



LEGISLATIVE ETHICS COMMISSION

STATE OF NEW YORK

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SENATE EXT. 2142 • ASSEMBLY EXT. 5218

RECEIVED

ANNUAL STATEMENT OF FINANCIAL DISCLOSURE

For Calendar Year 2020

MAY 17 2021
BY SEL
LEG. ETHICS COMM.

1. Name FREDERICK J. AKSHAR II
2. (a) Title of Position SENATOR
(b) Department, Agency or other Governmental Entity NYS SENATE
(c) Address of Present Office 44 HAWKEY ST, SUITE 11003 BINGHAMTON NY 13905
(d) Office Telephone Number 607-773-8771
3. (a) Marital Status MARRIED. If married, please give spouse's full name including maiden name where applicable.
JESSICA ANN (FIACCO) AKSHAR
(b) List the names of all unemancipated children.

Answer each of the following questions completely, with respect to calendar year 2020, 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 in Table I or Table II of this subdivision as called for in the question: 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 the 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.

Position	Organization	State or Local Agency
State Member	AKSHAN CONSULTING, LLC	DEPT OF STATE

- (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 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.

Position	Organization	State or Local Agency
	N/A	

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.

Position	Name & Address of Organization	Description	State or Local Agency
Police Officer	Port Dickinson Police Dept 1816 CHENANGO ST Binghamton, NY 13901	Law Enforcement	LOCAL
Owner	AKEMAN CONSULTING, LLC	PRIVATE INVESTIGATION SECURITY CONSULTING	DEPT OF STATE

(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.

Position	Name & Address of Organization	Description	State or Local Agency
NYS LICENSED REAL ESTATE PERSON	Howard Hanna 4747 VESTAL PKWY E. VESTAL, NY 13850	AGENT	DEPT OF STATE

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.

Self, Spouse or Child	Entity Which Held Interest in Contract	Relationship to Entity and Interest in Contract	Contracting State or Local Agency	Category of Value of Contract (In Table II)
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N/A

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 party 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.

N/A

8. (a) If the reporting individual practices law, is licensed by the department of state as a real estate broker or agent or practices a profession licensed by the department of education, or works as a member or employee of a firm required to register pursuant to section one-e of the legislative law as a lobbyist, describe the services rendered for which compensation was paid including a general description of the principal subject areas of matters undertaken by such individual and principal duties performed. Specifically state whether the reporting individual provides services directly to clients. 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.

N/A

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

If the reporting individual personally provides services to any person or entity, or works as a member or employee of a partnership or corporation that provides such services (referred to hereinafter as a "firm"), then identify each client or customer to whom the reporting individual personally provided services, or who was referred to the firm by the reporting individual, and from whom the reporting individual or his or her firm earned fees in excess of \$10,000 during the reporting period for such services rendered in direct connection with:

- (i) A contract in an amount totaling \$50,000 or more from the state or any state agency for services, materials, or property;
- (ii) A grant of \$25,000 or more from the state or any state agency during the reporting period;
- (iii) A grant obtained through a legislative initiative during the reporting period; or
- (iv) A case, proceeding, application or other matter that is not a ministerial matter before a state agency during the reporting period.

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

The disclosure requirement in this question shall not require disclosure of clients or customers receiving medical or dental services, mental health services, residential real estate brokering services, or insurance brokering services from the reporting individual or his or her firm. The reporting individual need not identify any client to whom he or she or his or her firm provided legal representation with respect to investigation or prosecution by law enforcement authorities, bankruptcy, or domestic relations

matters. With respect to clients represented in other matters, where disclosure of a client's identity is likely to cause harm, the reporting individual shall request an exemption from the joint commission pursuant to paragraph (i) of subdivision nine of section ninety-four of the executive law, provided, however, that a reporting individual who first enters public office after July first, two thousand twelve, need not report clients or customers with respect to matters for which the reporting individual or his or her firm was retained prior to entering public office.

Client

Nature of Services Provided

NOT APPLICABLE

(b-1) APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE SERVICES THAT ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN (FOR PURPOSES OF THIS QUESTION, "SERVICES" SHALL MEAN CONSULTATION, REPRESENTATION, ADVICE OR OTHER SERVICES):

If the reporting individual receives income from employment reportable in question 8(a) and personally provides services to any person or entity, or works as a member or employee of a partnership or corporation that provides such services (referred to hereinafter as a "firm"), the reporting individual shall identify each client or customer to whom the reporting individual personally provided services, or who was referred to the firm by the reporting individual, and from whom the reporting individual or his or her firm earned fees in excess of \$10,000 during the reporting period in direct connection with:

- (i) A contract in an amount totaling \$10,000 or more from the state or any state agency for services, materials, or property;
- (ii) A grant of \$10,000 or more from the state or any state agency during the reporting period;
- (iii) A grant obtained through a legislative initiative during the reporting period; or
- (iv) A case, proceeding, application or other matter that is not a ministerial matter before a state agency during the reporting period.

For such services rendered by the reporting individual directly to each such client, describe each matter that was the subject of such representation, the services actually provided and the payment received.

For payments received from clients referred to the firm by the reporting individual, if the reporting individual directly received a referral fee or fees for such referral, identify the client and the payment so received.

For purposes of this question, "referred to the firm" shall mean: having intentionally and knowingly taken a specific act or series of acts to intentionally procure for the reporting individual's firm or having knowingly solicited or directed to the reporting individual's firm in whole or substantial part, a person or entity that becomes a client of that firm for the purposes of representation for a matter as defined in clauses (i) through (iv) of this subparagraph, as the result of such procurement, solicitation or direction of the reporting individual. A reporting individual need not disclose activities performed while lawfully acting in his or her capacity as provided in paragraphs (c), (d), (e) and (f) of subdivision seven of section seventy-three of this article.

Client	Matter	Nature of Services Provided	Category of Amount (In Table I)
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N/A			
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(b-2) APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE SERVICES THAT ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN (FOR PURPOSES OF THIS QUESTION, "SERVICES" SHALL MEAN CONSULTATION, REPRESENTATION, ADVICE OR OTHER SERVICES):

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

Client	Services Actually Provided	Category of Amount (In Table I)
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N/A		
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FOLLOWING IS AN ILLUSTRATIVE, NON-EXCLUSIVE LIST OF EXAMPLES OF DESCRIPTIONS OF "SERVICES ACTUALLY PROVIDED":

* REVIEWED DOCUMENTS AND CORRESPONDENCE;

- * REPRESENTED CLIENT (IDENTIFY CLIENT BY NAME) IN LEGAL PROCEEDING;
- * PROVIDED LEGAL ADVICE ON CLIENT MATTER (IDENTIFY CLIENT BY NAME);
- * CONSULTED WITH CLIENT OR CONSULTED WITH LAW PARTNERS/ASSOCIATES/MEMBERS OF FIRM ON CLIENT MATTER (IDENTIFY CLIENT BY NAME);
- * PREPARED CERTIFIED FINANCIAL STATEMENT FOR CLIENT (IDENTIFY CLIENT BY NAME);
- * REFERRED INDIVIDUAL OR ENTITY (IDENTIFY CLIENT BY NAME) FOR REPRESENTATION OR CONSULTATION;
- * COMMERCIAL BROKERING SERVICES (IDENTIFY CUSTOMER BY NAME);
- * PREPARED CERTIFIED ARCHITECTURAL OR ENGINEERING RENDERINGS FOR CLIENT (IDENTIFY CUSTOMER BY NAME);
- * COURT APPOINTED GUARDIAN OR EVALUATOR (IDENTIFY COURT NOT CLIENT).

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

Services Actually Provided

Category of Amount (Table I)

N/A

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

The disclosure requirement in questions (b-1) and (b-2) shall not require disclosing clients or customers receiving medical, pharmaceutical or dental services, mental health services, or residential real estate brokering services from the reporting individual or his or her firm or if federal law prohibits or limits disclosure. The reporting individual need not identify any client to whom he or she or his or her firm provided legal representation with respect to investigation or prosecution by law enforcement authorities, bankruptcy, family court, estate planning, or domestic relations matters, nor shall the reporting individual identify individuals represented pursuant to an insurance policy but the reporting individual shall in such circumstances only report the entity that provides compensation to the reporting individual; with respect to matters in which the client's name is required by law to be kept confidential (such as matters governed by the family court act) or in matters in which the reporting individual represents or provides services to minors, the client's name may be replaced with initials. To the extent that the reporting individual, or his or her firm, provided legal representation with respect to an initial public offering, and

professional disciplinary rules, federal law or regulations restrict the disclosure of information relating to such work, the reporting individual shall (i) disclose the identity of the client and the services provided relating to the initial public offering to the office of court administration, who will maintain such information confidentially in a locked box; and (ii) include in his or her response to questions (b-1) and (b-2) that pursuant to this paragraph, a disclosure to the office of court administration has been made. Upon such time that the disclosure of information maintained in the locked box is no longer restricted by professional disciplinary rules, federal law or regulation, the reporting individual shall disclose such information in an amended disclosure statement in response to the disclosure requirements in questions (b-1) and (b-2). The office of court administration shall develop and maintain a secure portal through which information submitted to it pursuant to this paragraph can be safely and confidentially stored. With respect to clients represented in other matters not otherwise exempt, the reporting individual may request an exemption to publicly disclosing the name of that client from the joint commission pursuant to paragraph (i) of subdivision nine of section ninety-four of the executive law, or from the office of court administration. In such application, the reporting individual shall state the following: "My client is not currently receiving my services or seeking my services in connection with:

(i) A proposed bill or resolution in the senate or assembly during the reporting period;

(ii) A contract in an amount totaling \$10,000 or more from the state or any state agency for services, materials, or property;

(iii) A grant of \$10,000 or more from the state or any state agency during the reporting period;

(iv) A grant obtained through a legislative initiative during the reporting period; or

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

In reviewing the request for an exemption, the joint commission or the office of court administration may consult with bar or other professional associations and the legislative ethics commission for individuals subject to its jurisdiction and may consider the rules of professional conduct. In making its determination, the joint commission or the office of court administration shall conduct its own inquiry and shall consider factors including, but not limited to: (i) the nature and the size of the client; (ii) whether the client has any business before the state; and if so, how significant the business is; and whether the client has any particularized interest in pending legislation and if so how significant the interest is; (iii) whether disclosure may reveal trade secrets; (iv) whether disclosure could reasonably result in retaliation against the client; (v) whether disclosure may cause undue harm to the client; (vi) whether disclosure may result in undue harm to the attorney-client relationship; and (vii) whether disclosure may result in an unnecessary invasion of privacy to the client.

The joint commission or, as the case may be, the office of court administration, shall promptly make a final determination in response to such request, which shall include an explanation for its determination. The office of court administration shall issue its final determination within three days of receiving the request. Notwithstanding any other provision of law or any professional disciplinary rule to the contrary, the disclosure of the identity of any client or customer in response to this question shall not constitute professional misconduct or a ground for disciplinary action of any kind, or form the basis for any civil or criminal cause of action or proceeding. A reporting individual who first enters public office after January first, two thousand sixteen, need not report clients or customers with respect to matters for which the reporting individual or his or her firm was retained prior to entering public office.

(c) APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE SERVICES THAT ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN:

If the reporting individual receives income of ten thousand dollars or greater from any employment or activity reportable under question 8(a), identify each registered lobbyist who has directly referred to such individual a client who was successfully referred to the reporting individual's business and from whom the reporting individual or firm received a fee for services in excess of five thousand dollars. Report only those referrals that were made to a reporting individual by direct communication from a person known to such reporting individual to be a registered lobbyist at the time the referral is made. With respect to each such referral, the reporting individual shall identify the client, the registered lobbyist who has made the referral, the category of value of the compensation received and a general description of the type of matter so referred. A reporting individual need not disclose activities performed while lawfully acting pursuant to paragraphs (c), (d), (e) and (f) of subdivision seven of section seventy-three of this article. The disclosure requirements in this question shall not require disclosing clients or customers receiving medical, pharmaceutical or dental services, mental health services, or residential real estate brokering services from the reporting individual or his or her firm or if federal law prohibits or limits disclosure. The reporting individual need not identify any client to whom he or she or his or her firm provided legal representation with respect to investigation or prosecution by law enforcement authorities, bankruptcy, family court, estate planning, or domestic relations matters, nor shall the reporting individual identify individuals represented pursuant to an insurance policy but the reporting individual shall in such circumstances only report the entity that provides compensation to the reporting individual; with respect to matters in which the client's name is required by law to be kept confidential (such as matters governed by the family court act) or in matters in which the reporting individual represents or provides services to minors, the client's name may be replaced with initials. To the extent that the reporting individual, or his or her firm, provided legal representation with respect to an

initial public offering, and federal law or regulations restricts the disclosure of information relating to such work, the reporting individual shall (i) disclose the identity of the client and the services provided relating to the initial public offering to the office of court administration, who will maintain such information confidentially in a locked box; and (ii) include in his or her response a statement that pursuant to this paragraph, a disclosure to the office of court administration has been made. Upon such time that the disclosure of information maintained in the locked box is no longer restricted by federal law or regulation, the reporting individual shall disclose such information in an amended disclosure statement in response to the disclosure requirements of this paragraph. The office of court administration shall develop and maintain a secure portal through which information submitted to it pursuant to this paragraph can be safely and confidentially stored. With respect to clients represented in other matters not otherwise exempt, the reporting individual may request an exemption to publicly disclosing the name of that client from the joint commission pursuant to paragraph (i) of subdivision nine of section ninety-four of the executive law, or from the office of court administration. In such application, the reporting individual shall state the following: "My client is not currently receiving my services or seeking my services in connection with:

- (i) A proposed bill or resolution in the senate or assembly during the reporting period;
- (ii) A contract in an amount totaling \$10,000 or more from the state or any state agency for services, materials, or property;
- (iii) A grant of \$10,000 or more from the state or any state agency during the reporting period;
- (iv) A grant obtained through a legislative initiative during the reporting period; or
- (v) A case, proceeding, application or other matter that is not a ministerial matter before a state agency during the reporting period."

In reviewing the request for an exemption, the joint commission or the office of court administration may consult with bar or other professional associations and the legislative ethics commission for individuals subject to its jurisdiction and may consider the rules of professional conduct. In making its determination, the joint commission or the office of court administration shall conduct its own inquiry and shall consider factors including, but not limited to: (i) the nature and the size of the client; (ii) whether the client has any business before the state; and if so, how significant the business is; and whether the client has any particularized interest in pending legislation and if so how significant the interest is; (iii) whether disclosure may reveal trade secrets; (iv) whether disclosure could reasonably result in retaliation against the client; (v) whether disclosure may cause undue harm to the client; (vi) whether disclosure may result in undue harm to the attorney-client relationship; and (vii) whether disclosure may result in an unnecessary invasion of privacy to the client.

The joint commission or, as the case may be, the office of court administration shall promptly make a final determination in response to such request, which shall include an explanation for its

determination. The office of court administration shall issue its final determination within three days of receiving the request. Notwithstanding any other provision of law or any professional disciplinary rule to the contrary, the disclosure of the identity of any client or customer in response to this question shall not constitute professional misconduct or a ground for disciplinary action of any kind, or form the basis for any civil or criminal cause of action or proceeding. A reporting individual who first enters public office after December thirty-first, two thousand fifteen, need not report clients or customers with respect to matters for which the reporting individual or his or her firm was retained prior to entering public office.

Client	Name of Lobbyist	Description of Matter	Category of Amount (In Table 1)
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N/A			
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(d) 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.

N/A			
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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.

Self, Spouse or Child	Name of Donor	Address	Nature of Gift	Category of Value of Gift (In Table I)
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N/A

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 "reimbursements" does NOT include gifts reported under item 9.

Source	Description
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N/A

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, 403(b), 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.

Identity

Category
of Value*
(In Table II)

N/A

- * 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).

N/A

(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.)

N/A

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. Each such source must be described with particularity. Nature of income includes, but is not limited to, all income (other than that received 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 the 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.

Self/ Spouse	Source	Nature	Category of Amount (In Table I)
SELF	AKSHAN CONSULTING, LLC	PROF INCOME	E
SPOUSE	HOWARD HANNA	REAL ESTATE AGENT	E
SPOUSE	RENTAL INCOME	RENTAL INCOME	D
SELF	VILLAGE OF PORT DICKINSON POLICE DEPT	POLICE OFFICER	B

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.

Source	Category of Amount (In Table I)
N/A	

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.

Item Assigned or Transferred	Assigned or Transferred to	Category of Value (In Table I)
N/A		

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 fifty 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.

Self/ Spouse	Issuing Entity	Type of Security	Percentage of corporate stock owned or controlled (if more than 5% of pub- licly traded stock, or more than 10% if stock not publicly traded, is held)	Category of Market Value as of the close of the taxable year last occurring prior to the filing of this statement (In Table II)
SELF		US7B	SEE ATTACHED	D
SPOUSE		US7B	SEE ATTACHED	E
SPOUSE	SQUARE	STOCK		C
SELF	ALIBABA	STOCK		C
SELF/SPOUSE		SCHB SCHWAB ETF		C
SELF/SPOUSE		VEA VANGUARD ETF		C
SELF/SPOUSE		VTEB VANGUARD BOND ETF		C

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 fifty 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.

Self/ Spouse/ Corporation	Location	Size	General Nature	Acquisition Date	Percentage of Ownership	Category of Market Value (In Table II)
SELF SPOUSE	156 HAWTHORNE ST		THUNDER, NY	10/2/19	100%	H
SELF SPOUSE	4 MEADOW LAKE		THUNDER, NY	8/10/20	100%	T
SPOUSE	53 HIGHLAND AVE		BIRMINGHAM, AL	3/21/12	100%	H
SPOUSE	2005 ROYAL RD		THUNDER, NY	10/31/16	100%	T

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 hereinabove. Debts, notes and accounts receivable owed to the individual by a relative shall not be reported.

Name of Debtor	Type of Obligation, Date Due, and Nature of Collateral, if any	Category of Amount (In Table II)
N/A		

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.

Name of Creditor or Guarantor	Type of Liability and Collateral, if any	Category of Amount (In Table II)
	N/A	

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

5-14-21
Date (month/day/year)

[CATEGORY OF INCOME TABLES]

TABLE I

Category A	none
Category B	\$ 1 to under \$ 1,000
Category C	\$ 1,000 to under \$ 5,000
Category D	\$ 5,000 to under \$ 20,000
Category E	\$ 20,000 to under \$ 50,000
Category F	\$ 50,000 to under \$ 75,000
Category G	\$ 75,000 to under \$ 100,000
Category H	\$ 100,000 to under \$ 150,000
Category I	\$ 150,000 to under \$ 250,000
Category J	\$ 250,000 to under \$ 350,000
Category K	\$ 350,000 to under \$ 450,000
Category L	\$ 450,000 to under \$ 550,000
Category M	\$ 550,000 to under \$ 650,000
Category N	\$ 650,000 to under \$ 750,000
Category O	\$ 750,000 to under \$ 850,000
Category P	\$ 850,000 to under \$ 950,000
Category Q	\$ 950,000 to under \$1,050,000
Category R	\$1,050,000 to under \$1,150,000
Category S	\$1,150,000 to under \$1,250,000
Category T	\$1,250,000 to under \$1,350,000
Category U	\$1,350,000 to under \$1,450,000
Category V	\$1,450,000 to under \$1,550,000
Category W	\$1,550,000 to under \$1,650,000
Category X	\$1,650,000 to under \$1,750,000
Category Y	\$1,750,000 to under \$1,850,000
Category Z	\$1,850,000 to under \$1,950,000
Category AA	\$1,950,000 to under \$2,050,000
Category BB	\$2,050,000 to under \$2,150,000
Category CC	\$2,150,000 to under \$2,250,000
Category DD	\$2,250,000 to under \$2,350,000
Category EE	\$2,350,000 to under \$2,450,000
Category FF	\$2,450,000 to under \$2,550,000
Category GG	\$2,550,000 to under \$2,650,000
Category HH	\$2,650,000 to under \$2,750,000
Category II	\$2,750,000 to under \$2,850,000
Category JJ	\$2,850,000 to under \$2,950,000
Category KK	\$2,950,000 to under \$3,050,000
Category LL	\$3,050,000 to under \$3,150,000
Category MM	\$3,150,000 to under \$3,250,000
Category NN	\$3,250,000 to under \$3,350,000
Category OO	\$3,350,000 to under \$3,450,000
Category PP	\$3,450,000 to under \$3,550,000
Category QQ	\$3,550,000 to under \$3,650,000
Category RR	\$3,650,000 to under \$3,750,000
Category SS	\$3,750,000 to under \$3,850,000
Category TT	\$3,850,000 to under \$3,950,000
Category UU	\$3,950,000 to under \$4,050,000
Category VV	\$4,050,000 to under \$4,150,000
Category WW	\$4,150,000 to under \$4,250,000
Category XX	\$4,250,000 to under \$4,350,000
Category YY	\$4,350,000 to under \$4,450,000
Category ZZ	\$4,450,000 to under \$4,550,000

Category AAA	\$4,550,000 to under \$4,650,000
Category BBB	\$4,650,000 to under \$4,750,000
Category CCC	\$4,750,000 to under \$4,850,000
Category DDD	\$4,850,000 to under \$4,950,000
Category EEE	\$4,950,000 to under \$5,050,000
Category FFF	\$5,050,000 to under \$5,150,000
Category GGG	\$5,150,000 to under \$5,250,000
Category HHH	\$5,250,000 to under \$5,350,000
Category III	\$5,350,000 to under \$5,450,000
Category JJJ	\$5,450,000 to under \$5,550,000
Category KKK	\$5,550,000 to under \$5,650,000
Category LLL	\$5,650,000 to under \$5,750,000
Category MMM	\$5,750,000 to under \$5,850,000
Category NNN	\$5,850,000 to under \$5,950,000
Category OOO	\$5,950,000 to under \$6,050,000
Category PPP	\$6,050,000 to under \$6,150,000
Category QQQ	\$6,150,000 to under \$6,250,000
Category RRR	\$6,250,000 to under \$6,350,000
Category SSS	\$6,350,000 to under \$6,450,000
Category TTT	\$6,450,000 to under \$6,550,000
Category UUU	\$6,550,000 to under \$6,650,000
Category VVV	\$6,650,000 to under \$6,750,000
Category WWW	\$6,750,000 to under \$6,850,000
Category XXX	\$6,850,000 to under \$6,950,000
Category YYY	\$6,950,000 to under \$7,050,000
Category ZZZ	\$7,050,000 to under \$7,150,000
Category AAAA	\$7,150,000 to under \$7,250,000
Category BBBB	\$7,250,000 to under \$7,350,000
Category CCCC	\$7,350,000 to under \$7,450,000
Category DDDD	\$7,450,000 to under \$7,550,000
Category EEEE	\$7,550,000 to under \$7,650,000
Category FFFF	\$7,650,000 to under \$7,750,000
Category GGGG	\$7,750,000 to under \$7,850,000
Category HHHH	\$7,850,000 to under \$7,950,000
Category IIII	\$7,950,000 to under \$8,050,000
Category JJJJ	\$8,050,000 to under \$8,150,000
Category KKKK	\$8,150,000 to under \$8,250,000
Category LLLL	\$8,250,000 to under \$8,350,000
Category MMMM	\$8,350,000 to under \$8,450,000
Category NNNN	\$8,450,000 to under \$8,550,000
Category OOOO	\$8,550,000 to under \$8,650,000
Category PPPP	\$8,650,000 to under \$8,750,000
Category QQQQ	\$8,750,000 to under \$8,850,000
Category RRRR	\$8,850,000 to under \$8,950,000
Category SSSS	\$8,950,000 to under \$9,050,000
Category TTTT	\$9,050,000 to under \$9,150,000
Category UUUU	\$9,150,000 to under \$9,250,000
Category VVVV	\$9,250,000 to under \$9,350,000
Category WWWW	\$9,350,000 to under \$9,450,000
Category XXXX	\$9,450,000 to under \$9,550,000
Category YYYY	\$9,550,000 to under \$9,650,000
Category ZZZZ	\$9,650,000 to under \$9,750,000
Category AAAAA	\$9,750,000 to under \$9,850,000
Category BBBBB	\$9,850,000 to under \$9,950,000
Category CCCCC	\$9,950,000 to under \$10,000,000
Category DDDDD	\$10,000,000 or over

TABLE II

Category A	none
Category B	\$ 1 to under \$ 1,000
Category C	\$ 1,000 to under \$ 5,000
Category D	\$ 5,000 to under \$ 20,000
Category E	\$ 20,000 to under \$ 50,000
Category F	\$ 50,000 to under \$ 75,000
Category G	\$ 75,000 to under \$ 100,000
Category H	\$ 100,000 to under \$ 150,000
Category I	\$ 150,000 to under \$ 250,000
Category J	\$ 250,000 to under \$ 500,000
Category K	\$ 500,000 to under \$ 750,000
Category L	\$ 750,000 to under \$1,000,000
Category M	\$1,000,000 to under \$1,250,000
Category N	\$1,250,000 to under \$1,500,000
Category O	\$1,500,000 to under \$1,750,000
Category P	\$1,750,000 to under \$2,000,000
Category Q	\$2,000,000 to under \$2,250,000
Category R	\$2,250,000 to under \$2,500,000
Category S	\$2,500,000 to under \$2,750,000
Category T	\$2,750,000 to under \$3,000,000
Category U	\$3,000,000 to under \$3,250,000
Category V	\$3,250,000 to under \$3,500,000
Category W	\$3,500,000 to under \$3,750,000
Category X	\$3,750,000 to under \$4,000,000
Category Y	\$4,000,000 to under \$4,250,000
Category Z	\$4,250,000 to under \$4,500,000
Category AA	\$4,500,000 to under \$4,750,000
Category BB	\$4,750,000 to under \$5,000,000
Category CC	\$5,000,000 to under \$5,250,000
Category DD	\$5,250,000 to under \$5,500,000
Category EE	\$5,500,000 to under \$5,750,000
Category FF	\$5,750,000 to under \$6,000,000
Category GG	\$6,000,000 to under \$6,250,000
Category HH	\$6,250,000 to under \$6,500,000
Category II	\$6,500,000 to under \$6,750,000
Category JJ	\$6,750,000 to under \$7,000,000
Category KK	\$7,000,000 to under \$7,250,000
Category LL	\$7,250,000 to under \$7,500,000
Category MM	\$7,500,000 to under \$7,750,000
Category NN	\$7,750,000 to under \$8,000,000
Category OO	\$8,000,000 to under \$8,250,000
Category PP	\$8,250,000 to under \$8,500,000
Category QQ	\$8,500,000 to under \$8,750,000
Category RR	\$8,750,000 to under \$9,000,000
Category SS	\$9,000,000 to under \$9,250,000
Category TT	\$9,250,000 to under \$9,500,000
Category UU	\$9,500,000 or over



New York State
Deferred Compensation Plan

A Plan for Your Future

October 1, 2020 - December 31, 2020

FREDERICK J AKSHAR II

Please review your statement carefully. Corrections may not be accepted more than 45 days after the closing date of the statement.

Questions? Contact Us!

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COLUMBUS OH 43218-2797

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Activity at a Glance

Balance as of 10-01-20	<u>457(b) Plan</u>
Deferrals	\$9,637.06
Transfers In	\$950.36
Interest/Dividend/Cap Gain/Reimb	\$0.00
Gain/Loss	\$185.56
Withdrawals/Transfers Out/Ln Disbmts	\$1,382.67
Charges/Fees	\$0.00
Balance as of 12-31-20	-\$10.00
	\$12,145.65

Total Contributions and Benefits Received Since Joining

<u>Plan Type</u>	<u>Contributions Since Joining</u>	<u>Benefits Received</u> (Does not include distributions prior to March 25, 2003)
457(b) Plan	\$8,540.90	\$0.00

Contributions and Distributions Summary - October 1, 2020 to December 31, 2020

	<u>Deferral Rate/ Amount</u>	<u>Last Contribution Amount</u>	<u>Contributions This Period</u>	<u>Contributions Year to Date</u>	<u>Last Distribution Amount</u>	<u>Distributions Year to Date</u>
Pre-Tax Contribution	4%	\$159.72	\$950.36	\$3,962.53		\$0.00

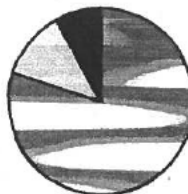
Your Asset Allocation

To the right is your Account Allocation. Your Account Allocation is how the money in your account is divided among the investment options you have selected.

For more information on contributions and account allocation, log on to WWW.NYSDCP.COM.

*Percentages and totals may not be exact due to rounding.

Your Account Allocation



Investment Type

80% Large-Cap Stocks	\$9,769.57
12% Small-Cap Stocks	\$1,409.76
8% Mid-Cap Stocks	\$966.32
100% Total Percent/Value	\$12,145.65

Statement Details

Investment Option Summary

Ending Price is as of 12/31/2020

Investment Option	Pre-Tax Investment Election	Ending Price	Units/Shares	Value
Pre-Tax Contribution				
Small-Cap Stocks				
TRowePr QM US SmCap Eq I	30.00%	47.8900	29.4375	\$1,409.76
Small-Cap Stocks Total	30.00%			\$1,409.76
Mid-Cap Stocks				
NYSDCB Russ 2500 Indx U/A	20.00%	15.2351	63.4273	\$966.32
Mid-Cap Stocks Total	20.00%			\$966.32
Large-Cap Stocks				
Fid OTC K	25.00%	17.8400	485.1282	\$8,654.69
Vngrd Pm Cap Adml	25.00%	153.8500	7.2466	\$1,114.88
Large-Cap Stocks Total	50.00%			\$9,769.57
TOTAL	100.00%			\$12,145.65

Your Account Values by Investment Option - October 1, 2020 to December 31, 2020

	Beginning Balance	Contributions/Transfers In/Ln Paymts	Exchanges	Withdrawals/Transfers Out/Ln Disbmts	Charges/Credits/Fees	Interest/Dividend/Cap Gain/Reimb	Investment Gain/Loss*	Ending Balance
Pre-Tax Contribution								
Small-Cap Stocks								
TRowePr QM US SmCap Eq I	\$898.40	\$285.11	\$0.00	\$0.00	-\$0.95	\$39.74	\$187.46	\$1,409.76
Small-Cap Stocks Total	\$898.40	\$285.11	\$0.00	\$0.00	-\$0.95	\$39.74	\$187.46	\$1,409.76
Mid-Cap Stocks								
NYSDCB Russ 2500 Indx U/A	\$593.32	\$190.03	\$0.00	\$0.00	-\$0.63	\$0.00	\$183.60	\$966.32
Mid-Cap Stocks Total	\$593.32	\$190.03	\$0.00	\$0.00	-\$0.63	\$0.00	\$183.60	\$966.32
Large-Cap Stocks								
Fid OTC K	\$7,392.16	\$237.61	\$0.00	\$0.00	-\$7.65	\$49.85	\$982.72	\$8,654.69
Vngrd Pm Cap Adml	\$753.18	\$237.61	\$0.00	\$0.00	-\$0.77	\$95.97	\$28.89	\$1,114.88
Large-Cap Stocks Total	\$8,145.34	\$475.22	\$0.00	\$0.00	-\$8.42	\$145.82	\$1,011.61	\$9,769.57
TOTAL	\$9,637.06	\$950.36	\$0.00	\$0.00	-\$10.00	\$185.56	\$1,382.67	\$12,145.65

*Investment Gain/Loss is the difference between the account balance on the first and last day of the period, after allowing for the effects of transactions.

Transaction Details - October 1, 2020 to December 31, 2020

Pay Period End Date	Effective Date	Total Amount	Transaction Type	Money Source	Investment Option	Price	Units/Shares	Amount Per Fund
	10/12/2020	-\$10.00	Administrative Charge	Pre-Tax Contribution	Fid OTC K	16.6800	-0.4586	-\$7.65
					NYSDCB Russ 2500 Indx U/A	12.9629	-0.0486	-\$0.63
					TRowePr QM US SmCap Eq I	43.5300	-0.0218	-\$0.95
					Vngrd Pm Cap Adml	155.1100	-0.0050	-\$0.77
10/14/2020	10/14/2020	\$155.90	Deferral	Pre-Tax Contribution	Fid OTC K	16.5300	2.3581	\$38.98
					NYSDCB Russ 2500 Indx U/A	12.8015	2.4349	\$31.17
					TRowePr QM US SmCap Eq I	43.1100	1.0849	\$46.77
					Vngrd Pm Cap Adml	153.4800	0.2540	\$38.98
10/28/2020	10/28/2020	\$155.90	Deferral	Pre-Tax Contribution	Fid OTC K	15.4700	2.5197	\$38.98
					NYSDCB Russ 2500 Indx U/A	12.1618	2.5629	\$31.17
					TRowePr QM US SmCap Eq I	41.1200	1.1374	\$46.77
					Vngrd Pm Cap Adml	143.0100	0.2726	\$38.98
	11/2/2020	\$3.75	Fund Reimbursement	Pre-Tax Contribution	Fid OTC K	15.3700	0.2439	\$3.75

Statement Details

Transaction Details (continued)

Pay Period End Date	Effective Date	Total Amount	Transaction Type	Money Source	Investment Option	Price	Units/Shares	Amount Per Fund
11/10/2020	11/10/2020	\$159.04	Deferral	Pre-Tax Contribution	Fid OTC K NYSDCB Russ 2500 Indx U/A TRowePr QM US SmCap Eq I Vngrd Pm Cap Adml	16.2400 13.5302 44.7400 155.1700	2.4483 2.3510 1.0664 0.2562	\$39.76 \$31.81 \$47.71 \$39.76
11/25/2020	11/25/2020	\$159.90	Deferral	Pre-Tax Contribution	Fid OTC K NYSDCB Russ 2500 Indx U/A TRowePr QM US SmCap Eq I Vngrd Pm Cap Adml	16.9200 14.3096 46.1300 161.4800	2.3629 2.2342 1.0399 0.2476	\$39.98 \$31.97 \$47.97 \$39.88
12/9/2020	12/9/2020	\$159.90	Deferral	Pre-Tax Contribution	Fid OTC K NYSDCB Russ 2500 Indx U/A TRowePr QM US SmCap Eq I Vngrd Pm Cap Adml	17.2400 14.8973 47.4400 165.5000	2.3190 2.1752 1.0112 0.2416	\$39.88 \$31.97 \$47.97 \$39.98
	12/14/2020	\$39.74	Capital Gain	Pre-Tax Contribution	TRowePr QM US SmCap Eq I	46.4300	0.8558	\$39.74
	12/18/2020	\$46.10	Capital Gain	Pre-Tax Contribution	Fid OTC K	17.6300	2.6151	\$46.10
	12/21/2020	\$85.07	Capital Gain	Pre-Tax Contribution	Vngrd Pm Cap Adml	151.9700	0.5598	\$85.07
	12/21/2020	\$10.90	Reinvested Dividend	Pre-Tax Contribution	Vngrd Pm Cap Adml	151.9700	0.0717	\$10.90
12/23/2020	12/23/2020	\$159.72	Deferral	Pre-Tax Contribution	Fid OTC K NYSDCB Russ 2500 Indx U/A TRowePr QM US SmCap Eq I Vngrd Pm Cap Adml	17.6000 15.3571 48.5200 151.7100	2.2688 2.0798 0.9876 0.2632	\$39.93 \$31.94 \$47.92 \$39.93

Your Beneficiary Information

Primary Beneficiary

JESSICA AKSHAR 100.00%

If no person, entity, or trust is listed as a beneficiary, a beneficiary designation may still exist on file. Please verify your beneficiary designation(s) by contacting the Administrative Service Agency at (800)422-8463. You may also either return a completed Beneficiary Form, or if available, update your beneficiary designation(s) online. Please note that the Administrative Service Agency does not warrant the accuracy or completeness of any beneficiary designation(s).

Your Personalized Rate of Return

Last 12 Months

46.35%

The Personal Rate of Return calculation is an estimated return rate for your defined contribution account for the specified period. The calculation considers your account balance at the beginning of the period, contributions, withdrawals, growth or decline in the value of your account's assets, and the period's ending balance. The calculation reflects your account balance net of fees, but does not include amounts attributable to outstanding participant loan assets or Self Directed Brokerage Account assets, if any. Past performance does not guarantee future investment performance.

Plan Information and Messages

Account Executives are registered representatives of Nationwide Investment Services Corporation, member FINRA.

Distributions of contributions and earnings from the Roth account are tax free if contributions have been in the Roth elective deferral account for a period of at least five (5) tax years and the participant is at least 59½ years old at the time of the distribution.



New York State
Deferred Compensation Plan

A Plan for Your Future

October 1, 2020 - December 31, 2020

JESSICA ANN WILLIAMS

Please review your statement carefully. Corrections may not be accepted more than 45 days after the closing date of the statement.

Questions? Contact Us!

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P.O. BOX 182797
COLUMBUS OH 43218-2797

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Activity at a Glance

Balance as of 10-01-20

Deferrals

Transfers In

Interest/Dividend/Cap Gain/Reimb

Gain/Loss

Withdrawals/Transfers Out/Ln Disbmts

Charges/Fees

Balance as of 12-31-20

457(b) Plan

\$23,948.47

\$1,723.62

\$0.00

\$913.23

\$3,459.99

\$0.00

-\$13.18

\$30,032.13

Total Contributions and Benefits Received Since Joining

Plan Type	Contributions Since Joining	Benefits Received	(Does not include distributions prior to March 25, 2003)
457(b) Plan	\$20,873.56	\$0.00	

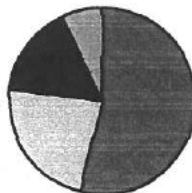
Contributions and Distributions Summary - October 1, 2020 to December 31, 2020

	Deferral Rate/ Amount	Last Contribution Amount	Contributions This Period	Contributions Year to Date	Last Distribution Amount	Distributions Year to Date
Pre-Tax Contribution	11%	\$287.27	\$1,723.62	\$7,255.04		\$0.00
Roth Contribution	0%		\$0.00	\$0.00		\$0.00

Your Asset Allocation

To the right is your Account Allocation. Your Account Allocation is how the money in your account is divided among the investment options you have selected.

Your Account Allocation



Investment Type

54% Large-Cap Stocks	\$16,170.70
23% Small-Cap Stocks	\$6,970.38
16% Mid-Cap Stocks	\$4,751.55
7% International Stocks	\$2,139.50
100% Total Percent/Value	\$30,032.13

For more information on contributions and account allocation, log on to WWW.NYSDCP.COM.

*Percentages and totals may not be exact due to rounding.

Statement Details

Investment Option Summary

Ending Price is as of 12/31/2020

Investment Option	Pre-Tax Investment Election	Roth Investment Election	Ending Price	Units/Shares	Value
Pre-Tax Contribution					
Small-Cap Stocks					
TRowePr QM US SmCap Eq I	30.00%	0.00%	47.8900	145.5497	\$6,970.38
Small-Cap Stocks Total	30.00%	0.00%			\$6,970.38
International Stocks					
MSIF Emrg Mkt IS	10.00%	0.00%	26.8500	79.6833	\$2,139.50
International Stocks Total	10.00%	0.00%			\$2,139.50
Mid-Cap Stocks					
NYSDCB Russ 2500 Indx U/A	0.00%	0.00%	15.2351	174.2971	\$2,655.43
Vngrp Strat Eq Inv	10.00%	0.00%	36.2300	57.8558	\$2,096.12
Mid-Cap Stocks Total	10.00%	0.00%			\$4,751.55
Large-Cap Stocks					
Fid OTC K	25.00%	0.00%	17.8400	475.0749	\$8,475.34
NYSDCB Equity Indx U/A	0.00%	0.00%	16.5895	52.0587	\$863.63
Vngrp Pm Cap Adm	25.00%	0.00%	153.8500	44.4051	\$8,831.73
Large-Cap Stocks Total	50.00%	0.00%			\$16,170.70
Pre-Tax Contribution Total	100.00%	0.00%			\$30,032.13
Roth Contribution					
Small-Cap Stocks					
TRowePr QM US SmCap Eq I	0.00%	30.00%	47.8900	0.0000	\$0.00
Small-Cap Stocks Total	0.00%	30.00%			\$0.00
International Stocks					
MSIF Emrg Mkt IS	0.00%	10.00%	26.8500	0.0000	\$0.00
International Stocks Total	0.00%	10.00%			\$0.00
Mid-Cap Stocks					
Vngrp Strat Eq Inv	0.00%	10.00%	36.2300	0.0000	\$0.00
Mid-Cap Stocks Total	0.00%	10.00%			\$0.00
Large-Cap Stocks					
Fid OTC K	0.00%	25.00%	17.8400	0.0000	\$0.00
Vngrp Pm Cap Adm	0.00%	25.00%	153.8500	0.0000	\$0.00
Large-Cap Stocks Total	0.00%	50.00%			\$0.00
Roth Contribution Total	0.00%	100.00%			\$0.00
TOTAL					\$30,032.13

Your Account Values by Investment Option - October 1, 2020 to December 31, 2020

	Beginning Balance	Contributions/Transfers In/Ln Paymts	Exchanges	Withdrawals/Transfers Out/Ln Disbmts	Charges/Credits/Fees	Interest/Dividend/Cap Gain/Reimb	Investment Gain/Loss*	Ending Balance
Pre-Tax Contribution								
Small-Cap Stocks								
TRowePr QM US SmCap Eq I	\$5,235.24	\$517.08	\$0.00	\$0.00	-\$2.93	\$200.81	\$1,020.18	\$6,970.38
Small-Cap Stocks Total	\$5,235.24	\$517.08	\$0.00	\$0.00	-\$2.93	\$200.81	\$1,020.18	\$6,970.38
International Stocks								
MSIF Emrg Mkt IS	\$1,662.20	\$172.32	\$0.00	\$0.00	-\$0.91	\$24.12	\$281.77	\$2,139.50
International Stocks Total	\$1,662.20	\$172.32	\$0.00	\$0.00	-\$0.91	\$24.12	\$281.77	\$2,139.50
Mid-Cap Stocks								
NYSDCB Russ 2500 Indx U/A	\$2,084.43	\$0.00	\$0.00	\$0.00	-\$1.17	\$0.00	\$572.17	\$2,655.43
Vngrp Strat Eq Inv	\$1,569.38	\$172.38	\$0.00	\$0.00	-\$0.88	\$35.99	\$319.27	\$2,096.12
Mid-Cap Stocks Total	\$3,653.79	\$172.38	\$0.00	\$0.00	-\$2.05	\$35.99	\$891.44	\$4,751.55
Large-Cap Stocks								
Fid OTC K	\$7,047.66	\$430.92	\$0.00	\$0.00	-\$3.86	\$48.58	\$952.04	\$8,475.34

Statement Details

Your Account Values by Investment Option (continued)

	Beginning Balance	Contributions/ Transfers In/ Ln Paymts	Exchanges	Withdrawals/ Transfers Out/ Ln Disbmnts	Charges/ Credits/Fees	Interest/ Dividend/ Cap Gain/ Reimb	Investment Gain/Loss*	Ending Balance
NYSDCB Equity Indx U/A	\$770.37	\$0.00	\$0.00	\$0.00	-\$0.40	\$0.00	\$93.66	\$863.63
Vngrd Prm Cap Adml	\$5,579.21	\$430.92	\$0.00	\$0.00	-\$3.03	\$603.73	\$220.90	\$6,831.73
Large-Cap Stocks Total	\$13,397.24	\$861.84	\$0.00	\$0.00	-\$7.28	\$662.31	\$1,284.60	\$16,179.70
TOTAL	\$23,948.47	\$1,723.62	\$0.00	\$0.00	-\$13.18	\$913.23	\$3,459.99	\$30,032.13

*Investment Gain/Loss is the difference between the account balance on the first and last day of the period, after allowing for the effects of transactions.

Transaction Details - October 1, 2020 to December 31, 2020

Pay Period End Date	Effective Date	Total Amount	Transaction Type	Money Source	Investment Option	Price	Units/Shares	Amount Per Fund
	10/12/2020	-\$10.00	Administrative Charge	Pre-Tax Contribution	Fid OTC K	16.6800	-0.1757	-\$2.93
					MSIF Emrg Mkt IS	24.3200	-0.0284	-\$0.69
					NYSDCB Equity Indx U/A	15.5539	-0.0193	-\$0.30
					NYSDCB Russ 2500 Indx U/A	12.9629	-0.0687	-\$0.89
					TRowePr QM US SmCap Eq I	43.5300	-0.0510	-\$2.22
					Vngrd Prm Cap Adml	155.1100	-0.0148	-\$2.30
					Vngrd Strat Eq Inv	32.7200	-0.0205	-\$0.67
	10/12/2020	-\$3.18	Asset Fee	Pre-Tax Contribution	Fid OTC K	16.6800	-0.0558	-\$0.93
					MSIF Emrg Mkt IS	24.3200	-0.0090	-\$0.22
					NYSDCB Equity Indx U/A	15.5539	-0.0064	-\$0.10
					NYSDCB Russ 2500 Indx U/A	12.9629	-0.0216	-\$0.28
					TRowePr QM US SmCap Eq I	43.5300	-0.0163	-\$0.71
					Vngrd Prm Cap Adml	155.1100	-0.0047	-\$0.73
					Vngrd Strat Eq Inv	32.7200	-0.0064	-\$0.21
10/14/2020	10/14/2020	\$287.27	Deferral	Pre-Tax Contribution	Fid OTC K	16.5300	4.3448	\$71.82
					MSIF Emrg Mkt IS	24.0600	1.1937	\$28.72
					TRowePr QM US SmCap Eq I	43.1100	1.9991	\$86.18
					Vngrd Prm Cap Adml	153.4800	0.4679	\$71.82
					Vngrd Strat Eq Inv	32.3900	0.8870	\$28.73
10/28/2020	10/28/2020	\$287.27	Deferral	Pre-Tax Contribution	Fid OTC K	15.4700	4.6425	\$71.82
					MSIF Emrg Mkt IS	23.3900	1.2279	\$28.72
					TRowePr QM US SmCap Eq I	41.1200	2.0958	\$86.18
					Vngrd Prm Cap Adml	143.0100	0.5022	\$71.82
					Vngrd Strat Eq Inv	30.5200	0.9413	\$28.73
	11/2/2020	\$3.61	Fund Reimbursement	Pre-Tax Contribution	Fid OTC K	15.3700	0.2348	\$3.61
11/10/2020	11/10/2020	\$287.27	Deferral	Pre-Tax Contribution	Fid OTC K	16.2400	4.4224	\$71.82
					MSIF Emrg Mkt IS	24.6900	1.1632	\$28.72
					TRowePr QM US SmCap Eq I	44.7400	1.9262	\$86.18
					Vngrd Prm Cap Adml	155.1700	0.4628	\$71.82
					Vngrd Strat Eq Inv	33.2500	0.8641	\$28.73
11/25/2020	11/25/2020	\$287.27	Deferral	Pre-Tax Contribution	Fid OTC K	16.9200	4.2447	\$71.82
					MSIF Emrg Mkt IS	25.3900	1.1312	\$28.72
					TRowePr QM US SmCap Eq I	46.1300	1.8682	\$86.18
					Vngrd Prm Cap Adml	161.4800	0.4448	\$71.82
					Vngrd Strat Eq Inv	34.8400	0.8246	\$28.73
12/9/2020	12/9/2020	\$287.27	Deferral	Pre-Tax Contribution	Fid OTC K	17.2400	4.1659	\$71.82
					MSIF Emrg Mkt IS	26.2400	1.0945	\$28.72
					TRowePr QM US SmCap Eq I	47.4400	1.8166	\$86.18
					Vngrd Prm Cap Adml	165.5000	0.4340	\$71.82
					Vngrd Strat Eq Inv	35.6500	0.8059	\$28.73
	12/14/2020	\$200.81	Capital Gain	Pre-Tax Contribution	TRowePr QM US SmCap Eq I	46.4300	4.3249	\$200.81
	12/16/2020	\$11.50	Capital Gain	Pre-Tax Contribution	MSIF Emrg Mkt IS	26.2700	0.4379	\$11.50

Statement Details

Transaction Details (continued)

Pay Period End Date	Effective Date	Total Amount	Transaction Type	Money Source	Investment Option	Price	Units/Shares	Amount Per Fund
	12/16/2020	\$12.62	Reinvested Dividend	Pre-Tax Contribution	MSIF Emrg Mkt IS	26.2700	0.4804	\$12.62
	12/18/2020	\$54.13	Capital Gain	Pre-Tax Contribution	Fid OTC K Vngrd Strat Eq Inv	17.6300 36.1600	2.5508 0.2534	\$44.97 \$9.16
	12/18/2020	\$26.83	Reinvested Dividend	Pre-Tax Contribution	Vngrd Strat Eq Inv	36.1600	0.7420	\$26.83
	12/21/2020	\$535.16	Capital Gain	Pre-Tax Contribution	Vngrd Prm Cap Adml	151.9700	3.5215	\$535.16
	12/21/2020	\$68.57	Reinvested Dividend	Pre-Tax Contribution	Vngrd Prm Cap Adml	151.9700	0.4512	\$68.57
12/23/2020	12/23/2020	\$287.27	Deferral	Pre-Tax Contribution	Fid OTC K MSIF Emrg Mkt IS TRowePr QM US SmCap Eq 1 Vngrd Prm Cap Adml Vngrd Strat Eq Inv	17.6000 26.1700 48.5200 151.7100 36.4800	4.0807 1.0974 1.7762 0.4734 0.7876	\$71.82 \$28.72 \$86.18 \$71.82 \$28.73

Your Beneficiary Information

Primary Beneficiary

FREDERICK J AKSHAR II 100.00%

If no person, entity, or trust is listed as a beneficiary, a beneficiary designation may still exist on file. Please verify your beneficiary designation(s) by contacting the Administrative Service Agency at (800)422-8463. You may also either return a completed Beneficiary Form, or if available, update your beneficiary designation(s) online. Please note that the Administrative Service Agency does not warrant the accuracy or completeness of any beneficiary designation(s).

Your Personalized Rate of Return

Last 12 Months

30.73%

The Personal Rate of Return calculation is an estimated return rate for your defined contribution account for the specified period. The calculation considers your account balance at the beginning of the period, contributions, withdrawals, growth or decline in the value of your account's assets, and the period's ending balance. The calculation reflects your account balance net of fees, but does not include amounts attributable to outstanding participant loan assets or Self Directed Brokerage Account assets, if any. Past performance does not guarantee future investment performance.

Plan Information and Messages

Account Executives are registered representatives of Nationwide Investment Services Corporation, member FINRA.

Distributions of contributions and earnings from the Roth account are tax free if contributions have been in the Roth elective deferral account for a period of at least five (5) tax years and the participant is at least 59½ years old at the time of the distribution.

RECEIVED

JUN 28 2021

LEGISLATIVE ETHICS COMMISSION
STATE OF NEW YORK

BY AXM
LEG. ETHICS COMM.

MAIL: LEGISLATIVE OFFICE BUILDING-BOX 75-ALBANY, NY 12247
LOCATION: ALFRED E. SMITH STATE OFFICE BUILDING-SUITE 1431-ALBANY, NY 12210
PHONE: (518)432-7837/7838
SENATE EXT: 2142 ASSEMBLY EXT: 5218

Question 5(b) Amendment Form
for Calendar Year 2020

Please complete the form. If a column is not applicable specify NONE.

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.

Position	Name & Address Of Organization	Description	State or Local Agency
Regional Coordinator	NYS SENATE	Govt	STATE

Name: Frederick Akshar II

Title of Position: NYS Senator

Address of Present Office: 44 Hawley St., Suite 1603, Binghamton, NY 13905

Signature of reporting individual

6-23-21
Date (month/day/year)

RECEIVED

LEGISLATIVE ETHICS COMMISSION
STATE OF NEW YORK

JUN 28 2021

BY

AKM

LEG. ETHICS COMM.

MAIL: LEGISLATIVE OFFICE BUILDING-BOX 75-ALBANY, NY 12247
LOCATION: ALFRED E. SMITH STATE OFFICE BUILDING-SUITE 1431-ALBANY, NY 12210
PHONE: (518)432-7837/7838
SENATE EXT: 2142 ASSEMBLY EXT: 5218

Question 13 Amendment Form
for Calendar Year 2020

Please complete the form. If a column is not applicable specify NONE.

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. Each such source must be described with particularity. Nature of income includes, but is not limited to, all income (other than that received 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 the 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.

Self/ Spouse	Source	Nature	Category of Amount (In Table I)
Spouse	NYS Senate	Govt	F

Name: Frederick Akshar II

Title of Position: NYS Senator

Address of Present Office: 44 Hawley St., Suite 1603, Binghamton, NY 13905

Signature of reporting individual

6-23-21
Date (month/day/year)

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JUN 5 8 2021

TABLE I

Category A	none
Category B	\$ 1 to under \$ 1,000
Category C	\$ 1,000 to under \$ 5,000
Category D	\$ 5,000 to under \$ 20,000
Category E	\$ 20,000 to under \$ 50,000
Category F	\$ 50,000 to under \$ 75,000
Category G	\$ 75,000 to under \$ 100,000
Category H	\$ 100,000 to under \$ 150,000
Category I	\$ 150,000 to under \$ 250,000
Category J	\$ 250,000 to under \$ 350,000
Category K	\$ 350,000 to under \$ 450,000
Category L	\$ 450,000 to under \$ 550,000
Category M	\$ 550,000 to under \$ 650,000
Category N	\$ 650,000 to under \$ 750,000
Category O	\$ 750,000 to under \$ 850,000
Category P	\$ 850,000 to under \$ 950,000
Category Q	\$ 950,000 to under \$1,050,000
Category R	\$1,050,000 to under \$1,150,000
Category S	\$1,150,000 to under \$1,250,000
Category T	\$1,250,000 to under \$1,350,000
Category U	\$1,350,000 to under \$1,450,000
Category V	\$1,450,000 to under \$1,550,000
Category W	\$1,550,000 to under \$1,650,000
Category X	\$1,650,000 to under \$1,750,000
Category Y	\$1,750,000 to under \$1,850,000
Category Z	\$1,850,000 to under \$1,950,000
Category AA	\$1,950,000 to under \$2,050,000
Category BB	\$2,050,000 to under \$2,150,000
Category CC	\$2,150,000 to under \$2,250,000
Category DD	\$2,250,000 to under \$2,350,000
Category EE	\$2,350,000 to under \$2,450,000
Category FF	\$2,450,000 to under \$2,550,000
Category GG	\$2,550,000 to under \$2,650,000
Category HH	\$2,650,000 to under \$2,750,000
Category II	\$2,750,000 to under \$2,850,000
Category JJ	\$2,850,000 to under \$2,950,000
Category KK	\$2,950,000 to under \$3,050,000
Category LL	\$3,050,000 to under \$3,150,000
Category MM	\$3,150,000 to under \$3,250,000
Category NN	\$3,250,000 to under \$3,350,000
Category OO	\$3,350,000 to under \$3,450,000
Category PP	\$3,450,000 to under \$3,550,000
Category QQ	\$3,550,000 to under \$3,650,000
Category RR	\$3,650,000 to under \$3,750,000
Category SS	\$3,750,000 to under \$3,850,000
Category TT	\$3,850,000 to under \$3,950,000
Category UU	\$3,950,000 to under \$4,050,000
Category VV	\$4,050,000 to under \$4,150,000
Category WW	\$4,150,000 to under \$4,250,000
Category XX	\$4,250,000 to under \$4,350,000

Category YY	\$4,350,000	to under	\$4,450,000
Category ZZ	\$4,450,000	to under	\$4,550,000
Category AAA	\$4,550,000	to under	\$4,650,000
Category BBB	\$4,650,000	to under	\$4,750,000
Category CCC	\$4,750,000	to under	\$4,850,000
Category DDD	\$4,850,000	to under	\$4,950,000
Category EEE	\$4,950,000	to under	\$5,050,000
Category FFF	\$5,050,000	to under	\$5,150,000
Category GGG	\$5,150,000	to under	\$5,250,000
Category HHH	\$5,250,000	to under	\$5,350,000
Category III	\$5,350,000	to under	\$5,450,000
Category JJJ	\$5,450,000	to under	\$5,550,000
Category KKK	\$5,550,000	to under	\$5,650,000
Category LLL	\$5,650,000	to under	\$5,750,000
Category MMM	\$5,750,000	to under	\$5,850,000
Category NNN	\$5,850,000	to under	\$5,950,000
Category OOO	\$5,950,000	to under	\$6,050,000
Category PPP	\$6,050,000	to under	\$6,150,000
Category QQQ	\$6,150,000	to under	\$6,250,000
Category RRR	\$6,250,000	to under	\$6,350,000
Category SSS	\$6,350,000	to under	\$6,450,000
Category TTT	\$6,450,000	to under	\$6,550,000
Category UUU	\$6,550,000	to under	\$6,650,000
Category VVV	\$6,650,000	to under	\$6,750,000
Category WWW	\$6,750,000	to under	\$6,850,000
Category XXX	\$6,850,000	to under	\$6,950,000
Category YYY	\$6,950,000	to under	\$7,050,000
Category ZZZ	\$7,050,000	to under	\$7,150,000
Category AAAA	\$7,150,000	to under	\$7,250,000
Category BBBB	\$7,250,000	to under	\$7,350,000
Category CCCC	\$7,350,000	to under	\$7,450,000
Category DDDD	\$7,450,000	to under	\$7,550,000
Category EEEE	\$7,550,000	to under	\$7,650,000
Category FFFF	\$7,650,000	to under	\$7,750,000
Category GGGG	\$7,750,000	to under	\$7,850,000
Category HHHH	\$7,850,000	to under	\$7,950,000
Category IIII	\$7,950,000	to under	\$8,050,000
Category JJJJ	\$8,050,000	to under	\$8,150,000
Category KKKK	\$8,150,000	to under	\$8,250,000
Category LLLL	\$8,250,000	to under	\$8,350,000
Category MMMM	\$8,350,000	to under	\$8,450,000
Category NNNN	\$8,450,000	to under	\$8,550,000
Category OOOO	\$8,550,000	to under	\$8,650,000
Category PPPP	\$8,650,000	to under	\$8,750,000
Category QQQQ	\$8,750,000	to under	\$8,850,000
Category RRRR	\$8,850,000	to under	\$8,950,000
Category SSSS	\$8,950,000	to under	\$9,050,000
Category TTTT	\$9,050,000	to under	\$9,150,000
Category UUUU	\$9,150,000	to under	\$9,250,000
Category VVVV	\$9,250,000	to under	\$9,350,000
Category WWWW	\$9,350,000	to under	\$9,450,000
Category XXXX	\$9,450,000	to under	\$9,550,000
Category YYYY	\$9,550,000	to under	\$9,650,000
Category ZZZZ	\$9,650,000	to under	\$9,750,000
Category AAAAA	\$9,750,000	to under	\$9,850,000
Category BBBB	\$9,850,000	to under	\$9,950,000
Category CCCCC	\$9,950,000	to under	\$10,000,000