-	-	-	-	-
Environmental Facilities Corporation	-	557,586	-	-	-	-	-	557,586	14,385,612	(6,438,128)
Housing Finance Agency	-	13,960,656	-	-	-	7,391,891	-	29,301,511	54,724,821	(25,423,310)
Local Government Assistance Corporation	-	-	-	-	-	15,310,855	-	38,470,761	45,915,369	(7,444,608)
Metropolitan Transportation Authority:	-	-	-	-	-	-	-	-	-	-
Trenton and Camden Rail Projects	-	-	-	38,470,761	-	-	-	-	-	-
Thruway Authority:	-	42,043,433	-	-	-	-	-	42,043,433	42,041,932	1,501
Dedicated Highway and Bridge	-	164,355,672	-	-	-	-	-	164,355,672	383,792,725	(219,437,053)
Local Highway and Bridge	-	64,908,450	-	-	-	-	-	64,908,450	63,661,450	1,247,000
Transportation	-	-	-	-	-	46,208,075	-	46,208,075	80,259,075	(14,051,000)
Urban Development Corporation:	-	-	-	-	-	-	-	-	-	-
Center for Industrial Innovation at RPI	-	-	-	-	-	-	-	-	-	-
Clarkson University	-	-	-	-	-	-	-	-	-	-
Columbia Univer. Telecommunications Center	-	-	-	-	-	-	-	-	-	-
Community Enhancement Facilities Program	-	-	-	-	-	-	-	-	-	-
Consolidated Service Contract Refunding	-	-	-	-	-	-	-	-	-	-
Cornell Univer. Supercomputer Center	-	-	-	-	-	-	-	-	-	-
Correctional Facilities	-	-	-	-	-	-	-	-	-	-
Debt Reduction Reserve	-	-	-	-	-	-	-	-	-	-
Economic Development Housing	-	-	-	-	-	-	-	-	-	-
General Purpose	-	-	-	-	-	-	-	-	-	-
State Facilities and Equipment	-	-	-	-	-	-	-	-	-	-
Syracuse University Science and	-	-	-	-	-	-	-	-	-	-
Technology Center	-	-	-	-	-	-	-	-	-	-
UDC Revenue Bond	-	-	-	-	-	271,586,217	-	271,586,217	207,413,913	64,172,304
University Facilities Grant 95 Refunding	-	-	-	-	-	-	-	-	-	-
Total Disclosures for Special Contractual Financing Obligations	\$ -	\$ 411,571,466	\$ 14,206,759	\$ 38,470,761	\$ 69,156,250	\$ 706,240,739	\$ 104,256,222	\$ 1,343,902,187	\$ 1,514,840,710	\$ (170,938,513)

SCHEDULE 6

STATE OF NEW YORK
SUMMARY OF THE OPERATING FUND INVESTMENTS
FOR THE MONTH OF OCTOBER 2016
AS REQUIRED OF THE STATE COMPTROLLER
(Amounts in millions)

	OCTOBER 2016	FISCAL YEAR TO DATE	PRIOR FISCAL YEAR TO DATE OCTOBER 2015
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SHORT TERM INVESTMENT POOL (*)

AVERAGE DAILY INVESTMENT BALANCE (**)	\$ 13,087.3	\$ 13,276.0	\$ 13,902.4
AVERAGE YIELD (**)	0.549%	0.491%	0.130%
TOTAL INVESTMENT EARNINGS	\$ 5.978	\$ 35.903	\$ 10.778

Month-End Portfolio Balances

DESCRIPTION	OCTOBER 2016 PAR AMOUNT	OCTOBER 2015 PAR AMOUNT
GOVT. AGENCY BILLS/NOTES	-	425.0
REPURCHASE AGREEMENTS	33.1	1,250.2
COMMERCIAL PAPER	11,283.4	11,490.3
CERTIFICATES OF DEPOSIT/SAVINGS	1,843.1	2,220.7
0% COMPENSATING BALANCE CDs	5,090.0	4,855.0
	\$ 18,249.6	\$ 20,241.2

(*) 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.

STATE OF NEW YORK HCRA RESOURCES FUND STATEMENT OF RECEIPTS AND DISBURSEMENTS BY ACCOUNT FISCAL YEAR 2016-17														APPENDIX A
	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	7 Months Ended October 31, 2016	
OPENING CASH BALANCE	\$ 77,568,773	\$ 174,881,047	\$ 150,252,706	\$ 252,199,769	\$ 135,671,242	\$ 158,509,367	\$ 213,727,325						\$ 77,568,773	
RECEIPTS:														
Cigarette Tax	69,906,681	70,465,629	86,962,921	74,545,709	85,674,331	75,587,194	72,589,606						535,732,371	
State Share of NYC Cigarette Tax	2,695,000	2,696,000	3,750,000	3,008,000	3,533,000	2,801,000	2,624,000						21,260,000	
STIP Interest	157,862	85,268	108,226	166,893	146,816	128,403	139,627						830,123	
Public Asset Transfers	-	-	-	-	-	-	-						-	
Assessments	360,143,517	426,849,020	432,946,996	417,613,538	384,220,036	400,171,392	414,180,815						2,836,125,284	
Fees	469,000	1,000,000	2,485,066	384,000	4,816,844	(3,675,844)	408,000						5,884,066	
Rebates	2,758,000	2,854,691	970,588	13,794,356	1,032,475	5,506,892	339,711						27,276,713	
Restitution and Settlements	-	-	-	-	-	-	-						-	
Miscellaneous	-	1,689	51	-	-	-	18,216						19,935	
Total Receipts	436,300,060	503,952,695	527,293,838	509,511,486	479,443,592	480,517,037	480,296,974	-	-	-	-	-	3,427,228,512	
DISBURSEMENTS:														
Grants	321,080,063	525,480,383	418,899,454	624,008,882	449,917,568	406,367,773	474,483,648						3,220,237,771	
Interest - Late Payments	2,682	597	308	(1,371)	104	(500)	42						1,862	
Personal Service	471,962	841,268	1,134,203	871,453	1,204,427	141,107	725,369						5,389,849	
Non-Personal Service	955,757	1,058,414	3,755,806	1,034,274	2,924,866	869,856	1,380,080						11,979,043	
Employee Benefits/Indirect Costs	-	764,454	737,216	-	48,218	269,449	35,780						1,955,117	
Total Disbursements	322,510,494	528,145,116	424,576,887	625,913,238	454,095,173	407,647,685	476,024,949	-	-	-	-	-	3,239,515,642	
OPERATING TRANSFERS:														
Transfers to Capital Projects Fund	-	-	-	-	-	-	-						-	
Transfers to General Fund	-	-	17,526	-	-	-	-						17,526	
Transfers to Revenue Bond Tax Fund	-	-	-	-	1,306,200	9,285,215	-						10,591,415	
Transfers to Miscellaneous Special Revenue Fund:														
Administration Program Account	-	-	-	-	-	-	-						-	
Empire State Stem Cell Trust Account	15,148,000	-	-	-	-	7,574,000	-						22,722,000	
Transfers to SUNY Income Fund	1,329,292	435,630	692,262	126,785	1,204,004	762,179	539,609						5,089,961	
Total Operating Transfers	16,477,292	435,630	679,788	126,785	2,510,204	17,651,394	539,609	-	-	-	-	-	38,418,902	
Total Disbursements and Transfers	338,987,786	528,580,946	425,256,775	626,040,023	456,605,377	425,299,079	477,163,558	-	-	-	-	-	3,277,933,544	
CLOSING CASH BALANCE	\$ 174,881,047	\$ 150,252,706	\$ 252,199,769	\$ 135,671,242	\$ 158,509,367	\$ 213,727,325	\$ 226,883,741	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 226,883,741	

STATE OF NEW YORK HCRA RESOURCES FUND STATEMENT OF PROGRAM DISBURSEMENTS FISCAL YEAR 2016-2017					APPENDIX B			
Program/Purpose	Appropriation Amount (*)	April - June	July - September	October	7 Months Ended October 31, 2016 (**)			
AUDIT, COLLECTION, AND ENFORCEMENT PROGRAM	\$ 4,095,000	\$	\$	\$	\$	\$	\$	\$
CIGARETTE STRIKE TASK FORCE		328,395	-	-	-	-	-	328,395
CENTER FOR COMMUNITY HEALTH PROGRAM	144,408,082	-	-	-	-	-	-	-
ADEPHI UNIVRST CANC SPRT PRG		-	-	-	-	-	-	-
BRST CANCER HOTLINE - ADELPHI		-	-	-	-	-	-	-
CENTER FOR COMMUNITY HLTH		757,361	550,465	159,001	-	-	-	1,466,827
EVIDENCE BASED CANCER SVC		-	-	-	-	-	-	-
FAMILY PLANNING		-	-	-	-	-	-	-
HYPERTENSION PREVENTION TREATMENT		-	-	-	-	-	-	-
INDIAN HEALTH PROGRAM		-	-	-	-	-	-	-
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	992,662,000	41,581,936	69,842,138	13,792,170	-	-	-	125,216,244
CHILD HEALTH INSURANCE		-	-	-	-	-	-	-
COMMUNITY SUPPORT PROGRAM	225,000	15,000	15,000	-	-	-	-	30,000
COMMUNITY SUPPORT		-	-	-	-	-	-	-
ELDERLY PHARMACEUTICAL INS COVERAGE PRG	283,964,000	26,862,218	40,615,166	13,328,596	-	-	-	80,805,980
ELDERLY PHARMACEUTICAL INSURANCE COVERAGE		-	-	-	-	-	-	-
HEALTH CARE REFORM ACT PROGRAM	1,656,797,714	-	20,000,000	-	-	-	-	20,000,000
AIDS DRUG ASSISTANCE		-	-	-	-	-	-	-
AMBULATORY CARE TRAINING		39,778	579,817	-	-	-	-	619,595
AREA HEALTH EDUCATION CENTER		-	973,510	-	-	-	-	973,510
COMMISSIONER EMERGENCY DISTRIBUTIONS		-	-	-	-	-	-	-
DIAGNOSTIC AND TREATMENT CTR UNCOMPENSATED CARE		208,955	-	-	-	-	-	208,955
DIVERSITY IN MEDICINE		-	-	494,106	-	-	-	494,106
EMPIRE CLINIC RESEARCH INVESTMENT (ECRIP)		-	-	-	-	-	-	-
HCRA PAYOR/PROVIDER AUDITS		-	-	53,040	-	-	-	53,040
HEALTH FACILITY RESTRUCTURING DASNY		19,600,000	-	-	-	-	-	19,600,000
HEALTH WORKFORCE RETRAINING		881,738	1,340,208	539,518	-	-	-	2,761,464
INFERTILITY SERVICES GRANTS		217,593	557,799	231,881	-	-	-	1,007,273
MEDICAL INDEMNITY FUND		-	-	-	-	-	-	-
PART 405.4 HOSPITAL AUDITS		-	-	-	-	-	-	-
PART 405.4 HOSPITAL AUDITS NYCRR		356,308	194,032	-	-	-	-	550,340
PAY FOR PERFORMANCE		-	-	-	-	-	-	-
PHYSICIAN EXCESS MEDICAL MALPRACTICE		112,400,000	-	-	-	-	-	112,400,000
PHYSICIAN LOAN REPAYMENT		312,030	375,158	-	-	-	-	687,188
PHYSICIAN PRACTICE SUPPORT		-	100,208	-	-	-	-	100,208
PHYSICIAN WORKFORCE STUDIES		-	179,139	-	-	-	-	179,139
POISON CONTROL CENTERS		-	-	-	-	-	-	-
POOL ADMINISTRATION		675,087	640,399	-	-	-	-	1,315,486

APPENDIX B

STATE OF NEW YORK
HCRA RESOURCES FUND
STATEMENT OF PROGRAM DISBURSEMENTS
FISCAL YEAR 2016-2017

Program/Purpose	Appropriation Amount (*)	April - June	July - September	October	7 Months Ended October 31, 2016 (**)
ROSWELL PARK CANCER INSTITUTE		21,777,000	21,777,000	21,777,000	65,331,000
RPCI CANC RSRCH OPERATING COSTS		-	-	-	-
RURAL HEALTH CARE ACCESS		1,741,691	2,195,278	1,071,150	5,008,119
RURAL HEALTH NETWORK		1,400,264	1,178,214	334,157	2,912,635
SCHOOL BASED HEALTH CENTERS		-	-	-	-
SCHOOL BASED HEALTH CLINICS-POOL ADMIN		-	-	-	-
TOBACCO USE PREVENTION/CONTROL		-	-	-	-
TRANSITION ACCT - PRIOR YEAR ALLOCATION		-	-	-	-
MEDICAL ASSISTANCE PROGRAM	26,993,428,000				
BREAST AND CERVICAL CANCER		-	-	-	-
DISABLED PERSONS		-	-	-	-
FAMILY HEALTH PLUS		-	-	-	-
FINANCIAL ASSISTANCE		-	-	-	-
HOME HEALTH RATE INCREASE		-	-	-	-
INPATIENT NURSING HOME PHARMACIES		-	-	-	-
MEDICAID INDIGENT CARE		178,896,179	283,668,886	97,454,778	560,019,843
MEDICAL ASSISTANCE		864,000,000	1,040,000,000	326,000,000	2,230,000,000
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	5,834,000				
OFFICE OF HEALTH INSURANCE		347,101	225,670	(92,804)	479,967
OFFICE OF HEALTH SYSTEMS MANAGEMENT	61,229,975				
OFFICE HEALTH SYSTEMS MANAGEMENT		4,790,711	3,720,098	1,748,124	10,258,933
OFFICE OF LONG TERM CARE	6,748,101				
ADULT HOME INITIATIVE		-	-	-	-
ENABLE AIR CONDITIONING		-	-	-	-
ENABLE QUALITY OF LIFE		-	-	-	-
QUALITY PROG ADULT CARE FACILITIES		-	-	-	-
REVENUE, PROCESSING & RECONCILIATION	4,095,000				
REVENUE, PROCESSING & RECONCILIATION		489,734	1,055,918	269,096	1,794,748
TOTAL	30,153,486,872	1,277,659,079	1,489,784,103	477,159,813	3,244,602,995
Transfer to the General Fund - State Purposes Account (for administration of the program)	89,000				
Reclass of SUNY Hospital Disprop Share to Transfer		(2,427,384)	(2,122,968)	(538,609)	(5,088,961)
Reconciling Adjustment (P-Card and T-Card)		902	(5,039)	3,745	(392)
TOTAL APPROPRIATED AMOUNT	\$ 30,153,575,872	\$ 1,275,232,597	\$ 1,487,656,096	\$ 476,624,949	\$ 3,239,513,642

(*) Includes amounts appropriated in SFY 2016-17, 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.

APPENDIX C

STATE OF NEW YORK
STATEMENT OF CASH FLOW - PUBLIC GOODS POOL
FISCAL YEAR 2016-17

	1st Quarter APRIL - JUNE	2nd Quarter JULY - SEPTEMBER	2016 OCTOBER	2016-17
OPENING CASH BALANCE	\$ 299,817,850.44	\$ 318,000,880.07	\$ 247,676,076.45	\$ 299,817,850.44
RECEIPTS:				
Patient Services	814,872,120.28	737,105,769.23	333,394,907.33	1,885,372,796.84
Covered Lives	292,485,785.74	261,404,964.87	129,181,534.40	683,072,285.01
Provider Assessments	27,190,651.94	27,939,132.59	8,680,796.48	63,810,581.01
1% Assessments	93,651,580.00	94,705,328.12	33,978,218.00	222,335,126.12
DASNY - MOE/Recast receivables	-	-	-	-
Interest Income	46,323.73	70,998.31	32,710.60	150,032.64
Unassigned	(191,258.37)	(17,042.74)	(4,149.94)	(212,451.05)
Total Receipts	1,228,055,203.32	1,121,209,150.38	505,264,016.87	2,854,528,370.57
PROGRAM DISBURSEMENTS:				
Poison Control Centers	-	-	-	-
School Based Health Center Grants	-	-	-	-
ECRIP Distributions	-	-	-	-
Total Program Disbursements	-	-	-	-
Excess (Deficiency) of Receipts over Disbursements	1,228,055,203.32	1,121,209,150.38	505,264,016.87	2,854,528,370.57
OTHER FINANCING SOURCES (USES):				
Transfers From Other Pools:				
Medicaid Disproportionate Share	-	-	-	-
Health Facility Assessment Fund - Hospital Quality Contribution	10,063,288.00	10,469,089.00	4,190,897.00	24,723,274.00
Transfers From State Funds:				
HCRA Resources Fund	-	-	-	-
Total Other Financing Sources	10,063,288.00	10,469,089.00	4,190,897.00	24,723,274.00
Transfers To Other Pools:				
Medicaid Disproportionate Share	-	-	-	-
Health Facility Assessment Fund	-	-	-	-
Transfers To State Funds:				
HCRA Resources Fund	(1,074,026,803.03)	(1,137,878,711.28)	(511,113,858.73)	(2,723,019,373.04)
Indigent Care Fund (matched)	(159,632,267.81)	(63,768,036.31)	96,440,235.71	(126,960,068.41)
Indigent Care Fund (non-matched)	13,723,609.15	(356,295.41)	493,240.83	13,860,554.57
Total Other Financing Uses	(1,219,935,461.69)	(1,202,003,043.00)	(414,180,382.19)	(2,836,118,886.88)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	18,183,029.63	(70,324,803.62)	95,274,531.68	43,132,757.69
CLOSING CASH BALANCE	\$ 318,000,880.07	\$ 247,676,076.45	\$ 342,950,608.13	\$ 342,950,608.13

Source: HCRA - Office of Pool Administration

APPENDIX D

**STATE OF NEW YORK
STATEMENT OF CASH FLOW - MEDICAID DISPROPORTIONATE SHARE
FISCAL YEAR 2016-17**

	1st Quarter APRIL - JUNE	2nd Quarter JULY - SEPTEMBER	2016 OCTOBER	2016-17
OPENING CASH BALANCE	\$ 3,139.74	\$ -	\$ 362,003.38	\$ 3,139.74
RECEIPTS:				
Interest Income	901.20	2,356.58	3,301.15	6,558.93
Total Receipts	901.20	2,356.58	3,301.15	6,558.93
PROGRAM DISBURSEMENTS:				
Indigent Care	(150,207,124.26)	(319,118,964.21)	(96,662,966.12)	(565,989,054.59)
High Need Indigent Care	-	-	-	-
Other	(887,410.66)	68,839,746.36	4,628,960.80	72,581,296.50
Total Program Disbursements	(151,094,534.92)	(250,279,217.85)	(92,034,005.32)	(493,407,758.09)
Excess (Deficiency) of Receipts over Disbursements	(151,093,633.72)	(250,276,861.27)	(92,030,704.17)	(493,401,199.16)
OTHER FINANCING SOURCES (USES):				
Transfers From Other Pools:				
Public Goods Pool	-	-	-	-
Health Facility Assessment Fund	-	-	-	-
Transfers From State Funds:				
HCRA Resources Indigent Care - Matched	79,816,133.91	159,845,576.67	48,220,117.86	287,881,828.44
HCRA Resources Indigent Care - Unmatched	(8,437,132.99)	606,829.17	246,650.41	(7,583,653.41)
HCRA Resources Indigent Care - ATB	(25,357.85)	(1,172,080.00)	(23,920.00)	(1,221,357.85)
Federal DHHS Fund	79,816,133.90	159,845,576.66	48,220,117.85	287,881,828.41
Other	-	361,570.00	-	361,570.00
Total Other Financing Sources	151,169,776.97	319,487,472.50	96,662,966.12	567,320,215.59
Transfers To Other Pools:				
Public Goods Pool	-	-	-	-
Health Facility Assessment Fund	-	-	-	-
Transfers To State Funds:				
HCRA Resources Fund Indigent Care Acct	(79,282.99)	(68,848,607.85)	(4,629,394.18)	(73,557,285.02)
Total Other Financing Uses	(79,282.99)	(68,848,607.85)	(4,629,394.18)	(73,557,285.02)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(3,139.74)	362,003.38	2,867.77	361,731.41
CLOSING CASH BALANCE	\$ -	\$ 362,003.38	\$ 364,871.15	\$ 364,871.15

Source: HCRA - Office of Pool Administration

APPENDIX E

STATE OF NEW YORK
SUMMARY OF OFF-BUDGET SPENDING REPORT
FISCAL YEAR 2016-2017
(Amounts in thousands)

	2016 APRIL	2016 MAY	2016 JUNE	2016 JULY	2016 AUGUST	2016 SEPTEMBER	2016 OCTOBER	2016 NOVEMBER	2016 DECEMBER	2017 JANUARY	2017 FEBRUARY	2017 MARCH	2016-2017 TOTAL
DORMITORY AUTHORITY:													
Education - All Other	\$ 1,748	\$ 4,817	\$ 5,133	\$ 1,356	\$ 106	\$ -	-	-	-	-	-	-	\$ 1
Education - EXCEL	-	-	38	-	14	-	-	-	-	-	-	-	13,160
Department of Health - All Other	-	2	-	-	-	-	-	-	-	-	-	-	54
Community Enhancement Facilities Assistance Program (CEFAP)	1,084	-	-	-	90	87	-	-	-	-	-	-	1,261
Regional Development	-	-	-	-	-	-	-	-	-	-	-	-	-
Community Capital Assistance Program (CCAP)/RESTORE	165	712	302	61	520	357	-	-	-	-	-	-	2,117
Multi-modal	-	-	-	-	-	-	-	-	-	-	-	-	-
GenYsis	-	-	-	-	-	-	-	-	-	-	-	-	-
CUNY Senior Colleges	17,760	36,784	15,736	16,679	38,084	21,416	-	-	-	-	-	-	146,459
CUNY Community Colleges	995	3,479	3,603	1,042	7,491	3,435	-	-	-	-	-	-	20,045
SUNY Dormitories	64	157	10	-	-	-	-	-	-	-	-	-	231
Upstate Community Colleges	1,123	9,803	9,367	3,550	4,066	3,529	-	-	-	-	-	-	31,438
Mental Health	4,050	7,079	5,820	1,738	9,595	4,804	-	-	-	-	-	-	33,086
Developmental Disabilities	404	1,628	1,543	144	1,812	737	-	-	-	-	-	-	6,268
Alcoholism and Substance Abuse	158	843	278	44	278	40	-	-	-	-	-	-	1,641
Brooklyn Court Officer Training Academy	219	925	1,570	879	2,113	1,589	-	-	-	-	-	-	7,295
TOTAL DORMITORY AUTHORITY	27,770	66,229	43,400	25,493	64,170	35,994	-	-	-	-	-	-	263,056
EMPIRE STATE DEVELOPMENT CORP:													
Regional Development	-	-	-	-	-	-	-	-	-	-	-	-	-
Centers of Excellence	-	-	-	-	-	-	-	-	-	-	-	-	-
Community Capital Assistance Program (CCAP)	-	1	-	-	364	1	-	-	-	-	-	-	366
Empire Opportunity	-	-	-	-	-	-	-	-	-	-	-	-	-
Community Enhancement Facilities Assistance Program (CEFAP)	-	-	-	-	-	-	-	-	-	-	-	-	-
State Facilities and Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-
TOTAL EMPIRE STATE DEVELOPMENT CORP	-	1	-	-	364	1	-	-	-	-	-	-	366
TOTAL OFF-BUDGET	\$ 27,770	\$ 66,230	\$ 43,400	\$ 25,493	\$ 64,534	\$ 35,995	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 263,422

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 F

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

SFS Fund	ACCOUNT TITLE	July 31, 2016	August 31, 2016	September 30, 2016	Change	October 31, 2016
10050	GENERAL FUND	\$	\$	\$	\$	\$
	TOTAL GENERAL FUND	-	-	-	-	-
CAPITAL PROJECT AND BOND REIMBURSABLE FUNDS						
30051	HIGHWAY AND BRIDGE CAPITAL	-	-	193,270,283.12	(31,761,693.73)	161,508,589.39
30101	REHAB/REPAIR MARITIME	36,521.45	-	-	-	-
30102	D21RVE- MARITIME	-	-	-	-	-
30103	D36RVE- CENTRAL ADMIN	-	-	-	-	-
30104	RESIDENCE HALL CAMPUS LET BOND PROCEEDS	-	-	-	-	-
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 BROOKPORT	-	-	-	-	-
30118	D02RVE- BROOKPORT	-	-	-	-	-
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	-	-	-	-	-
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	124,445,011.27	137,728,981.61	30,081,244.29	9,827,577.77	39,908,822.06
30501	CWCA IMPLEMENTATION DEC	-	-	-	-	-
30502	CWCA IMPLEMENTATION ERD	-	-	-	-	-
30503	CWCA IMPLEMENTATION EFC	-	-	-	-	-
30504	CWCA IMPLEMENTATION EFC	-	-	-	-	-
31505	HAZARDOUS WASTE CLEAN UP	177,750,135.01	184,638,935.76	121,474,089.46	7,246,427.21	128,720,516.67
31701	YOUTH FACILITIES IMPROVEMENT	9,506,845.79	11,270,625.54	13,932,377.00	2,175,452.09	16,107,829.09
31801	HOUSING ASSISTANCE	13,630,607.54	13,630,607.54	13,630,607.54	-	13,630,607.54
31851	HOUSING PROG FD-HSG TR FD CORP	45,010,122.21	45,010,122.21	37,703,815.54	9,161,712.00	46,865,527.54
31852	HOUSING PROG FD AFFORD HSG CORP	36,233,521.89	42,233,521.89	42,233,521.89	-	42,233,521.89
31853	HOUSING PROG FD-DEPT OF SOCIAL SERVICES	110,636,927.07	110,636,927.07	122,301,229.85	-	122,301,229.85
31854	HOUSING PROG FD-HFA	-	-	-	-	-

APPENDIX F

**STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)**

SFS Fund	ACCOUNT TITLE	July 31, 2016	August 31, 2016	September 30, 2016	Change	October 31, 2016
31951	HIGHWAY FAC PURPOSE	12,661,414.24	12,661,414.24	12,627,887.24	-	12,627,887.24
32213	NY RACING ACCOUNT	153,750.00	153,750.00	153,750.00	-	153,750.00
32215	IT CAPITAL FINANCING ACCT	46,629.07	53,388.35	53,407.56	22.46	53,430.02
32301	OPWDD-STATE FACILITIES PRE 12/99	-	-	-	-	-
32302	DSAS-COMMUNITY FACILITIES	-	-	-	-	-
32303	OWH-COMMUNITY FACILITIES	146,091,797.37	146,971,966.60	152,097,888.49	5,493,636.36	157,591,524.85
32304	OASAS-COMMUNITY FACILITIES	-	-	-	-	-
32305	OPWDD-COMMUNITY FACILITIES	222,214,387.15	223,464,387.15	224,566,309.48	685,000.00	225,251,309.48
32306	DASNY - OWH ADMIN	36,479,662.82	28,616,748.76	28,616,748.76	(3,117,046.27)	25,499,702.49
32307	DASNY - OPWDD ADMIN	5,518,639.89	4,518,493.32	4,518,493.32	1,827,000.00	6,345,493.32
32308	DASNY - OASAS ADMIN	753,554.87	556,276.88	556,276.88	-	556,276.88
32309	OWH-STATE FACILITIES	53,897,821.72	60,464,176.74	66,077,404.17	(33,194,904.96)	32,882,499.21
32310	OPWDD-STATE FACILITIES	-	-	-	-	-
32311	OASAS-STATE FACILITIES	176,494.68	342,774.68	437,667.05	9,439.00	447,106.05
32351	CORR. FACILITIES CAPITAL IMPROVEMENT	66,441,946.92	99,787,521.31	119,757,153.18	(29,092,486.95)	90,664,666.23
32352	DOCS-REHABILITATION PROJECTS	51,076,487.20	53,751,936.61	52,234,844.94	(3,056,856.54)	49,167,988.40
33001	STORM RECOVERY ACCOUNT	-	-	-	-	-
	TOTAL CAPITAL AND BOND REIMBURSABLE FUNDS	1,111,759,277.86	1,176,492,546.26	1,236,324,989.76	(63,806,721.56)	1,172,518,278.20
	STATE SPECIAL REVENUE FUNDS					
20452	VOCATIONAL SCHOOL SUPERVISION	-	-	-	-	-
20501	LOCAL GOVERNMENT RECORDS MGMT	-	-	-	-	-
20810	CHILD HEALTH INSURANCE	23,834,925.59	-	18,136,974.56	(18,136,974.56)	-
20818	EPIC PREMIUM ACCOUNT	5,660,937.29	-	745,673.19	(745,673.19)	-
20901	LOTTERY-EDUCATION	-	-	1,274,377,299.72	(132,839,571.06)	1,141,537,728.66
20904	VLT EDUCATION	-	-	-	-	-
21001	ENVIR FAC CORP ADM ACCT	4,076,204.77	4,197,138.00	3,715,124.05	31,010.42	3,746,134.47
21002	ENCON ADMIN ACCT	-	-	-	-	-
21061	HAZARDOUS BULK STORAGE	2,009,583.71	2,823,974.81	3,810,870.72	105,502.42	3,916,373.14
21066	FEDERAL GRANTS INDIRECT COST RECOVERY ACCOUNT	3,920,670.30	4,232,760.13	8,348,690.93	(933,618.61)	7,415,072.32
21067	ENCON-LOW LEVEL RADIOACTIVE WASTE SITING	9,237,060.13	8,446,963.70	-	-	-
21077	ENCON-RECREATION	-	-	-	-	-
21077	PUBLIC SAFETY RECOVERY ACCOUNT	31,414,765.56	37,050,378.31	35,718,040.87	(5,694,770.31)	30,023,270.56
21081	ENVIRONMENTAL REGULATORY	17,555,781.23	17,981,113.69	17,776,190.13	(362,230.10)	17,413,960.03
21082	NATURAL RESOURCES ACCOUNT	-	-	-	-	-
21084	MINED LAND RECLAMATION ACCT	-	-	-	-	-
21087	GREAT LAKES RESTORATION INITIATIVE	-	-	-	-	-
21201	AUDIT AND CONTROL OIL SPILL	244,011.26	370,949.73	410,326.97	38,916.09	449,243.06
21202	HEALTH DEPT OIL SPILL	90,472.78	109,048.74	123,068.94	16,576.31	139,645.25
21203	DEPT OF ENVIRONMENTAL CONSERVATION OIL SPILL	5,440,132.32	8,515,163.65	9,375,343.86	820,370.32	10,195,714.18
21204	OIL SPILL COMPENSATION	-	-	-	-	-
21205	LICENSE FEE SURCHARGES	-	-	-	-	-
21401	PUBLIC TRANSPORTATION SYSTEMS	-	-	-	-	-
21402	METROPOLITAN MASS TRANSPORTATION	-	-	-	-	-
21451	OPERATING PERMIT PROGRAM	21,718,252.98	56,878,708.91	19,053,050.97	(19,053,050.97)	-
21452	MOBILE SOURCE	-	22,796,006.41	22,757,832.23	(5,563,674.33)	-
21902	HEALTH-SPARCS	-	-	-	-	-
21905	THRUWAY AUTHORITY ACCT	10,960,986.87	13,507,946.00	20,992,006.74	2,650,537.44	23,642,544.18
21907	MENTAL HYGIENE PROGRAM	-	-	-	56,171,943.95	56,171,943.95
21909	MENTAL HYGIENE PATIENT INCOME ACCOUNT	-	-	-	-	-
21911	FINANCIAL CONTROL BOARD	141,782.67	287,175.48	518,688.06	(219,133.02)	299,555.04
21912	RACING REGULATION ACCOUNT	5,827,751.51	5,647,531.62	4,613,503.88	295,384.15	4,908,888.03
21913	NY METROPOLITAN TRANSPORTATION COUNCIL	16,403,065.34	17,221,307.38	18,587,067.99	(1,016,638.82)	17,570,429.17
21937	SU DORM INCOME REIMBURSE	392,035.90	237,504.52	185,423.99	695,710.15	881,134.14
21945	CRIMINAL JUSTICE IMPROVEMENT	-	-	-	-	-
21959	ENV LAB REF FEE	-	-	-	-	-
21962	CLINICAL LAB FEE	11,402,888.40	10,942,394.39	11,012,854.91	170,097.78	170,097.78
21978	INDIRECT COST RECOVERY	257,835.36	-	-	(2,623,924.63)	8,388,930.28
21979	HIGH SCHOOL EQUIVALENCY PROGRAM	-	-	-	73,538.18	-
21989	MULTI - AGENCY TRAINING ACCOUNT	-	-	-	-	-
22003	BELL JAR COLLECTION ACCOUNT	-	-	-	-	-
22004	INDUSTRY AND UTILITY SERVICE	60,049.78	-	-	-	-
22006	REAL PROPERTY DISPOSITION	887,461.29	901,283.36	754,815.29	18,274.40	773,089.69
22007	PARKING ACCOUNT	-	-	-	-	-
22009	ASBESTOS SAFETY TRAINING	188,784.50	197,905.40	183,627.34	22,144.08	205,771.42
22032	BATAVIA SCHOOL FOR THE BLIND	5,126,660.39	6,314,010.26	7,079,146.16	440,246.03	7,519,394.19
22034	INVESTMENT SERVICES	-	-	-	-	-
22036	SURPLUS PROPERTY ACCOUNT	-	-	-	-	-
22039	FINANCIAL OVERSIGHT	178,319.91	746,353.23	918,383.26	(742,055.27)	176,327.99
22046	REGULATION INDIAN GAMING	60,219,332.03	61,404,550.30	61,777,209.31	610,368.81	62,387,578.12
22053	ROME SCHOOL FOR THE DEAF	133,076.60	1,127,343.69	1,796,685.30	432,042.20	2,228,727.50
22054	DSP-SEIZED ASSETS	8,569,357.87	8,505,622.21	8,349,863.03	(94,299.50)	8,255,563.53

APPENDIX F

**STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)**

SFS Fund	ACCOUNT TITLE	July 31, 2016	August 31, 2016	September 30, 2016	Change	October 31, 2016
22065	ADMINISTRATIVE ADJUDICATION	290,060.78	-	4,004,914.09	(1,826,306.56)	2,178,607.53
22066	FEDERAL SALARY SHARING	793,804.99	893,041.90	974,171.75	79,982.91	1,054,154.66
22067	NYC ASSESSMENT ACCT	-	-	-	-	-
22068	CULTURAL EDUCATION ACCOUNT	2,625,727.79	4,124,464.42	3,160,336.09	(1,288,882.89)	1,871,453.20
22069	LOCAL SERVICE ACCOUNT	497,223.29	670,966.21	720,249.05	143,207.14	863,456.19
22070	DMV MORTGAGE SERVICES	5,045,782.85	4,577,297.08	4,969,232.45	349,007.13	5,318,239.58
22071	DMV COMPULSORY INS PRGM	646,762.72	349,870.72	296,892.00	646,762.72	646,762.72
22072	HOUSING INDIRECT COST RECOVERY	3,603,536.04	3,887,854.30	4,141,101.49	236,036.72	4,377,138.21
22100	HOUSING CREDIT AGENCY APPLY FEE	501,545.17	590,683.58	914,000.26	208,130.99	1,122,131.25
22130	LOW INCOME HOUSING CREDIT MONITORING	-	-	-	-	-
22135	EFC-CORPORATION ADMINISTRATION	-	-	-	-	-
22144	MONTROSE VETERAN'S HOME	123,695.92	203,591.54	230,825.56	36,694.75	267,520.31
22151	DEFERRED COMPENSATION ADMIN	-	-	-	1,503,563.70	1,503,563.70
22156	RENT REVENUE OTHER - NYC	699,587.03	489,467.15	489,804.10	17,287.62	487,091.72
22168	TAX REVENUE ARREARAGE ACCOUNT	-	-	-	-	-
22654	S.U. NON-RESIDENT REV. OFFSET	19,465,437.17	19,473,484.43	19,481,392.00	8,191.65	19,489,583.65
22751	LAKE GEORGE PARK TRUST FUND	-	-	-	-	-
22802	STATE POLICE MV ENFORCE	-	-	-	-	-
23001	DOT - HIGHWAY SAFETY PRGM	8,417,198.55	8,534,620.20	8,770,679.18	60,819.58	8,831,498.76
23101	EFC DRINKING WATER PROGRAM	-	-	-	-	-
23102	DOH DRINKING WATER PROGRAM	5,984,237.62	5,984,237.62	5,984,237.62	-	5,984,237.62
23151	NYCCC OPERATING OFFSET	34,350,006.38	36,553,576.26	38,945,352.50	2,327,485.04	41,272,837.54
23701	COMMERCIAL GAMING REVENUE	-	-	-	-	-
23702	COMMERCIAL GAMING REGULATION	5,795,003.40	3,981,296.41	3,275,735.51	159,219.24	3,434,954.75
	TOTAL STATE SPECIAL REVENUE FUNDS	334,796,786.04	379,757,587.74	1,647,509,656.77	(121,121,622.62)	1,526,388,034.15
25000-25099	FEDERAL FUNDS					
25100-25199	FEDERAL USDA/FOOD AND NUTRITION SERVICES FUND	10,467,989.40	4,545,145.66	26,104,960.72	(5,420,298.68)	20,684,662.04
25200-25249	FEDERAL HEALTH AND HUMAN SERVICES FUND	190,056,843.23	363,979,761.60	151,940,634.14	10,329,622.77	162,270,256.91
25300-25399	FEDERAL EDUCATION GRANTS FUND	11,495,963.04	17,749,195.75	19,965,195.75	7,064,355.06	27,029,550.81
31351	FEDERAL OPERATING GRANTS FUND	338,234,686.40	360,979,233.22	367,254,461.56	(11,929,088.49)	355,325,393.06
31354	MILITARY AND NAVAL AFFAIRS	7,059,946.77	7,061,606.77	7,062,804.77	4,189.00	7,066,993.77
31350-31449	DEPARTMENT OF TRANSPORTATION	406,200,828.13	414,977,585.19	354,634,417.20	24,770,640.42	379,405,057.62
25900-25949	FEDERAL CAPITAL PROJECTS FUND (ALL OTHER)	64,522,002.54	41,891,680.35	91,318,711.96	39,766,589.82	131,085,301.78
25950	UNEMPLOYMENT INSURANCE ADMINISTRATION	13,514,045.13	12,019,315.98	12,750,029.62	1,987,267.58	14,737,297.20
26001-26049	FEDERAL UNEMPLOYMENT INS OCCUPATIONAL TRAINING	6,774,549.35	1,652,556.33	1,863,200.26	-	2,876,451.68
	TOTAL FEDERAL FUNDS	1,048,326,834.99	1,224,856,763.70	1,032,914,315.97	67,576,548.90	1,100,490,864.87
60201	AGENCY FUNDS					
60301	EMPLOYEES HEALTH INSURANCE ACCT	-	-	-	-	-
	TOTAL AGENCY FUNDS					
50316	ENTERPRISE FUND					
50327	OGS CONVENTION CENTER ACCOUNT	12,580.89	21,582.80	-	-	-
	TOTAL ENTERPRISE FUND	12,580.89	21,582.80			
55001	INTERNAL SERVICE FUNDS					
55002	CENTRALIZED SERVICES-FLEET MGMT	1,419,601.70	1,459,716.90	1,527,755.73	152,280.23	1,680,035.96
55003	CENTRALIZED SERVICES-DATA PROCESSING	-	-	-	-	-
55004	CENTRALIZED SERVICES-PRINTING	2,641,698.98	2,970,347.06	2,882,093.66	68,014.31	2,950,107.97
55005	CENTRALIZED SERVICES-REAL PROPERTY-LABOR	24,401.84	-	-	-	-
55006	CENTRALIZED SERVICES-DONATED FOODS	-	-	-	-	-
55007	CENTRALIZED SERVICES-PERSONAL PROPERTY	-	-	-	-	-
55008	CENTRALIZED SERVICES-CONSTRUCTION SERVICES	226,195.48	215,994.43	60,909.20	316,191.67	377,100.87
55009	CENTRALIZED SERVICES-PASNY	17,226,524.95	29,337,460.79	27,980,698.96	(4,826,848.90)	23,153,850.06
55010	CENTRALIZED SERVICES-ADMIN SUPPORT	-	-	-	-	-
55011	CENTRALIZED SERVICES-DESIGN AND CONSTR	-	-	-	-	-
55012	CENTRALIZED SERVICES-INSURANCE	168,746.71	299,479.02	389,003.34	(347,802.19)	41,201.15
55013	CENTRALIZED SERVICES-SECURITY CARD ACCESS	-	208,182.69	196,766.19	35,201.00	231,967.19
55014	CENTRALIZED SERVICES-COP'S	-	-	-	-	-
55015	CENTRALIZED SERVICES-FOOD SERVICES	-	-	-	-	-
55016	CENTRALIZED SERVICES-HOMER FOLKS	26,961.54	26,961.54	-	-	26,961.54
55017	CENTRALIZED SERVICES-HOMES	580,982.29	698,411.33	651,871.50	-	517,507.85
55018	DOWNSTATE WAREHOUSE	-	-	-	-	-
55019	BUILDING ADMINISTRATION	-	-	-	-	-
55020	LEASE SPACE INITIATIVE	39,480,985.54	49,155,148.39	58,069,187.76	-	64,058,786.56
55021	OGS ENTERPRISE CONTRACTING ACCT	4,125,376.16	4,271,693.96	4,267,329.13	5,989,598.80	4,507,744.52
	NYS MEDIA CENTER					

APPENDIX F

**STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)**

SFS Fund	ACCOUNT TITLE	July 31, 2016	August 31, 2016	September 30, 2016	Change	October 31, 2016
55022	BUSINESS SERVICES CENTER	-	-	-	-	-
55052	ARCHIVES RECORD MGMT I.S.	-	-	-	-	-
55053	FEDERAL SINGLE AUDIT	-	-	-	-	-
55056	CIVIL SERVICE EHS OCCUP HEALTH PROG	17,371.19	123,310.29	102,425.97	(34,563.96)	67,862.01
55057	BANKING SERVICES ACCOUNT	4,110,951.25	103,802.17	60,307.07	323,810.52	384,117.59
55058	CULTURAL RESOURCE SURVEY	11,376,085.48	4,458,543.06	5,097,716.36	136,051.07	5,233,767.43
55059	NEIGHBOR WORK PROJECT	1,738,062.92	11,291,913.20	11,210,252.22	344,011.23	11,554,263.45
55060	AUTOMATIC/PRINT CHARGEBACKS	1,278,210.70	1,278,210.70	-	-	-
55061	OFT NYT ACCT	5,710,073.80	5,815,285.70	5,804,805.30	(6,626.75)	5,798,178.55
55062	DATA CENTER ACCOUNT	52,338,552.49	52,338,552.49	52,338,552.49	-	52,338,552.49
55066	CYBER SECURITY INTRUSION ACCT	1,261,584.27	1,261,584.27	1,261,584.27	-	1,261,584.27
55067	DOMESTIC VIOLENCE GRANT	140,724.73	167,161.03	168,671.05	(889.35)	167,682.60
55069	CENTRALIZED TECHNOLOGY SERVICES	71,923,261.53	73,138,836.95	74,442,345.39	(62,950,747.48)	11,491,597.91
55071	LABOR CONTACT CENTER ACCT	534,539.65	520,802.30	520,844.99	30,236.31	4,011,161.30
55072	HUMAN SERVICES CONTACT CNTR ACCT	600,721.91	476,638.33	1,696,224.28	343,375.85	2,039,600.13
55073	TAX CONTACT CENTER ACCT	-	-	-	-	-
55251	EXECUTIVE DIRECTION INTERNAL AUDIT	4,264,929.67	4,828,124.09	4,997,542.59	167,410.34	5,164,952.93
55252	CIO INFORMATION TECHNOLOGY CENTRALIZED SERVICES	2,440,355.73	5,168,715.10	6,179,683.59	1,312,698.00	7,492,381.59
55300	HEALTH INSURANCE INTERNAL SERVICE	9,244,585.79	10,885,083.05	11,515,178.90	276,823.86	11,792,002.76
55301	CIVIL SERVICE EMPLOYEE BENEFITS DIV ADM	7,454,183.21	7,860,915.54	7,988,541.92	135,511.16	8,124,053.08
55350	CORR INDUSTRIES INTERNAL SERVICE	24,283,143.08	23,145,766.90	27,333,364.80	799,783.03	28,133,147.83
	TOTAL INTERNAL SERVICE FUNDS	263,384,601.39	291,617,621.28	307,170,719.10	(57,570,528.51)	249,600,189.59
	GRAND TOTAL - TEMPORARY LOANS OUTSTANDING	\$ 2,758,260,081.27	\$ 3,072,746,101.78	\$ 4,223,913,691.60	\$ (174,922,324.79)	\$ 4,048,997,366.81

(*) Temporary Loans are authorized pursuant to Subdivision 5 of Section 4 of the State Finance Law and Chapter 54, Part UU, Section 1, of the Laws of 2016-17. 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 F 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.

(**) 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).

STATE OF NEW YORK DEDICATED INFRASTRUCTURE INVESTMENT FUND (*) STATEMENT OF RECEIPTS AND DISBURSEMENTS FISCAL YEAR 2016-17														APPENDIX G
	2016 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2017 JANUARY	FEBRUARY	MARCH	7 Months Ended October 31, 2016	
OPENING CASH BALANCE	\$ 110,333,290	\$ 102,733,518	\$ 137,375,142	\$ 155,295,707	\$ 245,594,653	\$ 198,471,862	\$ 119,583,273						\$ 110,333,290	
RECEIPTS:														
Transfers from General Fund (**)	40,000,000	100,000,000	98,550,000	125,000,000	-	-	67,170,000	-	-	-	-	-	430,720,000	
Total Receipts	40,000,000	100,000,000	98,550,000	125,000,000	-	-	67,170,000	-	-	-	-	-	430,720,000	
DISBURSEMENTS:														
Broadband Initiative	-	-	-	-	-	-	-	-	-	-	-	-	-	
Health Care / Hospital Initiatives	-	1,395	14,305	12,360	22,780	14,454	57,793,164	-	-	-	-	-	57,793,164	
Information Technology/Infrastructure for Behavioral Sciences	-	1,997,342	13,030,085	2,512,984	1,734,050	347,870	1,864,924	9,743	-	-	-	-	75,037	
Infrastructure Improvements	159,949	-	-	-	259,424	2,002,167	328,548	-	-	-	-	-	21,647,204	
Municipal Restructuring	-	1,909,118	205,840	410,631	-	-	-	-	-	-	-	-	5,113,728	
Penn Station Access	-	-	-	-	-	-	-	-	-	-	-	-	-	
Resiliency, Mitigation, Security and Emergency Response	1,340,487	2,853,343	8,001,370	7,403,988	9,471,695	4,185,619	500,777	-	-	-	-	-	33,757,279	
Southern Tier / Hudson Valley Farm Initiative	-	-	-	5,875	2,993,397	3,749,999	3,749,999	-	-	-	-	-	7,737,132	
Thruway Stabilization Program	46,099,336	58,564,284	59,377,835	24,355,216	32,641,445	31,674,986	19,927,146	-	-	-	-	-	272,640,228	
Transformative Economic Development Projects	-	-	-	-	-	-	750,000	-	-	-	-	-	750,000	
Transportation Capital Plan	-	-	-	-	-	-	-	-	-	-	-	-	-	
Upstate Revitalization Program	-	-	-	-	-	18,708,546	-	-	-	-	-	-	18,708,546	
Total Disbursements	47,598,772	65,358,376	80,629,435	34,701,054	47,122,791	78,888,589	84,922,301	-	-	-	-	-	439,222,318	
OPERATING TRANSFERS:														
Transfers to General Fund	-	-	-	-	-	-	-	-	-	-	-	-	-	
Total Operating Transfers	-	-	-	-	-	-	-	-	-	-	-	-	-	
Total Disbursements and Transfers	47,598,772	65,358,376	80,629,435	34,701,054	47,122,791	78,888,589	84,922,301	-	-	-	-	-	439,222,318	
CLOSING CASH BALANCE	\$ 102,733,518	\$ 137,375,142	\$ 155,295,707	\$ 245,594,653	\$ 198,471,862	\$ 119,583,273	\$ 101,830,972	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 101,830,972	

(*) Fund created pursuant to Chapter 60, Laws of 2015-16, Part H and SFLS 93-b

(**) Pursuant to Chapter 54, Laws of 2016-17, Part UU

STATE OF NEW YORK

Interim Financial Report Governmental Funds

For the six months ended September 30, 2016

(Pursuant to Section 8(9a) of the State Finance Law)



**Office of the New York State Comptroller
Thomas P. DiNapoli, Comptroller**

Bureau of Financial Reporting and Oil Spill Remediation

STATE OF NEW YORK
Combined Balance Sheet
Governmental Funds
September 30, 2016
(Amounts in thousands)(Unaudited)

	General	Federal Special Revenue	Special Revenue	Debt Service	Capital Projects
ASSETS:					
Cash and investments.....	\$ 9,768,391	\$ 642,468	\$ 3,585,050	\$ 1,665,123	\$ 3,005,230
Receivables, net of allowances for uncollectibles:					
Taxes.....	7,332,133	-	106,714	2,271,950	45,105
Due from Federal government.....	-	6,451,031	-	3,701	480,156
Other.....	2,113,100	567,714	644,490	86,651	183,754
Due from other funds.....	959,139	66,972	14,698	267,315	18,130
Other assets.....	1,198,066	39,205	9,183	-	7,296
Total assets.....	\$ 21,370,829	\$ 7,767,390	\$ 4,360,135	\$ 4,294,740	\$ 3,739,671
LIABILITIES:					
Tax refunds payable.....	\$ 6,836,966	\$ -	\$ 129,363	\$ 1,835,401	\$ 22,542
Accounts payable.....	70,991	26,364	1,198	791	102,306
Accrued liabilities.....	2,364,289	2,597,231	18,455	9,134	61,938
Payable to local governments.....	3,139,545	2,726,671	3,068,769	150,430	15,556
Due to other funds.....	3,496,846	899,291	139,705	259,976	1,139,652
Pension contributions payable.....	319,338	-	-	-	-
Unearned revenues.....	180,151	745,989	-	3,384	516
Total liabilities.....	16,408,126	6,995,546	3,357,490	2,259,116	1,342,510
DEFERRED INFLOWS OF RESOURCES.....	813,500	753,672	95,664	126,187	14,563
FUND BALANCES:					
Restricted.....	-	18,172	341,354	1,373,365	275,962
Committed.....	876,615	-	1,405,755	536,072	2,749,251
Assigned.....	6,644,940	-	2,891,160	-	51,824
Unassigned.....	(3,372,352)	-	(3,731,288)	-	(694,439)
Total fund balances.....	4,149,203	18,172	906,981	1,909,437	2,382,598
Total liabilities, deferred inflows of resources and fund balances.....	\$ 21,370,829	\$ 7,767,390	\$ 4,360,135	\$ 4,294,740	\$ 3,739,671

See accompanying notes to the financial statements.

STATE OF NEW YORK
Combined Statement of Revenues, Expenditures and Changes in Fund Balances (Deficits)
Governmental Funds
For the Six Months Ended September 30, 2016
(Amounts in thousands)(Unaudited)

	General		Federal Special Revenue		Special Revenue		Debt Service		Capital Projects	
	Quarter Ended September 30, 2016	6 mos. Ended September 30, 2016	Quarter Ended September 30, 2016	6 mos. Ended September 30, 2016	Quarter Ended September 30, 2016	6 mos. Ended September 30, 2016	Quarter Ended September 30, 2016	6 mos. Ended September 30, 2016	Quarter Ended September 30, 2016	6 mos. Ended September 30, 2016
REVENUES:										
Taxes.....	\$ 11,069,179	\$ 20,776,650	\$ -	\$ -	\$ 1,291,524	\$ 2,706,620	\$ 4,535,010	\$ 9,831,412	\$ 364,948	\$ 666,966
Grants.....	1,453,448	2,495,060	13,031,023	26,463,869	1,489,037	2,666,753	17,460	37,460	753,142	1,145,294
Miscellaneous.....	-	-	13,199	53,463	-	-	122,322	150,929	287,892	453,070
Total revenues.....	12,522,679	23,272,571	13,044,222	26,517,332	2,780,561	5,373,373	4,674,792	9,999,801	1,405,982	2,265,330
EXPENDITURES:										
Local assistance grants.....	8,986,880	21,661,180	12,181,954	24,584,794	3,490,924	10,522,047	-	-	868,597	1,372,734
State operations.....	4,603,483	8,777,878	494,434	996,405	98,893	216,837	9,658	12,976	-	-
Debt service, including payments on financing arrangements.....	-	-	-	-	-	-	884,742	2,581,577	-	2,743,925
Capital construction.....	-	-	-	-	-	-	-	-	1,534,044	-
Total expenditures.....	13,590,363	30,439,058	12,676,388	25,581,199	3,589,817	10,738,884	894,400	2,594,553	2,402,641	4,116,659
Excess (deficiency) of revenues over expenditures.....	(1,067,684)	(7,166,487)	367,834	936,133	(809,256)	(5,365,511)	3,780,392	7,405,248	(996,659)	(1,851,329)
OTHER FINANCING SOURCES (USES):										
Transfers from other funds.....	4,346,777	10,036,284	94	543	920,810	1,978,872	694,839	1,385,127	1,754,539	2,204,763
Transfers to other funds.....	(1,785,553)	(4,044,185)	(364,579)	(932,774)	(30,538)	(50,860)	(4,507,821)	(10,208,849)	(1,591,550)	(1,785,352)
Financing arrangements issued.....	-	-	-	-	-	-	-	-	1,606,435	1,606,435
Premiums on bonds issued.....	-	-	-	-	-	-	-	-	369,551	369,551
Net other financing sources (uses).....	2,561,224	5,992,099	(364,485)	(932,231)	890,272	1,928,012	(3,812,982)	(8,823,722)	2,138,975	2,395,397
Special item - State Insurance Fund reserve release.....	-	250,000	-	-	-	-	-	-	-	-
Net change in fund balances.....	1,493,540	(924,388)	3,349	3,902	81,016	(3,437,499)	(32,590)	(1,418,474)	1,142,316	544,068
Fund balances (deficits) at beginning of period.....	2,655,663	5,073,591	14,823	14,270	825,965	4,344,480	1,942,027	3,327,911	1,240,282	1,838,530
Fund balances (deficits) at September 30, 2016.....	\$ 4,149,203	\$ 4,149,203	\$ 18,172	\$ 18,172	\$ 906,981	\$ 906,981	\$ 1,909,437	\$ 1,909,437	\$ 2,382,598	\$ 2,382,598

See accompanying notes to financial statements.

STATE OF NEW YORK
Notes to Financial Statements
September 30, 2016 (Unaudited)

NOTE 1

The accounting policies and methods of estimating and accumulating financial data for preparation of the September 30, 2016 interim financial statements for governmental fund types are similar to those used to prepare the March 31, 2016 governmental fund financial statements.

NOTE 2

Within the governmental funds, transfers to other funds exceeded transfers from other funds by \$1,416 million. Subsidies to the State University of New York and the Senior Colleges of the City University of New York totaling \$3,077 million are reported as transfers to other funds offset by \$1,661 million in Enterprise Funds subsidies which are reported as transfers from other funds.

NOTE 3

The following table presents a reconciliation of the budgetary cash basis operating results for the six months ended September 30, 2016 as reported in the State Register, with the operating results for Governmental Fund Types prepared in accordance with generally accepted accounting principles (amounts in thousands):

	<u>General</u>	<u>Federal Special Revenue</u>	<u>Special Revenue</u>	<u>Debt Service</u>	<u>Capital Projects</u>
Excess (deficiency) of receipts and other financing sources over (under) disbursements and other financing uses	\$ 631,700	\$ 344,700	\$ 414,000	\$ 214,800	12,000
Entity differences:					
Receipts and other financing sources over (under) disbursements and other financing uses for funds and accounts not included in the cash basis financial plan	(814,769)	(60,108)	(296,724)	(788,553)	683,544
Perspective differences:					
Receipts and other financing sources over (under) disbursements and other financing uses of the Miscellaneous Special Account, Infrastructure Trust Account, Child Performer's Protection Account and Charter Schools Stimulus Account, which are treated as Special Revenue Funds in the financial plan and as part of the General Fund for GAAP reporting	554,870	-	(554,870)	-	-
College and University Funds	-	-	(362,378)	-	(16,505)
Lottery Fund	-	-	753,274	-	-
Temporary interfund cash loans	258,810	(100,862)	(9,979)	-	(147,969)
Basis of accounting differences:					
To adjust for revenue accruals	(2,457,152)	(505,704)	(570,965)	(1,542,450)	(219,761)
To adjust for expenditure accruals	902,153	325,876	(2,809,857)	697,729	232,759
Net change in fund balances	\$ (924,388)	\$ 3,902	\$ (3,437,499)	\$ (1,418,474)	\$ 544,068

STATE OF NEW YORK Notes to Financial Statements September 30, 2016 (Unaudited) (cont'd)
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NOTE 4

During the six months ended September 30, 2016 there were no debt refunding issues.

NOTE 5

Significant transactions or other events within the control of management that are either unusual in nature or infrequent in occurrence are reported as special items in the governmental fund financial statements. Reforms to Workers' Compensation Law effective January 1, 2014, changed the basis for determining assessments and charges resulting in the elimination of reserves. Likewise, Chapter 57 of the Laws of 2013 required that the amount of the eliminated reserves (\$1.75 billion) were to be transferred by the State Insurance Fund to the Workers' Compensation Board for distribution to the General Fund in specified amounts over a series of fiscal years. As of September 30, 2016, all distributions from the Workers' Compensation Board have been released to the General Fund.

Office of the New York State Comptroller**Thomas P. DiNapoli, State Comptroller****Office of Operations – Division of Payroll, Accounting and Revenue Services****John C. Traylor, Executive Deputy Comptroller****Christopher M. Gorka, Deputy Comptroller****David J. Hasso, CPA, CGFM, CGMA, Assistant Comptroller****Bureau of Financial Reporting and Oil Spill Remediation****Suzette Barsoum Baker, CPA, CGFM, Executive Director****Maria Guzman, CPA, Assistant Director****GAAP Reporting**

Deidre Clark, Assistant Chief Accountant
Michael B. Mezz, CGFM, Principal Accountant
Maureen Shaw, CBA, Principal Accountant
Donna Greenberg, CPA, CGFM, Supervising Accountant
Jennifer Hallanan, CGFM, Supervising Accountant
Renée Bult, Associate Accountant
Gregg Cerio, Associate Accountant
Maria Moran, CPA, CGFM, Associate Accountant
Sandra Trzcinski, CGAP, CGFM, Associate Accountant
Paula Walker, Associate Accountant
Laura Hennessey, Accountant Trainee 2

Cash Reporting and Reconciliations

Carrie Piser, Assistant Chief Accountant
Melissa Clayton, Principal Accountant
Rosemary Liss, Supervising Accountant
Laura Canham-Lunde, Associate Accountant
Bo Jiang, Associate Accountant
Stephen Raptoulis, CPA, Associate Accountant
Christopher Tuohy, Associate Accountant
Laurie Ferlazzo, CPA, Senior Accountant
Peter Salony, CPA, Senior Accountant
Cara Jo Vettovalli, Senior Accountant
Kelly Nadeau, Accountant Trainee 2
Brenda Carver, CPA, CBA, DBA,
Business Systems Analyst 2

APPENDIX

The following Appendix was filed with a Notice of Adoption
pertaining to Program Rules for New York State Grown and

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PRODUCE



DAIRY



PACKAGED GOODS

