

New York State Ethics Commission for the Unified Court System

2020 Commission Report

COMMISSIONERS

HON. ROBERT J. MILLER, CHAIR

TRACEE E. DAVIS , ESQ.

LISA DIPOALA HABER, ESQ.

ROSEMARY GARLAND-SCOTT, ESQ.

HON. SHIRLEY TROUTMAN

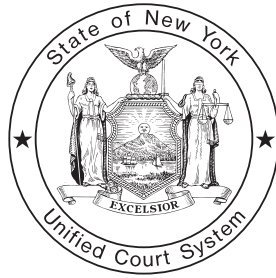
JANICE HOWARD

Executive Director (*Until December 23, 2020*)

ELIZABETH A. HOOKS

Acting Executive Director (*Effective December 24, 2020*)

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NEW YORK STATE ETHICS COMMISSION

2020 COMMISSION REPORT

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THE COMMISSION

The Ethics in Government Act of 1987 was enacted to promote public confidence in government, to prevent the use of public office to further private gain, and to preserve the integrity of governmental institutions. Pursuant to the Act, as codified in Section 211(4) of the Judiciary Law, the Chief Judge directed the Chief Administrator of the Courts to promulgate rules or regulations regarding the filing of annual statements of financial disclosure in the Unified Court System. See [Appendix A](#).

The Chief Administrator promulgated the Chief Judge’s Rule, 22 NYCRR Part 40, establishing the Ethics Commission for the Unified Court System, and delineating its powers and duties. Since 1990, the Ethics Commission for the Unified Court System (“Commission”) has been responsible for administering the distribution, collection, review and maintenance of annual financial disclosure statements filed by judges, justices and certain officers and employees of the Unified Court System.

Pursuant to the Rules of the Chief Judge, the Ethics Commission has promulgated regulations governing its procedures, 22 NYCRR Part 7400. See [Appendix B](#).

The Commission’s rules, procedures and forms are posted on the Commission’s website at www.nycourts.gov/ip/ethics.

The Commission is comprised of five members appointed by the Chief Judge. Two members must be State Judges or Justices, and at least two shall not be public officers or employees. The chair is designated by the Chief Judge. The Commissioners serve without compensation and their terms are limited to five years.

COMMISSIONERS AND TERMS

- **Hon. Robert J. Miller, Chair**, *Associate Justice, Appellate Division, Second Department*
November 14, 2018 – November 13, 2023
- **Tracee E. Davis, Esq.**, *An attorney in private practice*
November 1, 2016 – October 31, 2021
- **Lisa DiPoala Haber, Esq.**, *An attorney in private practice*
December 20, 2017 – December 19, 2022
- **Rosemary Garland-Scott.**, *Statewide Special Counsel for Ethics*
November 1, 2017 – October 31, 2024
- **Hon. Shirley Troutman**, *Associate Justice, Appellate Division, Fourth Department*
May 22, 2017 – May 21, 2022

COMMISSION STAFF

- **Janice Howard**, *Executive Director until December 23, 2020*
- **Elizabeth A. Hooks**, *Acting Executive Director, effective December 24, 2020*
- **Pamela Varner**, *Court Analyst*

2020 ANNUAL REPORT

A. FINANCIAL DISCLOSURE

Pursuant to the Ethics in Government Act, as codified in Section 211(4) of the Judiciary Law, the Chief Judge approved an annual statement of financial disclosure for use in the Unified Court System (“UCS”) that is substantially similar to the statement set forth in Public Officers Law §73-a. Statements filed in 2020 contain information pertaining to calendar/reporting year 2019. See [Appendix C](#).

Pursuant to 22 NYCRR Section 40.2 (a), the following individuals were required to file financial disclosure statements with the Commission in 2020:

(a) all state-paid judges or justices of the Unified Court System regardless of their annual rate of compensation, and (b) officers or employees of the Unified Court System who (1) receive annual compensation at a rate in excess of the amount mandated by Section 130(1) (a) of the Civil Service Law, and are not otherwise exempted from filing, or (2) are designated as policymakers for the purposes of financial disclosure, regardless of their annual rate of compensation. The threshold filing amount for statements filed in 2020 was \$101,379.

Pursuant to 22 NYCRR Section 100.5(A)(4)(g), certain candidates for judicial office must file financial disclosure statements with the Ethics Commission within twenty days of becoming candidates. See [Appendix D](#).

Individuals who met the filing requirements and were employed by the Unified Court System from January 1, 2020 through April 15, 2020, were required to file their 2019 statements on or before July 15, 2020 (the submission deadline was extended from May 15, 2020 due to the Coronavirus pandemic). Individuals who met the filing requirements and who commenced employment after April 15, 2020, were required to file within thirty days of commencing employment. A filer can request an extension of time to file due to justifiable cause or undue hardship.

Judges, justices and officers and employees of the Unified Court System may file financial disclosure statements online, or by completing paper forms that must be mailed or hand delivered to the Commission. Approximately 79% of the statements filed in 2020, were filed online. Judicial candidates do not have access to online filing.

In February of each year, the Chief Administrator of the Courts must file with the Commission a list of the judges, justices, officers and employees of the Unified Court System who serve in “policy-making” positions as determined by:

- the Chief Judge of the Court of Appeals;
- the Presiding Justice of each Appellate Division; and
- the Chief Administrator of the Courts.

See [Appendix E](#).

The Commission conducts an annual assessment of its office operations to ensure that all systems and procedures are efficient and user-friendly. In 2020, the Commission worked with the Office of Court Administration’s Technology Division to continue refining the new database and electronic filing system implemented in 2019.

The Commission worked cooperatively with the New York State (“NYS”) Commission on Judicial Conduct and the Office of Court Administration to maintain compliance with the Ethics in Government Act. Ensuring the public’s access to information reported on financial disclosure statements facilitates transparency, enhances public confidence and helps to preserve the court system’s integrity.

B. FILERS

22NYCRR§40.2

A total of 5,305 judges, justices, officers and employees of the NYS Unified Court System (hereafter referred to as “required filers”) were required to file financial disclosure statements in 2020. Of that number, 4,194 filed electronically. (See Table 1)

Number of Filers	Type of Employee
1,304	Judges or Justices
4,001	Officers/Nonjudicial Employees

Table 1 - Judges, Justices and Nonjudicial Officers and Employees Required To File				
Reporting Year	Judicial	Nonjudicial	Total	Electronic
2019	1304	4001	5305	4194
2018	1284	4116	5400	4329
2017	1219	4203	5422	4258
2016	1234	4403	5637	4277
2015	1232	4329	5561	4060
2014	1225	4169	5394	3731

Judicial Candidates 22NYCRR§100.5(A)4(g) and 22NYCRR§7400.7

Sixty-eight judicial candidates who were not employed by the Unified Court System, filed financial disclosure statements in 2020.

C. FILING EXCEPTION REQUESTS

INDIVIDUAL AND JOB TITLE FILING EXEMPTION REQUESTS

22NYCRR§40.1(i)(8) and 22 NYCRR§7400.1

A required filer who has not been determined to be a policymaker, may request an exemption from filing on the grounds that the public interest does not require disclosure and that the employee’s duties do not involve certain activities enumerated in the Rules of the Chief Judge. In 2020, the Commission received 4 individual filing exemption requests, all were denied.

Employee organizations may request filing exemptions on behalf of all employees who share the same job title. The employees in the job titles listed in [Appendix F](#) were exempted from filing in 2020.

See [Appendix B](#) for the factors used to determine filing exemption requests.

The Commission did not receive any job-title filing exemption requests.

The Commission is not authorized to accept filing exemption requests from judicial candidates filing pursuant to 22 NYCRR Part 100.

“FAMILY” EXEMPTION REQUESTS

22NYCRR§40.1(i)(7) and 22NYCRR§7400.3

A required filer may request an exemption from reporting one or more items of information regarding an unemancipated child or spouse on the ground that the information will have no material bearing on the discharge of the employee’s official duties. See [Appendix B](#) for the factors weighed by the Commission in deciding “family” exemption requests.

In 2020, the Commission received 4 exemption requests regarding spouses and unemancipated children. All four requests were granted. See Table 2.

Pursuant to 22 NYCRR Part 100, the Commission is not authorized to accept family-information filing exemption requests from judicial candidates filing.

Reporting Year	Granted	Denied
2019	4	0
2018	5	0
2017	6	0
2016	6	0
2015	7	0
2014	10	0

DELETION REQUESTS

22NYCRR§40.1(i)(6) and 22NYCRR§7400.4

Required filers and judicial candidates, may request the deletion of specific information from the publicly inspected copy of their financial disclosure statement, on the ground that the information has no material bearing on the discharge of their official duties. See [Appendix B](#), Commission Procedures, for the factors weighed by the Commission in deciding such requests.

The Commission received deletion requests from 10 required filers in 2020. (See Table 3). There were no deletion requests from judicial candidates.

Reporting Year	Granted	Denied
2019	9	1
2018	11	0
2017	15	0
2016	14	3
2015	20	3
2014	24	5

D. REVISIONS

22NYCRR§40.1(i)(5)

Except as otherwise indicated, the staff of the Commission reviews every financial disclosure statement filed by a judge, justice, officer, or employee of the Unified Court System to verify that all questions have been answered fully, consistently, and clearly. Statements that were filed electronically, with the response "NONE" to questions 4a through 19, were not reviewed.

Statements determined to be incomplete, inconsistent, or unclear were returned to the filer to be revised. (See Table 4). In 2020, approximately 5.1% or 275 of all the statements that were filed required revision. Approximately 3.9% of the electronically filed statements required revision, as compared to approximately 9.7% percent of paper statements that were filed. It appears that paper statements require more revision because it is easier for filers to overlook one or more questions than in the electronic counterpart. Filers cannot submit electronic statements for filing until every question is answered.

Reporting Year	Statements Filed	Statements Revised	Percentage of Statements Revised
2019	5305	275	5.1%
2018	5400	417	8%
2017	5422	734	14%
2016	5631	461	8%
2015	5560	551	9.9%
2014	5394	586	11%

E. PUBLIC INSPECTION

22NYCRR§40.1(p)(1)/ and 22NYCRR§7400.5

Pursuant to the Rules of the Chief Judge, the Commission maintains seven years of financial disclosure statements, which includes statements filed in the current and six preceding years. In 2020, the Commission maintained the statements filed in 2014 through 2020.

The information reported in financial disclosure statements maintained by the Commission is available for public inspection, except for categories of value or amount in statements pertaining to the reporting years prior to 2014, the names of unemancipated children, and any information deleted by the Commission pursuant to 22 NYCRR Section 40.1(i)(6). Notices of Delinquency are also available for public inspection. The substance of the requests, and any documents pertaining to the requests, are not available for public inspection. Filers are not told that their statements have been inspected. Inspection copies of financial disclosure statements are available to the public at no cost.

In 2020, 141 statements filed by judges, justices, officers, and employees of the Unified Court System were inspected. (See Table 5). There were no requests to inspect statements filed by judicial candidates

Table 5 - Public Inspection	
Filing Year	Number of Statements Inspected
2019	141
2018	138
2017	236
2016	174
2015	169
2014	90

F. DELINQUENCIES

NOTICES TO CURE (“NTC”)

Pursuant to 22NYCRR§40.1(k)(l)(m), the Commission issued a “Notice to Cure” to 260 individuals who did not properly file their financial disclosure statements. The NTC advised each recipient of the penalties for failing to comply with the reporting requirements and included a compliance deadline.

NOTICES OF DELINQUENCY (“NOD”)

Required filers who knowingly and willfully fail to file a financial disclosure statement, or who knowingly and willfully with intent to deceive, make a false statement or report information which they know to be false, shall be subject to disciplinary action as otherwise permitted by law, rule, or collective bargaining agreement. The NYS Commission on Judicial Conduct and the Office of Court Administration are charged with implementing disciplinary procedures for judges, employees and officers respectively.

The Commission issued notices of delinquency to the filers who did not comply with the Notice to Cure. The Commission also sent copies of the NODs to the NYS Commission on Judicial Conduct and the Chief Administrator of the Courts for further action. Subsequently, the Executive Director of the Office of Court Administration issued counseling letters advising ten delinquent non-judicial filers of potential disciplinary action if they did not satisfy the filing requirement; there was 100% compliance.

Table 6 - Notices to Cure and Notices of Delinquency				
	Judges and Justices		Non-Judicial Officers and Employees	
Reporting Year	Notices to Cure	Notices of Delinquency	Notices to Cure	Notices of Delinquency
2019	33	1	227	20
2018	84	13	406	101
2017	56	6	333	56
2016	54	4	326	49
2015	59	4	352	52
2014	63	1	321	60

Table 7 - Notices of Delinquency by Job Title* Reporting Year 2019. 21 Notices of Delinquency Issued.	
Job Title	Notices Issued
Court Reporter	11
Court Clerk	5

* If three or more persons in the job title received Notices

APPENDICES

APPENDIX A - RULES OF THE CHIEF JUDGE 22 NYCRR PART 40

FINANCIAL DISCLOSURE

Statutory authority: Judiciary Law, §211(4)

Sec.40.1 Ethics Commission Sec. 40.2 Financial Disclosure

Section 40.1 Ethics Commission.

- (a) There shall be an Ethics Commission for the Unified Court System which shall consist of five members and shall have and exercise the powers and duties set forth herein with respect to all State-paid judges, justices and nonjudicial officers and employees of the courts and court-related agencies of the Unified Court System.
- (b) (b) The members of the commission shall be appointed by the Chief Judge of the State of New York, upon consultation with the Administrative Board of the Courts. Two members shall be State-paid judges or justices of a court or courts of the Unified Court System, and at least two shall not be public officers or employees.
- (c) The term of members of the commission shall be five years. Members shall be appointed for no more than one five-year term.
- (d) The Chief Judge shall designate the chairperson of the commission from among the members thereof, who shall serve as chairperson at the pleasure of the Chief Judge. The chairperson or any three members of the commission may call a meeting.
- (e) Any vacancy occurring on the commission shall be filled within 60 days of its occurrence by the Chief Judge. A person appointed to fill a vacancy occurring other than by expiration of a term of office shall be appointed for the unexpired term of the member he or she succeeds. Where a member of the commission who is a judge or justice leaves judicial office, a vacancy on the commission shall thereby be deemed to have occurred.
- (f) Three members of the commission shall constitute a quorum, and the commission shall have power to act by majority vote of the total number of members of the commission without vacancy.
- (g) Members of the commission may be removed by the Chief Judge for substantial neglect of duty, gross misconduct in office, inability to discharge the powers or duties of office or violation of this rule, after written notice and opportunity for a reply.
- (h) The members of the commission shall not receive compensation but shall be reimbursed for reasonable expenses incurred in the performance of their official duties.

- (i) The commission shall:
- (1) appoint an executive director who shall act in accordance with the policies of the commission and the provisions of this rule. The commission may delegate authority to the executive director to act in the name of the commission between meetings of the commission provided such delegation is in writing and the specific powers to be delegated are enumerated;
 - (2) appoint such other staff, within appropriations made available therefor by the Chief Administrator of the Courts, as are necessary to carry out its duties under this rule;
 - (3) adopt, amend and rescind rules and regulations to govern procedures of the commission, which shall be consistent with the provisions of this rule and which shall include, but not be limited to, a procedure for such adjudicatory proceedings as are authorized by this rule and the procedure whereby a person who is required to file an annual financial disclosure statement with the commission may request an additional period of time within which to file such statement, due to justifiable cause or undue hardship; such rules or regulations shall provide for a date beyond which in all cases of justifiable cause or undue hardship no further extension of time will be granted;
 - (4) make available forms for annual statements of financial disclosure required to be filed pursuant to law;
 - (5) review financial disclosure statements in accordance with the provisions of this rule; provided, however, that the commission may delegate all or part of this review function to the executive director, who shall be responsible for completing staff review of such statements in a manner consistent with the terms of the commission's delegation;
 - (6) permit any person required to file a financial disclosure statement to request the commission to delete from the copy thereof made available for public inspection one or more items of information, which may be deleted by the commission upon a finding by a majority of the total number of its members without vacancy that the information which would otherwise be required to be made available for public inspection will have no material bearing on the discharge of the reporting person's official duties;
 - (7) permit any person required to file a financial disclosure statement to request an exemption from any requirement to report one or more items of information which pertain to such person's spouse or unemancipated children, which item or items may be exempted by the commission upon a finding by a majority of the total number of its members without vacancy that the reporting individual's spouse, on his or her own behalf or on behalf of an unemancipated child, or the reporting person on behalf of an unemancipated child, objects to providing the information necessary to make such disclosure and that the information which would otherwise be required to be reported will have no material bearing on the discharge of the reporting person's official duties;

- (8) permit any person who is required to file a financial disclosure statement, but who has not been determined pursuant to section 40.2(b) of this Part to hold a policy-making position, to request an exemption from such requirement in accordance with rules and regulations governing such exemptions. Such rules and regulations shall provide for exemptions to be granted either on the application of an individual or on behalf of persons who share the same job title or employment classification which the commission deems to be comparable for purposes of this section. Such rules and regulations may permit the granting of an exemption where, in the discretion of the commission, the public interest does not require disclosure and the applicant's duties do not involve the negotiation, authorization or approval of:
 - (i) contracts, leases, franchises, revocable consents, concessions, variances, special permits, or licenses as defined in section 73 of the Public Officers Law;
 - (ii) the purchase, sale, rental or lease of real property, goods or services, or a contract therefor;
 - (iii) the obtaining of grants of money or loans; or
 - (iv) the adoption or repeal of any rule or regulation having the force and effect of law;
- (9) exemptions granted hereunder shall be for such duration as the commission shall determine;
- (10) prepare an annual report to the Chief Judge and the Administrative Board of the Courts summarizing the activities of the commission; and
- (11) in such cases as it shall deem appropriate, the commission may determine a question common to a class or defined category of persons or items of information required to be disclosed, where determination of the question will prevent undue repetition of requests for exemption or deletion or prevent undue complication in complying with the requirements of this rule.
- (j) The commission, or the executive director and staff of the commission, if responsibility therefor has been delegated, shall inspect all financial disclosure statements filed with the commission to ascertain whether any person required to file a financial disclosure statement has failed to file such a statement or has filed a deficient statement.
- (k) If a person required to file a financial disclosure statement with the commission has failed to file a disclosure statement or has filed a deficient statement, the commission shall notify the reporting person in writing, state the failure to file or detail the deficiency, provide the person with a 15-day period to cure the deficiency, and advise the person of the penalties for failure to comply with the reporting requirements. Such notice shall be confidential. If the person fails to make such filing or fails to cure the deficiency within the specified time period, the commission shall send a notice of delinquency:

- (1) to the reporting person;
 - (2) in the case of a judge or justice of the Unified Court System, to the State Commission on Judicial Conduct; and
 - (3) in the case of a nonjudicial officer or employee, to the Chief Administrator of the Courts.
- (l) A reporting individual who knowingly and willfully fails to file an annual statement of financial disclosure or who knowingly and willfully with intent to deceive makes a false statement or gives information which such individual knows to be false on such statement of financial disclosure filed pursuant to this section shall be subject to disciplinary action as otherwise permitted by law, rule or collective bargaining agreement. No disciplinary action for false filing may be imposed hereunder in the event a category of "value" or "amount" reported hereunder is incorrect unless such reported information is falsely understated.
- (m) A copy of any notice of delinquency sent pursuant to subdivision (k) of this section shall be included in the reporting person's file and be available for public inspection.
- (n) Upon written request from any person who is or may be subject to the requirement of filing a financial disclosure statement, the commission shall render advisory opinions concerning such requirement. Such requests shall be confidential, but the commission may publish such opinions provided that the name of the requesting person and other identifying details shall not be included in the publication.
- (o) In addition to the other powers and duties specified herein, the commission shall have the power and duty to:
- (1) administer and enforce all the provisions of this section;
 - (2) conduct any investigation necessary to carry out the provisions of this section. Pursuant to this power and duty, the commission may administer oaths or affirmations, subpoena witnesses, compel their attendance and require the production of any books or records which it may deem relevant or material; and
 - (3) establish an adjudicatory procedure pursuant to which requests for certain deletions or exemptions to be made from a financial disclosure statement as authorized in paragraphs (i)(6), (7) and (8) of this section may be heard.
- (p)
- (1) Notwithstanding the provision of article 6 of the Public Officers Law, the only records of the commission which shall be available for public inspection are:
 - (i) the information set forth in an annual statement of financial disclosure filed pursuant to law and maintained by the Commission, except the following items which shall remain confidential:
 - (a) the categories of value or amount in statements pertaining to calendar years prior to 2014;

- (b) the names of unemancipated children; and
 - (c) any other item of information deleted pursuant to paragraph (i)(6) of this section; and
- (ii) notices of delinquency sent under subdivision (k) of this section.
- (2) Notwithstanding the provisions of article 7 of the Public Officers Law, no meeting or proceeding, including any such proceeding contemplated under paragraph (i) (6), (7) or (8) of this section, of the commission shall be open to the public, except if expressly provided otherwise by the commission.

40.2 FINANCIAL DISCLOSURE

- (a) Filing procedure.
- (1) Each state-paid judge or justice, regardless of his or her annual rate of compensation; and each nonjudicial officer and employee of the Unified Court System who:
 - (i) receives annual compensation at or above the job rate of SG-24 as set forth in paragraph (a) of subdivision (1) of section 130 of the Civil Service Law as of April 1st of the year in which an annual financial disclosure statement shall be filed and is not otherwise exempted from filing pursuant to this Part; or
 - (ii) holds a policymaking position, as determined in accordance with subdivision (b) of this section; shall file annually with the Ethics Commission of the Unified Court System a financial disclosure statement containing the information and in the form set forth in the annual statement of financial disclosure adopted by the Chief Judge of the State of New York. Such statement shall be filed on or before the 15th day of May with respect to the preceding calendar year:
 - (2) Any person required to file such statement who commences employment after the 15th day of April of any year shall file the statement within 30 days after commencement of employment.
 - (3) A person who is subject to the reporting requirements of this section and who timely filed with the Internal Revenue Service an application for automatic extension of time in which to file his or her individual income tax return for the immediately preceding calendar or fiscal year shall be required to file such financial disclosure statement on or before May 15th but may, without prejudice on account of a deficient statement, indicate with respect to any item of the disclosure statement that information with respect thereto is lacking but will be supplied in a supplementary statement of financial disclosure, which shall be filed on or before the seventh day after the expiration of the period of such automatic extension of time within which to file such individual income tax return, provided that failure to file or to timely file such supplementary statement of financial disclosure or the filing of an incomplete or deficient supplementary statement of financial disclosure shall be subject to the provisions of section 40.1 (k) of this Part as if such supplementary statement were an annual statement; and

- (4) A person who is required to file an annual financial disclosure statement with the Ethics Commission of the Unified Court System, and who is granted an additional period of time within which to file such statement due to justifiable cause or undue hardship, in accordance with required rules and regulations on the subject adopted pursuant to section 40.1(i) (3) of this Part, shall file such statement within the additional period of time granted.
- (b) Report of eligible filers. During the month of February in each year, the Chief Administrator of the Courts shall file with the Ethics Commission for the Unified Court System a written instrument that shall set forth the names of
- (1) all state-paid judges and justices, and
 - (2) all state-paid nonjudicial officers and employees of the courts and court-related agencies of the Unified Court System who, during the preceding calendar year, received annual compensation at or above the job rate of SG-24 as set forth in paragraph (a) of subdivision (1) of section 130 of the Civil Service Law as of April 1st of the year in which an annual financial disclosure statement shall be filed and have not been otherwise exempted from filing pursuant to this rule, and the names of such nonjudicial officers and employees who, during such year, held policy-making positions in the determination of:
 - (i) the Chief Judge of the Court of Appeals, as to personnel of that court;
 - (ii) the Presiding Justice of each Appellate Division, as to personnel of that court; and
 - (iii) the Chief Administrator of the Courts, as to all other state-paid personnel of the Unified Court System.

APPENDIX B - COMMISSION PROCEDURES, 22 NYCRR PART 7400

SECTION 7400.1

REQUESTING EXEMPTIONS FROM FILING FINANCIAL DISCLOSURE STATEMENTS

7400.1(a) Definitions

(a) **Definitions.**

- (1) Annual compensation shall mean the basic annual salary which an individual receives to perform the duties of the position in which he or she serves. Annual salary shall not include location pay, payment of overtime, retroactive salary benefits, uniform or clothing allowance, reimbursements, or any one-time payment, bonus or award.
 - (2) Commission shall mean the Ethics Commission for the Unified Court System.
 - (3) Employee shall mean a State-paid judge, justice, officer or employee of the Unified Court System.
 - (4) Employee organization shall mean an employee organization that is recognized or certified pursuant to section 204 of the Civil Service Law to represent public employees of a public employer.
 - (5) File shall mean to make delivery to the offices of the commission personally, electronically or by mail. The filing date shall be the date the document filed is received in the offices of the commission.
 - (6) Financial disclosure statement shall mean the annual statement approved by the Chief Judge pursuant to subdivision 4 of section 211 of the Judiciary Law.
 - (7) Job title shall mean the title of the position to which an employee has been elected or appointed.
 - (8) Rule shall mean Part 40 of the Rules of the Chief Judge of the State of New York (22 NYCRR).
- (b) **Scope.** Pursuant to section 40.1(i)(8) of the rule, the commission shall permit an employee who is not a policy maker pursuant to section 40.2 of the rule, and who is required to file a financial disclosure statement, to request an exemption from filing. This request will be granted if, in the discretion of the commission, the public interest does not require disclosure and the employee's duties do not involve any of the duties set forth in section 40.1(i)(8) of the rule.
- (c) **Procedure.**
- (1)

- (i) An employee organization on behalf of persons who share the same job title may request an exemption from filing a financial disclosure statement by filing a written request with the commission on or before March 1st of the year in which the exemption is requested.
 - (ii) An employee individually may request an exemption from filing a financial disclosure statement by filing a written request with the commission on or before the date that his or her annual statement of financial disclosure is due. Filing such a request automatically extends the employee's time to file his or her financial disclosure statement. If the employee's request is denied, the commission decision will set forth the date by which the employee's statement must be filed.
- (2) The request for the exemption shall include:
- (i) the name, work address, home address, work telephone number and job title of the employee if the request is on an individual basis, or the name of the employee organization, and name, address and telephone number of its authorized representative filing on behalf of persons who share the same job title;
 - (ii) the job title for which an exemption is requested where the request is by an employee organization;
 - (iii) a copy of the title specifications of the job title for which an exemption is requested; and
 - (iv) a statement in support of the claim of the filing employee or employee organization that the public interest does not require disclosure and that the job title for which the exemption is requested does not involve any of the duties set forth in section 40.1(i)(8) of the rule, giving specific reasons and justifications therefor. Documentation supporting this statement may be annexed to the request.
- (3) The request for an exemption must be signed by the employee, if requesting an individual exemption, or by the authorized representative of the employee organization requesting an exemption on behalf of persons who share the same job title.
- (d) Commission action.
- (1) Upon receipt of a request for an exemption from filing a financial disclosure statement, the commission shall review the material filed to determine whether the public interest requires disclosure and whether the duties of the job title include any of the duties set forth in section 40.1(i)(8) of the rule.
 - (2) If the commission determines that additional information would be useful, it may obtain such information from the Office of Court Administration, from the individual employee requesting an exemption, from the employee organization requesting an exemption on behalf of persons who share the same job title, or from any source deemed appropriate by the commission. The commission, in its discretion, may request a meeting with the individual employee or the representative of an employee organization to discuss the exemption request.

- (3) If the commission requests additional information from an individual employee or an employee organization, such additional information must be filed with the commission within the time limit set forth in the commission's written request. If the commission does not receive such information within the said time limit, it may render a decision on the information available.
- (4) Unless the commission decides that the public interest does not require disclosure and that a job title does not involve the duties set forth in section 40.1(i)(8) of the rule, the commission shall deny the request for an exemption from filing a financial disclosure statement. In applying the public interest standard, the commission considers the duties the employee may be called upon to perform. The commission weighs the strong public interest in disclosure against the employee's privacy rights. In this weighing process, the commission considers the employee's role in the judicial, administrative or managerial process of the Unified Court System. The commission also considers the potential for conflict of interest and use of public office for personal gain in the performance of the employee's actual or potential job duties. Judiciary Law, section 211(4) and Part 40 of this Title establish a strong public policy favoring disclosure. Thus employees otherwise required to file, who have requested an exemption from filing, must demonstrate that an individual exception to this policy is warranted.
- (5) The commission shall give written notification of this decision to the employee and/or the employee organization, as appropriate, and to the Chief Administrator of the Courts.
- (6) Once an exemption has been granted for a job title, an employee, as long as he or she holds that job title, will not be required to file a financial disclosure statement in any subsequent year for which one would otherwise be required unless:
 - (i) the duties of the job title change; or
 - (ii) it is determined that the employee holds a policymaking position by: the Chief Judge of the Court of Appeals, as to personnel of that Court; the Presiding Justice of each Appellate Division, as to personnel of that Court; or the Chief Administrator of the Courts, as to all other state-paid personnel of the Unified Court System; or
 - (iii) the commission, upon review of its decision to grant such exemption, determines the exemption is no longer appropriate.

SECTION 7400.2

REQUESTING AN EXTENSION OF TIME TO FILE A FINANCIAL DISCLOSURE STATEMENT, AND AUTOMATIC EXTENSIONS OF TIME TO FILE SUPPLEMENTARY FINANCIAL DISCLOSURE STATEMENTS (Section 7400.2(d)(6) was amended as of August 15, 2019)

7400.2(a) Definitions

(a) Definitions.

- (1) Commission shall mean the Ethics Commission for the Unified Court System.
- (2) Employee shall mean a state-paid judge, justice, officer or employee of the Unified Court System.
- (3) File shall mean to make delivery to the offices of the Commission personally, electronically or by mail. The filing date shall be the date the document filed is received in the offices of the Commission.
- (4) Financial disclosure statement shall mean the annual statement approved by the Chief Judge pursuant to subdivision 4 of section 211 of the Judiciary Law.
- (5) Job title shall mean the title of the position to which an employee has been elected or appointed.
- (6) Rule shall mean Part 40 of the Rules of the Chief Judge of the State of New York (22 NYCRR).

(b) Scope.

- (1) Pursuant to section 40.1(i)(3) of the Rule, the Commission shall permit an employee who is required to file a financial disclosure statement to request an additional period of time within which to file such statement. This request will be granted if the Commission finds that there is justifiable cause for the extension or that the timely filing of the statement would cause undue hardship.
- (2) Pursuant to section 40.2(a)(2)(i) of the Rule, the Commission shall allow an employee who has timely filed an application for automatic extension with the Internal Revenue Service to file a supplementary statement of financial disclosure.

(c) Procedure For Requesting An Extension Of Time To File A Financial Disclosure Statement.

- (1) An employee may request an extension of time to file his or her statement by filing a request with the Commission on or before the date that his or her annual statement of financial disclosure is due.
- (2) The request for the extension can be made by written application mailed to the Ethics Commission, telephone or email, and shall include:

- (a) if the request is made by written application mailed to the Ethics Commission, the name, home address, work address, work telephone number, and job title of the employee requesting the extension;
 - (b) if the request is made by telephone or email, the name, work telephone number and job title of the employee requesting the extension;
 - (i) a statement in support of the employee's claim that an extension of time to file a financial disclosure statement is necessary due to justifiable cause or undue hardship, giving specific reasons and justifications therefor. Documentation supporting this statement may be annexed to the request, if the request is made by letter or email;
 - (ii) the date certain by which the employee will file his or her financial disclosure statement.
- (3) The request for an extension must be signed by the employee requesting the extension, if the request is made by written application.
- (d) Commission Action.**
- (1) Upon receipt of a request for extension of time to file a financial disclosure statement, the Commission shall review the material filed to determine if there has been a showing of justifiable cause or undue hardship.
 - (2) If the Commission determines that additional information would be useful, it may request such information from the employee requesting the extension. The Commission, in its discretion, may request a meeting with the employee to discuss the extension request.
 - (3) Unless the Commission decides that there is justifiable cause for an extension of time to file a financial disclosure statement, or that timely filing of such statement would cause undue hardship, the Commission shall deny the request for an extension of time to file a financial disclosure statement.
 - (4) The Commission shall give notice of its decision to the employee requesting an extension of time to file in the same format in which the request was received. If the extension is granted, the decision shall include the date certain on or before which the employee's financial disclosure statement must be filed.
 - (5) Vacation periods, and the ordinary and necessary tasks, routines, and obligations of an employee's personal and work life shall not constitute undue hardship or justifiable cause for an extension of time to file a financial disclosure statement.
 - (6) No further extension of time to file a financial disclosure statement shall be granted beyond 60 days of the original due date, unless:
 - (i) the filer is currently on leave and will not return to his or her office within that 60 days. If so, the time to file may be extended for no more than four weeks from the date that the filer returns to his or her office; or

- (ii) the filer has asked for a filing extension in response to a notice to cure. If so, the time to file may be extended for no more than four weeks from the date that the filer requests the extension; or
 - (iii) the filer has made a filing exception request. If so, the time to file may be extended for no more than four weeks from the date of the Commission decision pertaining to the request.
- (e) **Supplementary Financial Disclosure Statements.**
- (1) An employee who timely filed with the Internal Revenue Service an application for automatic extension of time in which to file his or her income tax return for the immediately preceding calendar or fiscal year is required to file a financial disclosure statement:
 - (i) on or before May 15th of the year that filing is required, if he or she is employed by the Unified Court System on January 1st, or commences employment from January 2nd through April 15th, of that year; or
 - (ii) 30 days from the date that the employee commences employment (which includes a change to a new job title that requires him or her to file) if he or she commences employment with the Unified Court System from April 16th through December 31st of the year that filing is required. The employee may, however, indicate on the timely filed financial disclosure statement that information regarding a particular item of disclosure is lacking and will be supplied in a supplementary statement of financial disclosure to be filed on or before the seventh day after the expiration of the period of such automatic extension of time within which to file such tax return.
 - (2) The employee must submit a written statement with the timely filed financial disclosure statement. This written statement shall include:
 - (i) the name, home address, work address, work telephone number and job title of the employee;
 - (ii) a copy of the application filed with the Internal Revenue Service for an automatic extension of time in which to file the employee's individual income tax return for the immediately preceding calendar or fiscal year;
 - (iii) a description of the nature of the information which cannot be timely provided on the financial disclosure statement, including the question number(s) where the information would otherwise be reported; and
 - (iv) the date that the employee's automatic extension expires.
 - (3) Failure to file a supplementary financial disclosure statement, or the filing of an incomplete or deficient supplementary financial disclosure statement, shall be subject to the notice and penalty provisions of the Rule as if the supplementary statement were an annual statement of financial disclosure.

SECTION 7400.3

REQUESTING AN EXEMPTION FROM REPORTING ONE OR MORE ITEMS OF INFORMATION WHICH PERTAIN TO AN EMPLOYEE'S SPOUSE OR UNEMANCIPATED CHILDREN

(a) **Definitions.**

- (1) Commission shall mean the Ethics Commission for the Unified Court System.
- (2) Employee shall mean a State-paid judge, justice, officer or employee of the Unified Court System.
- (3) File shall mean to make delivery to the offices of the commission personally, electronically or by mail. The filing date shall be the date the document filed is received in the offices of the commission.
- (4) Financial disclosure statement shall mean the annual statement approved by the Chief Judge pursuant to subdivision 4 of section 211 of the Judiciary Law.
- (5) Job title shall mean the title of the position to which an employee has been elected or appointed.
- (6) Rule shall mean Part 40 of the Rules of the Chief Judge of the State of New York (22 NYCRR).
- (7) Spouse shall mean husband or wife of the employee filing a financial disclosure statement.
- (8) Unemancipated child shall mean any son, daughter, stepson or stepdaughter of the employee filing a financial disclosure statement who is under the age of 18 and unmarried at the time the financial disclosure statement is filed.

(b) **Scope.** Pursuant to section 40.1(i)(7) of the rule, the commission shall permit an employee who is required to file a financial disclosure statement to request an exemption from the requirement to report one or more items of information which pertain to the employee's spouse or unemancipated children. This request will be granted by the commission upon a finding by a majority of the total number of its members without vacancy that the employee's spouse, on his or her own behalf or on behalf of an unemancipated child, or the employee on behalf of an unemancipated child, objects to providing the information necessary to make such disclosure, and that the information that would otherwise be required to be reported will have no material bearing on the discharge of the employee's official duties.

(c) **Procedure.**

- (1) An employee may request an exemption from any requirement to report one or more items of information that pertain to his or her spouse or unemancipated children by filing a written request with the commission on or before the date that his or her annual statement of financial disclosure is due. Filing such a request automatically extends the employee's time to file his or her financial disclosure statement. The commission decision will set forth the date by which the employee's statement must be filed.

- (2) The request for the exemption shall include:
 - (i) the name, home address, work address, work telephone number, and job title of the employee requesting the exemption;
 - (ii) the specific information the spouse or employee objects to reporting on the employee's financial disclosure statement;
 - (iii) a statement that the employee or his or her spouse objects to reporting the information on the financial disclosure statement, giving specific reasons and justifications therefor;
 - (iv) a statement in support of the employee's claim that the information that would otherwise be required to be reported on the financial disclosure statement will have no material bearing on the discharge of the employee's official duties, giving specific reasons and justifications therefor; and
 - (v) documentation supporting the aforesaid statements may be annexed to the request.
- (3) The request for exemption must be signed by the employee requesting the exemption.

(d) Commission action.

- (1) Upon receipt of a request for an exemption from the requirement to report one or more items of information which pertain to an employee's spouse or unemancipated children, the commission shall review the material filed to determine whether an objection has been made by the appropriate person to the reporting of the information, and whether the information for which an exemption is requested will have a material bearing on the discharge of the employee's official duties.
- (2) If the commission determines that additional information would be useful, it may request such information from the employee requesting the exemption. Such additional information must be filed with the commission within the time limit set forth in the commission's written request. If the commission has not received such information within the said time limit, it may render its decision on the information available. The commission, in its discretion, may request a meeting with the employee, or his or her spouse, to discuss the exemption request.
- (3) Unless the commission decides by a majority of the total members of the commission without vacancy that the employee or his or her spouse objects to providing the information necessary to make disclosure, and that the information that would otherwise be required to be reported will have no material bearing on the discharge of the employee's official duties, the commission shall deny the request for exemption. In applying the material bearing standard to decide exemption requests, the commission weighs competing public and private interests including the following:
 - (i) whether the disclosure of the information could pose a safety threat to the employee or his or her family, and the nature of that threat, including its seriousness and imminence;

- (ii) whether the information may relate in a substantial and important way to the employee's official duties;
 - (iii) whether the information could reveal or relate to an actual or potential conflict of interest;
 - (iv) the employee's role in the judicial, administrative or managerial process of the Unified Court System;
 - (v) in the case of a spousal/child exemption request, whether the filer has access, or can obtain access, to the information required to be reported;
 - (vi) whether the standard is being applied in the case of a spousal/child exemption request or a deletion request. The employee's burden is far greater when seeking an exemption request. The granting of an exemption request means that the relevant information will not be reported at all on the financial disclosure statement, while the granting of a deletion request means that the information will be reported on the financial disclosure statement, but deleted from the copy made available to the public; and
 - (vii) such other factors as may be relevant. If an employee requests a spousal exemption on the grounds that he or she has no knowledge of his or her spouse's assets or income, and that his or her spouse refuses to supply this information to him or her, the employee must so state specifically in the form of an affidavit. The employee must, at a minimum, convince the commission that his or her spouse refuses to provide the information, that he or she has no other source regarding this information, and that he or she has made a bona fide attempt to obtain, and cannot obtain, the information. Other potentially relevant, but not necessarily controlling, matters include the circumstances of, and reasons for, a spouse's refusal to provide the employee with the relevant information, the duration and consistency over time of his or her spouse's refusal to disclose such information to the employee, and whether the employee and his or her spouse file or have filed joint Federal, State or local tax returns. If the employee and his or her spouse have filed a joint tax return, the employee must at a minimum report such information as is available from that return. Judiciary Law, section 211(4) and Part 40 of this Title establish a strong public policy favoring disclosure. Thus employees otherwise required to file, who have requested exemptions, must demonstrate that an individual exception to this policy is warranted.
- (4) The commission shall give written notice of its decision to the employee requesting the exemption of its decision.
- (e) Separation from Spouse. An employee is not required to report any information pertaining to his or her spouse, if at the time the employee files his or her financial disclosure statement he or she is living separate and apart from his or her spouse:
- (1) pursuant to a judicial order, decree or judgment or a legally binding separation agreement; or
 - (2) with the intention of terminating the marriage or remaining permanently separated.

SECTION 7400.4

DELETION OF ONE OR MORE ITEMS OF INFORMATION FROM THE COPY OF THE FINANCIAL DISCLOSURE STATEMENT MADE AVAILABLE TO THE PUBLIC

(a) Definitions.

- (1) Commission shall mean the Ethics Commission for the Unified Court System.
- (2) Employee shall mean a State-paid judge, justice, officer or employee of the Unified Court System.
- (3) File shall mean to make delivery to the offices of the commission personally, electronically or by mail. The filing date shall be the date the document filed is received in the offices of the commission.
- (4) Financial disclosure statement shall mean the annual statement approved by the Chief Judge pursuant to subdivision 4 of section 211 of the Judiciary Law.
- (5) Job title shall mean the title of the position to which an employee has been elected or appointed.
- (6) Rule shall mean Part 40 of the Rules of the Chief Judge of the State of New York (22 NYCRR).

- (b) **Scope.** Pursuant to section 40.1(i)(6) of the rule, the commission shall permit an employee who is required to file a financial disclosure statement to request that the commission delete from the copy of the financial disclosure statement made available for public inspection one or more items of information. This request will be granted by the commission upon a finding by a majority of the total number of its members without vacancy that the information that would otherwise be required to be made available for public inspection will have no material bearing on the discharge of the employee's official duties.

(c) Procedure.

- (1) An employee may request the deletion of one or more items of information from the copy of the financial disclosure statement made available to the public by filing a written request with the commission on or before the date that his or her annual statement of financial disclosure is due.
- (2) The request for the deletion shall include:
 - (i) the name, home address, work address, work telephone number, and job title of the employee requesting the deletion; and
 - (ii) the information which the employee seeks to have deleted; and
 - (iii) a statement in support of the employee's claim that the information that would otherwise be made available for public inspection will have no material bearing on the discharge of the employee's official duties, giving specific reasons and justifications therefor. Documentation supporting this statement may be annexed to a written request. If a request requires documentation, it can not be filed electronically.

- (3) A written request for deletion must be signed by the employee requesting the deletion. The request must be filed: with a paper statement containing the information sought to be deleted; or after an electronic statement containing the information sought to be deleted has been filed.

(d) **Commission action.**

- (1) Upon receipt of a request for deletion of one or more items of information from the copy of the financial disclosure statement made available to the public, the commission shall review the material filed to determine if the information will have a material bearing on the discharge of the employee's official duties.
- (2) If the commission determines that additional information would be useful, it may request such information from the employee requesting the deletion. The commission, in its discretion, may request a meeting with the employee to discuss the deletion request.
- (3) Unless the commission decides by a majority of the total members of the commission without vacancy that the information that would otherwise be required to be made available for public inspection will have no material bearing on the discharge of the employee's official duties, the commission shall deny the request for deletion. In applying the material bearing standard to decide deletion requests, the commission weighs competing public and private interests including the following:
 - (i) whether the disclosure of the information could pose a safety threat to the employee or his or her family, and the nature of that threat, including its seriousness and imminence;
 - (ii) whether the information may relate in a substantial and important way to the employee's official duties;
 - (iii) whether the information could reveal or relate to an actual or potential conflict of interest;
 - (iv) the employee's role in the judicial, administrative or managerial process of the Unified Court System;
 - (v) whether the standard is being applied in the case of a spousal/child exemption request or a deletion request. The employee's burden is far greater when seeking an exemption request. The granting of an exemption request means that the relevant information will not be reported at all on the financial disclosure statement, while the granting of a deletion request means that the information will be reported on the financial disclosure statement, but deleted from the copy made available to the public; and
 - (vi) such other factors as may be relevant. Judiciary Law, section 211(4) and Part 40 of this Title establish a strong public policy favoring disclosure. Thus employees otherwise required to file, who have requested deletions, must demonstrate that an individual exception to this policy is warranted.
- (4) The commission shall give written notice of its decision to the employee requesting the deletion.

SECTION 7400.5

PUBLIC INSPECTION OF FINANCIAL DISCLOSURE STATEMENTS

(a) Definitions.

- (1) Commission shall mean the Ethics Commission for the Unified Court System.
- (2) Employee shall mean a state-paid judge, justice, officer or employee of the Unified Court System.
- (3) File shall mean to make delivery to the offices of the Commission personally, electronically or by mail. The filing date shall be the date the document filed is received in the offices of the Commission.
- (4) Financial disclosure statement shall mean the annual statement approved by the Chief Judge pursuant to subdivision 4 of section 211 of the Judiciary Law.
- (5) Rule shall mean Part 40 of the Rules of the Chief Judge of the State of New York (22 NYCRR).

(b) Scope. Pursuant to section 40.1(p) of this Title, the Commission shall make available for public inspection the information set forth in annual statements of financial disclosure filed pursuant to law and maintained by the Commission, except the following information which shall remain confidential: categories of value and amount in statements pertaining to calendar years prior to 2014; names of unemancipated children; and information deleted from public inspection pursuant to section 40.1(l)(6) of this Title. The Commission shall also make Notices of Delinquency available for public inspection. The Commission maintains financial disclosure statements pertaining to the current reporting year, and the six previous reporting years.

(c) Statement Inspection Officer.

- (1) The Executive Director of the Commission is designated as the Statement Inspection Officer.
- (2) The Statement Inspection Officer shall:
 - (i) maintain a current list of financial disclosure statements available for public inspection;
 - (ii) respond to all inquiries regarding public inspection of financial disclosure statements;
 - (iii) receive and process requests for public inspection of financial disclosure statements;
 - (iv) insure that information deleted from public inspection pursuant to law and regulation is not made available for public inspection;
 - (v) designate one or more members of the staff of the Commission to serve as Assistant Statement Inspection Officer; such Assistant(s) shall have the same function and responsibilities as the Statement Inspection Officer except as to the designation of other Assistants.

(d) Public Inspection of Statements.

- (1) An inspector may obtain copies of financial disclosure statements prepared for public inspection by regular mail or email, or inspect the copies in the Ethics Commission office. Office inspections can be scheduled every day the office is open for business during the hours of 10:00 a.m. through 12:00 p.m. and 2:00 p.m. through 4:00 p.m., or other times at the discretion of the Statement Inspection Officer.
- (2) An inspector must file a written request for public inspection. Public inspection copies of statements will be provided to the inspector in a timely manner determined by the needs of the inspector, the number of statements requested, and the workload of the Ethics Commission staff at the time of the request.
- (3) The financial disclosure statement of an employee who has filed an exemption or deletion request, or whose statement must be revised to cure a deficiency, shall not be available for public inspection pending a decision on the request, or the receipt of the revised statement. The fact that an exemption or deletion request has been made will be confidential; all documents pertaining to the request, including the decision, will also be confidential and not available for public inspection. All documents pertaining to the revision of a financial disclosure statement are confidential and shall not be available for public inspection. If a filer leaves his or her position with the Unified Court System without revising his or her financial disclosure statement, the statement will be made available for public inspection without the revision.
- (4) If the Commission has denied an exemption or deletion request, the financial disclosure statement of the employee who made the request shall not be available for public inspection for 21 days from the date on which notice of the denial is mailed to the employee by the Commission.
- (5) All documents pertaining to a request for public inspection shall be confidential and not available for public inspection. The identities of public inspectors, and the fact that a statement has been inspected, are confidential and will not be made available to the public or to filers.
- (6) An unredacted copy of a financial disclosure statement, including information not available for public inspection, may be released in compliance with a subpoena.

SECTION 7400.6

INVESTIGATION BY COMMISSION

7400.6(a) Definitions

(a) Definitions.

- (1) Commission shall mean the Ethics Commission for the Unified Court System.
- (2) Executive director shall mean the Executive Director of the Ethics Commission for the Unified Court System as appointed pursuant to section 40.1(i)(1) of the Chief Judge's rule.
- (3) Employee shall mean a State-paid judge, justice, officer or employee of the Unified Court System.
- (4) File shall mean to make delivery to the office of the commission personally, electronically or by mail. The filing date shall be the date the document filed is received in the office of the commission.
- (5) Financial disclosure statement shall mean the annual statement approved by the Chief Judge pursuant to subdivision 4 of section 211 of the Judiciary Law.
- (6) Rule shall mean Part 40 of the Rules of the Chief Judge of the State of New York (22 NYCRR).

(b) Scope. Pursuant to section 40.1(o)(2) of the rule, the commission is authorized to conduct any investigation necessary to carry out its responsibilities under the provisions of section 40.1 of the rule. In the course of an investigation, the commission is authorized to administer oaths or affirmations, subpoena witnesses, compel their attendance and require the production of any books or records or other materials which it may deem relevant or material.

(c) Procedure.

- (1) The subjects of a commission investigation may include but are not limited to the timeliness or accuracy of an employee's filing of a financial disclosure statement, an employee's request for an extension of time to file, an employee's request for an exemption from the requirement to file, an employee's request for an exemption from reporting information pertaining to his or her spouse or child, or an employee's request for deletion of certain information from the copy of his or her statement made available to the public, or such other matters as arise in connection with the discharge of the commission's duties.
- (2) The commission may contact the employee who did file, or should have filed, the financial disclosure statement that is the subject of the investigation, another employee, or any other person, to obtain information relevant to the investigation. This contact may be by telephone or by letter.

- (3) If the employee or other person fails or refuses to respond to the telephone call or letter, or if the commission has reasonable cause to believe that it is necessary or appropriate, the commission may require the appearance of the employee or other person before the commission, or, if so authorized by the commission, one or more of its members, in which event the employee or other person shall be notified in writing of his or her required appearance either personally, at least 10 days prior to such appearance, or by certified mail, to be deposited in the U.S. mail at least 10 days prior to such appearance. Such written notice shall set forth the time and place of the appearance, the nature of the information the commission is seeking, and the books, records or other materials that the employee or other person must present to the commission.
- (4) If the employee or other person fails to appear or secure an adjournment in response to such written notice, or fails to produce the sought after books, records or other materials, the commission may compel his or her appearance and/or the production of the required books, records or other materials with a subpoena and/or subpoena duces tecum issued pursuant to CPLR, section 2303.
- (5) The employee or other person may request, in writing, an adjournment of his or her appearance. An adjournment will be granted for good cause only. If the request is granted, the commission will notify the employee or other person in writing of the new date.

(d) Appearance before the commission.

- (1) An employee or other person appearing before the commission shall answer questions and produce the books, records or other materials sought by the commission. He or she shall have the right to be represented by an attorney and to make an oral statement and to present relevant data and material, including a written statement. The attorney shall be permitted to advise the employee or other person and otherwise confer with her or him.
 - (2) At the commencement of the appearance, the chair of the commission, or his or her designee, may swear in the employee or other person by administering an oath or affirmation.
 - (3) The appearance may be recorded in any way permitted by the CPLR. If the appearance is recorded, a transcript shall be provided to the employee or other person without fee upon his or her written request.
- (e) Commission action. If the commission finds that further action is necessary or appropriate, it may give written notification to the Chief Administrator of the Courts, the Commission on Judicial Conduct, or any other appropriate agency or authority of the results of its investigation and request that further action be taken. The commission shall give written notification to the employee who was the subject of the investigation that it has determined that further action is necessary and that the matter has been referred to the Chief Administrator of the Courts, the Commission on Judicial Conduct, or other appropriate agency or authority.

SECTION 7400.7

FILING REQUIREMENTS FOR CERTAIN JUDICIAL CANDIDATES

7400.7(a) Definitions

(a) Definitions.

- (1) Candidate shall mean a candidate for public election to judicial office, who is required to file an annual statement of financial disclosure pursuant to 22 NYCRR Part 100. Candidate shall not mean a candidate for judicial office in the town and village courts.
- (2) Commission shall mean the Ethics Commission for the Unified Court System.
- (3) File shall mean to make delivery to the offices of the Commission personally or by mail. The filing date shall be the date the document filed is received in the offices of the Commission.
- (4) Financial disclosure statement shall mean the annual statement of financial disclosure approved by the Chief Judge pursuant to subdivision 4 of section 211 of the Judiciary Law.

(b) Scope.

- (1) Pursuant to section 100.5(A)(4)(g) of this Title, a judge or a non-judge who is a candidate for public election to judicial office shall file a financial disclosure statement with the commission within 20 days following the date on which he or she becomes a candidate. However, a judge or non-judge who is an officer or employee of the Unified Court System required to file an annual statement of financial disclosure pursuant to Part 40 of this Title is not required to file pursuant to Part 100 of this Title.
- (2) The Commission shall permit a candidate to request an additional period of time within which to file. This request will be granted if the Commission finds that there is justifiable cause for the extension or that the timely filing of the statement would cause undue hardship.
- (3) The Commission shall permit a candidate to request that the Commission delete one or more items of information from the copy of his or her financial disclosure statement made available for public inspection. This request will be granted by the Commission upon a finding by a majority of the total number of its members without vacancy that the information that would otherwise be required to be made available for public inspection will have no material bearing on the discharge of the candidate's official duties should he or she be elected.
- (4) The Commission shall make available for public inspection the information set forth in annual statements of financial disclosure filed pursuant to law and maintained by the Commission, except the following information which shall remain confidential: categories of value and amount in statements pertaining to calendar years prior to 2014; names of unemancipated children; and information deleted from

public inspection pursuant to section 40.1(l)(6) of this Title. The Commission maintains financial disclosure statements pertaining to the current reporting year, and the six previous reporting years.

(c) Procedure Regarding Filing Extension.

- (1) A candidate may request an extension of time to file a financial disclosure statement on or before the date that his or her annual statement of financial disclosure is due.
- (2) The request for the extension can be made by written application mailed to the Ethics Commission, telephone or email, and shall include:
 - (i)
 - (a) if the request is made by written application mailed to the Ethics Commission, the candidate's name, address, telephone number, and the date he or she became a judicial candidate;
 - (b) if the request is made by telephone or email, the candidate's name, telephone number, and the date he or she became a judicial candidate.
 - (ii) a statement in support of the candidate's claim that an extension of time to file a financial disclosure statement is necessary due to justifiable cause or undue hardship, giving specific reasons and justifications therefor. Documentation supporting this statement may be annexed to the request;
 - (iii) the date certain by which the candidate will file his or her financial disclosure statement.
- (3) The request for an extension must be signed by the candidate requesting the extension, if the request is made by written application mailed to the Ethics Commission.

(d) Commission Action Regarding Extension Requests.

- (1) Upon receipt of a request for extension of time to file a financial disclosure statement, the Commission shall review the material filed to determine if there has been a showing of justifiable cause or undue hardship.
- (2) If the Commission determines that additional information would be useful, it may request such information from the candidate requesting the extension. The Commission, in its discretion, may request a meeting with the candidate to discuss the extension request.
- (3) Unless the Commission decides that there is justifiable cause for an extension of time to file a financial disclosure statement, or that timely filing of such statement would cause undue hardship, the Commission shall deny the request for an extension of time to file a financial disclosure statement.
- (4) The Commission shall give notice of its decision to the candidate requesting an extension of time to file in the same format in which the request was received. If the extension is granted, the decision shall include the date certain on or before which the candidate's financial disclosure statement must be filed.

- (5) Vacation periods, and the ordinary and necessary tasks, routines, and obligations of a candidate's personal and work life shall not constitute undue hardship or justifiable cause for an extension of time to file a financial disclosure statement.
 - (6) No extension of time to file a financial disclosure statement shall be granted to a candidate beyond 35 days after he or she becomes a candidate.
- (e) **Procedure Regarding Deletion Requests.**
- (1) A candidate may request deletion of one or more items of information from the copy of the financial disclosure statement made available to the public by filing a written request with the Commission on or before the date that his or her financial disclosure statement is due.
 - (2) The request for the deletion shall include:
 - (i) the name, home address, work address, and work telephone number of the candidate requesting the deletion;
 - (ii) the information which the candidate seeks to have deleted;
 - (iii) a statement in support of the candidate's claim that the information that would otherwise be made available for public inspection will have no material bearing on the discharge of the candidate's official duties, if he or she is elected, giving specific reasons and justifications therefor. Documentation supporting this statement may be annexed to the request.
 - (3) The request for deletion must be signed by the candidate requesting the deletion, and must be filed with a complete financial disclosure statement containing the information sought to be deleted.
- (f) **Commission Action Regarding Deletion Requests.**
- (1) Upon receipt of a request for deletion of one or more items of information from the copy of the financial disclosure statement made available to the public, the Commission shall review the material filed to determine if the information will have a material bearing on the discharge of the candidate's official duties, if he or she is elected.
 - (2) If the Commission determines that additional information would be useful, it may request such information from the candidate requesting the deletion. The Commission, in its discretion, may request a meeting with the candidate to discuss the deletion request.
 - (3) Unless the Commission decides by a majority of the total members of the Commission without vacancy that the information that would otherwise be required to be made available for public inspection will have no material bearing on the discharge of the candidate's official duties, if he or she is elected, the Commission shall deny the request for deletion. In applying the material bearing standard to decide deletion requests, the Commission weighs competing public and private interests including the following:

- (i) Whether the disclosure of the information could pose a safety threat to the candidate or his or her family, and the nature of that threat, including its seriousness and imminence;
 - (ii) Whether the information may relate in a substantial and important way to the candidate's official duties, if he or she is elected;
 - (iii) (Whether the information could reveal or relate to an actual or potential conflict of interest;
 - (iv) Such other factors as may be relevant. Judiciary Law, section 211(4) and Part 40 of this Title establish a strong public policy favoring disclosure. Thus candidate otherwise required to file, who have requested deletions, must demonstrate that an individual exception to this policy is warranted.
- (4) The Commission shall give written notice of its decision to the candidate requesting the deletion, by overnight mail. The Commission shall also advise the candidate of its decision by telephone.

(g) Public Inspection of Statements.

- (1) An inspector may obtain copies of financial disclosure statements prepared for public inspection by regular mail or email, or inspect the copies in the Ethics Commission office. Office inspections can be scheduled every day the office is open for business during the hours of 10:00 a.m. through 12:00 p.m. and 2:00 p.m. through 4:00 p.m., or other times at the discretion of the Statement Inspection Officer.
- (2) An inspector must file a written request for public inspection. Public inspection copies of statements will be provided to the inspector in a timely manner determined by the needs of the inspector, the number of statements requested, and the workload of the Ethics Commission staff at the time of the request.
- (3) The financial disclosure statement of a candidate who has filed a deletion request shall not be available for public inspection pending a decision on the request. The fact that a deletion request has been made will be confidential; all documents pertaining to the request, including the decision, will also be confidential and not available for public inspection.
- (4) If the Commission has denied a deletion request, the financial disclosure statement of the candidate who made the request shall not be available for public inspection for three days from the date on which notice of the denial is mailed to the candidate by the Commission.
- (5) All documents pertaining to a request for public inspection shall be confidential and not available for public inspection. The identities of public inspectors, and the fact that a statement has been inspected, are confidential and will not be made available to the public or to filers.
- (6) An unredacted copy of a financial disclosure statement, including information not available for public inspection, may be released in compliance with a subpoena.

APPENDIX C - FINANCIAL DISCLOSURE FORM

PAGE 1

PAGE 1

State of New York
ETHICS COMMISSION FOR THE UNIFIED COURT SYSTEM
25 Beaver Street/New York, NY 10004/Room 875
Intranet address: UCS Home Page under "Topics A-Z"
Internet address: www.nycourts.gov/ip/ethics

ANNUAL STATEMENT of FINANCIAL DISCLOSURE: For calendar year 2019

1. NAME

2. (a) CURRENT JOB TITLE

(b) CURRENT WORK ADDRESS

(c) CURRENT WORK TELEPHONE NUMBER

3. (a) CURRENT MARITAL STATUS

IF MARRIED, REPORT SPOUSE'S FULL NAME (INCLUDING MAIDEN NAME WHERE APPLICABLE)

(b) LIST THE NAMES OF ALL UNEMANCIPATED CHILDREN

Answer each of the following questions completely, with respect to calendar year **2019**, unless another period or date is otherwise specified. If additional space is needed, attach additional pages.

Whenever a "value" or "amount" is required to be reported herein, such value or amount shall be reported as being within one of the following **Categories: A- under \$5,000;**

B- \$5,000 to under \$20,000;

C- \$20,000 to under \$60,000;

D- \$60,000 to under \$100,000;

E- \$100,000 to under \$250,000;

F- \$250,000 to under \$500,000

G- \$500,000 to under \$1,000,000;

H- \$1,000,000 to under \$3,000,000;

I- \$3,000,000 to under \$5,000,000;

J- \$5,000,000.00 and over.

A reporting individual shall indicate the category by letter only.

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

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

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

G NONE

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

G NONE

<u>SPOUSE OR CHILD</u>	<u>POSITION</u>	<u>ORGANIZATION</u>	<u>STATE OR LOCAL AGENCY</u>
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5. (a) List the name, address and description of any occupation, employment, (other than the employment listed under Item 2 above) trade, business or profession engaged in by the reporting individual. If such activity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

G NONE

<u>POSITION</u>	<u>NAME AND ADDRESS OF ORGANIZATION</u>	<u>DESCRIPTION</u>	<u>STATE OR LOCAL AGENCY</u>
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5. (b) If the spouse or unemancipated child of the reporting individual was engaged in any occupation, employment, trade, business or profession which activity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name, address and description of such occupation, employment, trade, business or profession and the name of any such agency.

G NONE

<u>SPOUSE OR CHILD</u>	<u>POSITION</u>	<u>NAME AND ADDRESS OF ORGANIZATION</u>	<u>STATE OR LOCAL AGENCY</u>
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6. List any interest, in EXCESS of \$1,000, held by the reporting individual, such individual's spouse or unemancipated child, or partnership of which any such person is a member, or corporation, 10% or more of the stock of which is owned or controlled by any such person, whether vested or contingent, in any contract made or executed by a state or local agency and include the name of the entity which holds such interest and the relationship of the reporting individual or such individual's spouse or such child to such entity and the interest in such contract. Do NOT include bonds and notes. Do NOT list any interest in any such contract on which final payment has been made and all obligations under the contract except for guarantees and warranties have been performed, provided, however, that such an interest must be listed if there has been an ongoing dispute during the calendar year for which this statement is filed with respect to any such guarantees or warranties. Do not list any interest in a contract made or executed by a local agency after public notice and pursuant to a process for competitive bidding or a process for competitive requests for proposals.

G NONE

<u>SELF, SPOUSE OR CHILD</u>	<u>ENTITY WHICH HELD INTEREST IN CONTRACT</u>	<u>RELATIONSHIP TO ENTITY INTEREST IN CONTRACT</u>	<u>CONTRACTING STATE OR LOCAL AGENCY</u>	<u>CATEGORY OF VALUE OF CONTRACT</u>
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7. List any position the reporting individual held as an officer of any political party or political organization, as a member of any political party committee, or as a political district leader. The term "party" shall have the same meaning as "party" in the election law. The term "political organization" means any party or independent body as defined in the election law or any organization that is affiliated with or a subsidiary of a party or independent body.

G NONE

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Categories: A- under \$5,000; B- \$5,000 to under \$20,000; C- \$20,000 to under \$60,000; D- \$60,000 to under \$100,000; E- \$100,000 to under \$250,000; F- \$250,000 to under \$500,000 G- \$500,000 to under \$1,000,000; H- \$1,000,000 to under \$3,000,000; I- \$3,000,000 to under \$5,000,000; J- \$5,000,000.00 and over.

8. (a) If the reporting individual practices law, works as a real estate broker or agent licensed by the department of state, or practices a profession licensed by the department of education, give a general description of the principal subject areas of matters undertaken by such individual. Additionally, if such an individual practices with a firm or corporation and is a partner or shareholder of the firm or corporation, give a general description of principal subject areas of matters undertaken by such firm or corporation. Do NOT list the names of the individual clients, customers or patients. If the reporting individual is licensed to practice law, is a licensed real estate broker or agent, or is licensed by the department of education, but did not actually engage in such work or practice, so indicate.

G NONE

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

G NONE

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

G NONE

<u>SELF, SPOUSE OR CHILD</u>	<u>NAME OF DONOR</u>	<u>ADDRESS</u>	<u>NATURE OF GIFT</u>	<u>CATEGORY OF VALUE OF GIFT</u>
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10. Identify and briefly describe the source of any reimbursements for expenditures, EXCLUDING campaign expenditures and expenditures in connection with official duties reimbursed by the state, in EXCESS of \$1,000 from each such source. For purposes of this item, the term "reimbursements" shall mean any travel-related expenses provided by nongovernmental sources and for activities related to the reporting individual's official duties such as, speaking engagements, conferences, or factfinding events. The term "reimbursement" does NOT include gifts reported under Item 9.

G NONE

<u>SOURCE</u>	<u>DESCRIPTION</u>
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Categories: A- under \$5,000; B- \$5,000 to under \$20,000; C- \$20,000 to under \$60,000; D- \$60,000 to under \$100,000; E- \$100,000 to under \$250,000; F- \$250,000 to under \$500,000 G- \$500,000 to under \$1,000,000; H- \$1,000,000 to under \$3,000,000; I- \$3,000,000 to under \$5,000,000; J- \$5,000,000.00 and over.

11. List the identity and value, if reasonably ascertainable, of each interest in a trust, estate or other beneficial interest, including retirement plans (other than retirement plans of the State of New York or the City of New York) and deferred compensation plans (e.g., 401, 403b, 457, etc.) established in accordance with the Internal Revenue Code, in which the REPORTING INDIVIDUAL held a beneficial interest in EXCESS of \$1,000 at any time during the preceding year. Do NOT report interests in a trust, estate or other beneficial interest established by or for, or the estate of, a relative.

G NONE

IDENTITY (INCLUDING BANK/FINANCIAL INSTITUTION)

CATEGORY OF VALUE*

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

12. (a) Describe the terms of, and the parties to, any contract, promise or other agreement between the reporting individual and any person, firm, or corporation with respect to the employment of such individual after leaving office or position (other than a leave of absence).

G NONE

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Categories: A- under \$5,000; B- \$5,000 to under \$20,000; C- \$20,000 to under \$60,000; D- \$60,000 to under \$100,000; E- \$100,000 to under \$250,000; F- \$250,000 to under \$500,000 G- \$500,000 to under \$1,000,000; H- \$1,000,000 to under \$3,000,000; I- \$3,000,000 to under \$5,000,000; J- \$5,000,000.00 and over.

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

G NONE

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13. List below the nature and amount of any income in EXCESS of \$1,000 from EACH SOURCE for the reporting individual and such individual's spouse for the taxable year last occurring prior to the date of filing. Nature of income includes, but is not limited to, all income **EARNED BY YOU AND YOUR SPOUSE** (other than that received by you from the employment listed under item 2 above) from compensated employment whether public or private, directorships and other fiduciary positions, contractual arrangements, teaching income, partnerships, honorariums, lecture fees, consultant fees, bank and bond interest, dividends, income derived from a trust, real estate rents, and recognized gains from the sale or exchange of real or other property. Income from a business or profession and real estate rents shall be reported with the source identified by the building address in case of real estate rents and otherwise by the name of the entity and not by the name of the individual customers, clients or tenants, with the aggregate net income before taxes for each building address or entity. The receipt of maintenance received in connection with a matrimonial action, alimony and child support payments shall not be listed.

G NONE !STOP! DO NOT CHECK THE NONE BOX IF YOUR SPOUSE EARNED INCOME FROM EMPLOYMENT IN EXCESS OF \$1,000

<u>SELF/SPOUSE</u>	<u>SOURCE</u>	<u>NATURE</u>	<u>CATEGORY OF AMOUNT</u>
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Categories: A- under \$5,000; B- \$5,000 to under \$20,000; C- \$20,000 to under \$60,000; D- \$60,000 to under \$100,000; E- \$100,000 to under \$250,000; F- \$250,000 to under \$500,000 G- \$500,000 to under \$1,000,000; H- \$1,000,000 to under \$3,000,000; I- \$3,000,000 to under \$5,000,000; J- \$5,000,000.00 and over.

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

G NONE

SOURCE

CATEGORY OF AMOUNT

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

G NONE

ITEM ASSIGNED OR TRANSFERRED

ASSIGNED OR TRANSFERRED TO

CATEGORY OF VALUE

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Categories: A- under \$5,000; B- \$5,000 to under \$20,000; C- \$20,000 to under \$60,000; D- \$60,000 to under \$100,000; E- \$100,000 to under \$250,000; F- \$250,000 to under \$500,000 G- \$500,000 to under \$1,000,000; H- \$1,000,000 to under \$3,000,000; I- \$3,000,000 to under \$5,000,000; J- \$5,000,000.00 and over.

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

G NONE

<u>SELF/ SPOUSE</u>	<u>ISSUING ENTITY</u>	<u>TYPE OF SECURITY</u>	<u>PERCENTAGE OF CORPORATE STOCK OWNED OR CONTROLLED</u> <small>(If more than 5% of publicly traded stock, or more than 10% of stock not publicly traded, is held)</small>	<u>CATEGORY OF MARKET VALUE</u> <small>As of the close of the taxable year last occurring prior to the filing of this statement</small>
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Categories: A- under \$5,000; B- \$5,000 to under \$20,000; C- \$20,000 to under \$60,000; D- \$60,000 to under \$100,000; E- \$100,000 to under \$250,000; F- \$250,000 to under \$500,000 G- \$500,000 to under \$1,000,000; H- \$1,000,000 to under \$3,000,000; I- \$3,000,000 to under \$5,000,000; J- \$5,000,000.00 and over.

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

G NONE

<u>SELF/SPOUSE CORPORATION</u>	<u>LOCATION*</u>	<u>SIZE</u>	<u>GENERAL NATURE</u>	<u>ACQUISITION DATE</u>	<u>PERCENTAGE OF OWNERSHIP</u>	<u>CATEGORY OF MARKET VALUE</u>
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*Including number, street, town and state.

18. List below all notes and accounts receivable, other than from goods or services sold, held by the reporting individual at the close of the taxable year last occurring prior to the date of filing and other debts owed to such individual at the close of the taxable year last occurring prior to the date of filing, in EXCESS of \$1,000, including the name of the debtor, type of obligation, date due and the nature of the collateral securing payment of each, if any, excluding securities reported in Item 16 herein above. Debts, notes and accounts receivable owed to the individual by a relative shall not be reported.

G NONE

<u>NAME OF DEBTOR</u>	<u>TYPE OF OBLIGATION, DATE DUE, AND NATURE OF COLLATERAL, IF ANY</u>	<u>CATEGORY OF AMOUNT</u>
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Categories: A- under \$5,000; B- \$5,000 to under \$20,000; C- \$20,000 to under \$60,000; D- \$60,000 to under \$100,000; E- \$100,000 to under \$250,000; F- \$250,000 to under \$500,000 G- \$500,000 to under \$1,000,000; H- \$1,000,000 to under \$3,000,000; I- \$3,000,000 to under \$5,000,000; J- \$5,000,000.00 and over.

19. List below all liabilities of the reporting individual and such individual's spouse in EXCESS of \$10,000 as of the date of filing of this statement, other than liabilities to a relative. DO NOT list liabilities incurred by, or guarantees made by, the reporting individual or such individual's spouse or by any proprietorship, partnership or corporation in which the reporting individual or such individual's spouse has an interest, when incurred or made in the ordinary course of the trade, business or professional practice of the reporting individual or such individual's spouse. Include the name of the creditor and any collateral pledged by such individual to secure payment of any such liability. A reporting individual shall not list any obligation to pay maintenance in connection with a matrimonial action, alimony or child support payments. Any loan issued in the ordinary course of business by a financial institution to finance educational costs, the cost of home purchase or improvements for a primary or secondary residence, or purchase of a personally owned motor vehicle, household furniture or appliances shall be excluded. If any such reportable liability has been guaranteed by any third person, list the liability and name the guarantor.

G NONE

<u>NAME OF CREDITOR OR GUARANTOR</u>	<u>TYPE OF LIABILITY AND COLLATERAL, IF ANY</u>	<u>CATEGORY OF AMOUNT</u>
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Categories for question 19: B- \$5,000 to under \$20,000; C- \$20,000 to under \$60,000; D- \$60,000 to under \$100,000; E- \$100,000 to under \$250,000; F- \$250,000 to under \$500,000 G- \$500,000 to under \$1,000,000; H- \$1,000,000 to under \$3,000,000; I- \$3,000,000 to under \$5,000,000; J- \$5,000,000.00 and over.

The requirements of law relating to the reporting of financial interests are in the public interest and no adverse inference of unethical or illegal conduct or behavior will be drawn merely from compliance with these requirements.

Signature of Reporting Individual

Date (month/day/year)

STOP DID YOU REPORT YOUR SPOUSE'S INCOME FROM EMPLOYMENT IN QUESTION 13?

DID YOU ANSWER EVERY QUESTION?

DID YOU SIGN AND DATE YOUR STATEMENT?

APPENDIX D - RULES OF THE CHIEF ADMINISTRATOR, 22NYCRR §100.5(A)(4)(G)

STATUTORY AUTHORITY: CONSTITUTION, ART. VI, §20

(A) Incumbent Judges and Others Running for Public Election to Judicial Office.

* * *

(4) A judge or non-judge who is a candidate for public election to judicial office:

* * *

(g) shall file with the Ethics Commission for the Unified Court System a financial disclosure statement containing the information and in the form set forth in the annual statement of financial disclosure adopted by the Chief Judge of the State of New York. Such statement shall be filed within 20 days following the date on which the judge or non-judge becomes such a candidate; provided, however, that the Ethics Commission for the Unified Court System may grant an additional period of time within which to file such statement in accordance with rules promulgated pursuant to section 40.1(i)(3) of the Rules of the Chief Judge of the State of New York (22 NYCRR). Notwithstanding the foregoing, compliance with this subparagraph shall not be necessary where a judge or non-judge already is or was required to file a financial disclosure statement for the preceding calendar year pursuant to Part 40 of the Rules of the Chief Judge.

APPENDIX E - JOB TITLES OF DESIGNATED POLICYMAKERS

Some of the Job Titles of Individuals Consistently Designated Policymakers for the Purpose of Financial Disclosure.

If a title is held by more than one person, not all persons holding the title have necessarily been designated policymakers.

OCA ADMINISTRATION AND TRIAL COURTS

- Chief Administrative Judge
- Deputy Chief Administrative Judge
- Deputy Chief Administrative Judge for Justice Initiatives
- Chief of Policy and Planning Counsel
- Chief of Operations,
- Dean of the Judicial Institute First Deputy Counsel
- Deputy Counsel
- Deputy Counsel Family Law
- Deputy Counsel Criminal Justice
- Executive Director
- Special Counsel
- Deputy Counsel Justice Courts
- Special Counsel for Ethics Counsel to the NYS CLE
- Inspector General
- Director, OCA
- Director of Technology
- Director of Court Research
- Director of Public Affairs
- Director Public Information
- Deputy Director of Human Resources
- Deputy Director Labor Relations
- Deputy Director of IT Services for Statewide Network Services
- Deputy Director of Administrative Services
- Chief Records Officer
- Chief Budget Analyst
- Chief Internal Auditor
- Deputy Inspector General
- Assistant Deputy Counsel

- District Executive
- Deputy District Executive
- Senior Administrative Assistant
- Chief Clerks
- Counsels to County Clerk
- County Clerks Commissioners of Jurors
- Deputy Chief Clerks
- Deputy County Clerks NYC

APPELLATE DIVISIONS

- Presiding Justice
- Associate Justice
- Clerk of the Court
- Deputy Clerk of the Court
- Chief Attorney, Grievance Committee
- Mental Hygiene Legal Services Director

COURT OF APPEALS

- Chief Judge Court of Appeals
- Associate Justice Court of Appeals
- Clerk
- Deputy Clerk
- Chief Motion Clerk
- Consultation Clerk
- Assistant Consultation Clerk
- Chief Court Attorney
- Chief Legal Reference Attorney
- Director, Management and Operations
- State Reporter
- Member of the Board (of State Law Examiners)
- Executive Director Board (of State Law Examiners)
- Deputy Executive Director Board (of State Law Examiners)

APPENDIX F - JOB TITLES FILING EXEMPTIONS GRANTED

Employees In The Following Job Titles Were Exempted From Filing Financial Disclosure Statements in 2020.

- Legal Editor
- Senior Legal Editor
- Chief Court Attendant, Appellate Division
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