

STATE OF NEW YORK  
JOINT COMMISSION ON PUBLIC ETHICS

In the Matter of

STATE ADVISERS, LLC,

**NOTICE OF HEARING**

Alleged Violations of §§1-e and 1-h of  
Article 1-A of the New York State Legislative Law.

**TO: STATE ADVISERS, LLC**  
**100 Quintin Roosevelt Boulevard, Suite 101**  
**Garden City, New York 11530**

**PLEASE TAKE NOTICE** that you are in breach of the Settlement Agreement entered between State Advisers, LLC and the New York State Joint Commission on Public Ethics (“Commission”) and that the Commission shall hold a hearing to determine whether you violated Article 1-A of the Legislative Law §§ 1-e and 1-h and whether a civil penalty should be assessed for your failure to timely file Lobbyist Statements of Registrations, Bimonthly Reports, and supporting documents as required by Article 1-A of the Legislative Law (“Lobbying Act”).

**The hearing is scheduled for Wednesday, July 27, 2016 at 11:00 a.m.,** at the Joint Commission on Public Ethics, at 540 Broadway, Albany, New York, 12207. The hearing officer of record will be Judge Elaine Jackson Stack. The rules governing the hearing are set forth in 19 NYCRR Part 941. The hearing is scheduled to be concluded within one day, unless you indicate that you need additional time to present evidence.

An adjournment may be granted upon a showing of good cause that you are unavailable to attend at the scheduled time. You may submit a written request for adjournment to the hearing officer of record at the address noted above accompanied by an affidavit which contains sufficient detail to allow the hearing officer to rule on the request. **Failure to appear for the scheduled hearing may result in the disposition of your case and the assessment of a civil penalty in your absence.**

The Commission will provide interpretation for hearing impaired parties and participants on request. Any such request must be made in writing and received by the Commission at least one week prior to the hearing date.

You have the right to be represented, to testify, to produce witnesses, to present documentary evidence and to examine opposing witnesses and evidence. You may submit all or part of your evidence in written form, subject to the discretion of the hearing officer.

Attached is a plain language summary of the Commission's regulations governing adjudicatory proceedings.

Please be advised that, pursuant to Lobbying Act §1-o, a finding that you knowingly and willfully failed to file Statements of Registrations, Bimonthly Reports, and supporting documentation subjects you to a civil penalty in an amount not to exceed \$25,000 per violation or three times the amount you failed to report properly or unlawfully contributed, expended, gave or received, to be assessed by the Commission.

NYS STATE JOINT COMMISSION ON PUBLIC ETHICS

Dated: June 30, 2016