



# LEGISLATIVE ETHICS COMMISSION

## STATE OF NEW YORK

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# RECEIVED

MAY 09 2018

### ANNUAL STATEMENT OF FINANCIAL DISCLOSURE

For Calendar Year 2017

BY [Signature]  
LEG. ETHICS COMM.

1. Name D. Billy Jones
2. (a) Title of Position New York State Assemblymember  
(b) Department, Agency or other Governmental Entity NYS Assembly  
(c) Address of Present Office 202 US Oval Plattsburgh NY 12903  
(d) Office Telephone Number 518-562-1986
3. (a) Marital Status Single. If married, please give 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 2017, 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
Board Member	United Way of the Adk Inc	Local

- (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
Board member	United Way of the Adirondacks, Inc	Local

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
	N/A		

- (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
	N/A		

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.

Member Franklin County Democratic Committee

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

NIA

(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

(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

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

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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

(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

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)
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
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)

NA

- \* 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).

NA

(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.)

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)
	None		

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)
None	

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)
None		

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	Rash	IRA	\$30,000	E



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)
None						

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.

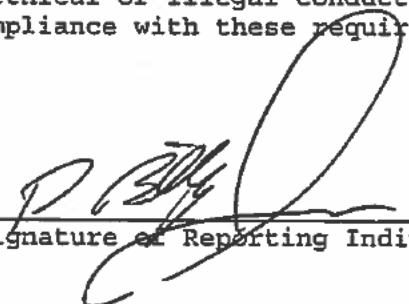
Name of Debtor	Type of Obligation, Date Due, and Nature of Collateral, if any	Category of Amount (In Table II)
None		

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)
<i>None</i>		

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)

*5-9-2018*  
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	

**LEGISLATIVE ETHICS COMMISSION  
STATE OF NEW YORK**

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

RECEIVED

**Question 11 Amendment Form  
for Calendar Year 2017**

JUN 13 2018

BY [Signature]  
LEG. ETHICS COMM.

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

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)
<u>IRA Roth</u>	<u>Category E</u>

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

Name: D. Billy Jones  
Title of Position: Assembly member  
Address of Present Office: 202 US Oval Plt Albany NY 12203

[Signature]  
Signature of reporting individual

6/13/18  
Date (month/day/year)

**LEGISLATIVE ETHICS COMMISSION  
STATE OF NEW YORK**

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

**RECEIVED**

**Question 16 Amendment Form  
for Calendar Year 2017**

**MAY 15 2018**

BY MB  
LEG. ETHICS COMM.

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

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.

Percentage  
of corporate  
stock owned  
or controlled  
(if more than  
5% of pub-  
licly traded

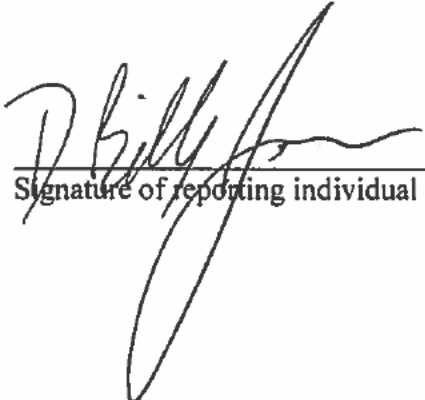
Category of  
Market Value  
as of the close  
of the

Self/ Spouse	Issuing Entity	Type of Security	stock, or more than 10% of stock not publicly traded, is held)	taxable year last occurring prior to the filing of this statement (In Table II)
self	Roth	IRA	Please see attached	

Name: D. Billy Jones

Title of Position: Member of Assembly

Address of Present Office: 202 US Oval Plattsburgh NY 12903

  
Signature of reporting individual

5/14/18  
Date (month/day/year)



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



## Your Ameriprise statement

for October 1, 2017 to December 31, 2017

PREPARED FOR MR DAVID W JONES

### Value of your accounts

	This period	This year
Beginning value	\$33,343.77	\$29,319.47
Net deposits & withdrawals	\$0.00	\$0.00
Dividends & interest	\$395.44	\$530.84
Change in value	\$1,030.47	\$4,919.37
Ending value	<b>\$34,769.68</b>	<b>\$34,769.68</b>

### Your asset allocation



Asset class	Value on Dec 31, 2017	Percent of assets
○ Cash & cash investments*	\$7,301.63	21.0%
● Fixed income	\$8,344.72	24.0%
○ Equities	\$19,123.33	55.0%
<b>Total assets</b>	<b>\$34,769.68</b>	<b>100%</b>

\*Cash investments includes cash held inside pooled investments (e.g. mutual funds), as part of a manager's investment strategy, and is not directly accessible unless you sell some of that investment. For details visit [ameriprise.com/allocation](http://ameriprise.com/allocation).

050500

### Your personal advising team

Ameriprise Northeast Team

A financial advisory practice of Ameriprise Financial Services, Inc.

753 Ameriprise Financial Ctr

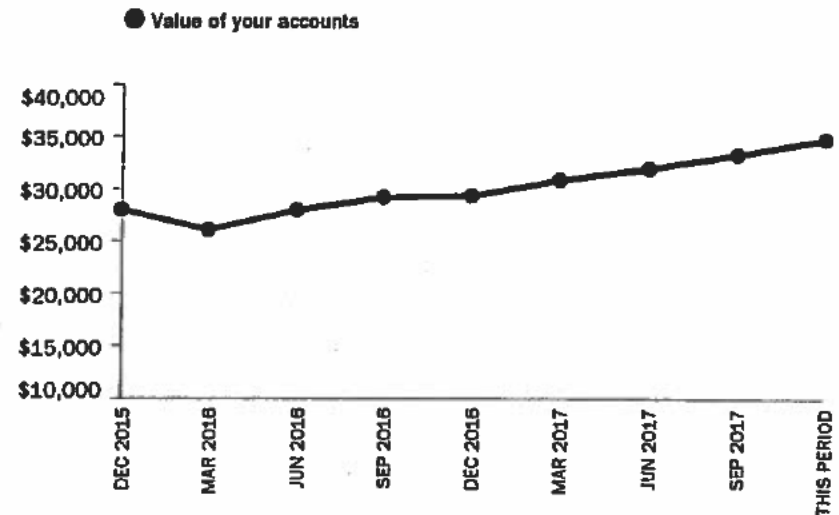
Minneapolis, MN 55474-0007

800.297.2012

[northeast.aac@ampf.com](mailto:northeast.aac@ampf.com)

[ameripriseadvisors.com/team/ameriprise-northeast-team](http://ameripriseadvisors.com/team/ameriprise-northeast-team)

### Value of your accounts over time



Get all the details online at [ameriprise.com](http://ameriprise.com). Click the Portfolio tab to find your latest account value, activity and asset allocation. Your Ameriprise financial advisor can help you understand how the stated account value shown here may differ from the amount you'd receive if you sold your assets (after any tax withholding, outstanding loans, pending transactions and potential fees).

## Plan contribution and distribution summary

Are you maximizing your retirement savings? Different types of retirement accounts have different contribution limits. You may qualify to contribute up to \$5500 each year to a Traditional or Roth IRA, plus an additional \$1000 if you're over age 50. Learn more at [ameriprise.com/contributions](http://ameriprise.com/contributions).

Plan name	Plan ID	Tax year 2016 contributions	Tax year 2017 contributions	Tax year 2017 distributions
<b>Retirement Plans</b>				
DAVID W JONES ROTH IRA PLAN		\$0.00	\$0.00	\$0.00
<b>Total retirement plan</b>		<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>



October 1, 2017 - December 31, 2017

**Ameriprise Brokerage Account**

Account #

AMERIPRISE TRUST COMPANY

C/O DAVID W JONES

AS CUSTD FOR THE DAVID W JONES

ROTH CONTRIBUTORY IRA

Plan ID

**Account Summary**

	This Year	This Period
Beginning Value	\$29,319.47	\$33,343.77
Additions	\$0.00	\$0.00
Withdrawals	\$0.00	\$0.00
Change in Value	\$5,450.21	\$1,425.91
Ending Value <sup>7</sup>	\$34,769.68	\$34,769.68

**Product Summary**

	Last Period	This Period
Investments	\$33,343.77	\$34,769.68
Ending Value	\$33,343.77	\$34,769.68
Trade Activity	Year-to-Date	This Period
Securities Purchased	-\$2,373.97	-\$1,474.90
Securities Sold	\$0.00	\$0.00

**Income Summary**

	This Year	This Period
Dividends	\$794.58	\$564.26
Capital Gains	\$1,579.39	\$910.64
Total Income	\$2,373.97	\$1,474.90

Important information for IRA Clients: If you are an IRA client, the interest and dividends described on this statement may not be taxable to you. In general, distributions from your IRA will be taxed as ordinary income for the year in which the distribution occurs.

**Account Holdings**

Symbol/Cusip Rating	Description	Beginning Value	Quantity	Ending Price	Ending Value	Cost Basis <sup>1</sup>	Estimated		
							Unrealized Gain/Loss	Annual Income	Yield
Mutual Funds									
NBIAX	COLUMBIA CAP ALLOC MODERATE AGGRESSIVE CL A	\$33,343.77	2,676.65000	\$12.9900	\$34,769.68	\$32,007.31	\$2,762.36	\$454	1.31%
Total Account Holdings					\$34,769.68	\$32,007.31	\$2,762.36	\$454	

<sup>1</sup> Cost basis amounts are not a measure of investment return or performance. For investment performance information please contact your financial advisor. These amounts estimate the unrealized gain or loss on the securities you have purchased. Cost basis amounts on your statement are provided for informational purposes only and may be incomplete or unavailable for some of your holdings at this time. For tax preparation, please refer to your year-end tax package and consult your tax advisor.

<sup>7</sup> Ending value amounts for Account Holdings represent information posted as of trade date and thus may include transactions that have not settled as of the date of this statement. Total Value is derived from both assets held by the firm in your account, as well as assets held away which is reported for convenience purposes.

See the Disclosures section of this statement for more information.

October 1, 2017 - December 31, 2017

**Ameriprise Brokerage Account (cont'd)**

AMERIPRISE TRUST COMPANY  
C/O DAVID W JONES  
AS CUSTD FOR THE DAVID W JONES  
ROTH CONTRIBUTORY IRA

Account #

Plan ID

**Account Activity Detail**

Date	Transaction	Description	Symbol/ Cusip	Amount	Quantity	Price
<b>Trade Activity</b>						
<b>Securities Purchased</b>						
12/22/2017	DIV REIN LT CAP GAIN	COLUMBIA CAP ALLOC MODERATE AGGRESSIVE CL A REINVEST AT 12.970	NBIAX	-\$910.64	70.21100	
12/22/2017	REINVEST DIV	COLUMBIA CAP ALLOC MODERATE AGGRESSIVE CL A REINVEST AT 12.970	NBIAX	-\$395.44	30.48900	
12/22/2017	DIV REIN ST CAP GAIN	COLUMBIA CAP ALLOC MODERATE AGGRESSIVE CL A REINVEST AT 12.970	NBIAX	-\$168.82	13.01600	
		<b>Total Securities Purchased</b>		<b>-\$1,474.90</b>		
<b>Other Activity</b>						
<b>Income</b>						
12/21/2017	LONG TERM CAP GAIN	COLUMBIA CAP ALLOC MODERATE AGGRESSIVE CL A 122117 2,519.42900	NBIAX	\$910.64		
12/21/2017	DIVIDEND	COLUMBIA CAP ALLOC MODERATE AGGRESSIVE CL A 122117 2,479.70700	NBIAX	\$395.44		
12/21/2017	SHORT TERM CAP GAIN	COLUMBIA CAP ALLOC MODERATE AGGRESSIVE CL A 122117 2,462.23400	NBIAX	\$168.82		
		<b>Total Income</b>		<b>\$1,474.90</b>		

## Important disclosures

### RiverSource Disclosures:

RiverSource Distributors, Inc. (Distributor), Member FINRA. Insurance and annuity products are issued by RiverSource Life Insurance Company and in New York only, by RiverSource Life Insurance Co. of New York, Albany, New York. These companies are affiliated with Ameriprise Financial Services Inc. Only RiverSource Life Insurance Co. of New York is authorized to sell insurance and annuities in New York.

**SIPC coverage:** Brokerage accounts are protected by the Securities Investor Protection Corporation (SIPC) up to a maximum of \$500,000 per client, which includes a \$250,000 limit on claims for uninvested cash held in the account awaiting investment. SIPC provides protection against custodial risk to clients of brokerage firms like AFSI or AEIS in the event the firms becomes insolvent. We have obtained excess coverage on total brokerage account assets up to \$24.5 million per client, with a firm aggregate of \$100 million for all customer accounts. Assets with RiverSource Life Insurance Company, assets held with other unaffiliated insurance companies, and mutual fund or other assets held in accounts other than an Ameriprise Financial brokerage account, are not covered by SIPC. You may obtain information regarding SIPC, including an information brochure, via the Internet, by phone, email or regular mail: <http://www.sipc.org>; Tel: 202.371.8300; Email: [ask@sipc.org](mailto:ask@sipc.org); Per [SIPC.org](http://www.sipc.org), address is Securities Investor Protection Corporation, 1667 K St. N.W., Suite 1000 Washington, D.C. 20006-1620

**Securities pricing:** The prices, values, yields and annual income shown on your statement are estimates obtained from the issuer, our affiliates, or various pricing services we believe to be reliable. We cannot guarantee the accuracy of these estimates. The estimates may be based on closing prices, bid/ask quotations, or a matrix based on interest rates for similar securities. In some cases the estimate may reflect a value calculated prior to the current statement period. The estimated prices, annual income and yield do not represent actual income or prices at which the securities could have been purchased or sold. We cannot guarantee the accuracy of these estimates. Securities that do not have prices available or for which we have not received data from our pricing services are not included in the total account value.

**Activity for this period:** Information regarding transaction execution time and capacity will be furnished upon written request. Transaction(s) that have not yet settled by the date of this statement will appear on your next statement.

**"Covered" securities:** A security is considered "covered" and subject to special basis and holding period tax reporting rules under these conditions: 1) Stock, including real estate investment trusts (REITs) acquired on or after Jan. 1, 2011, and not purchased under a dividend reinvestment program 2) Mutual funds and REITs/stocks in a dividend reinvestment program purchased on or after Jan. 1, 2012 (except money market funds) 3) Certain options and debt securities with less complex tax treatment purchased on or after Jan 1, 2014, and 4) Certain options and debt securities with more complex tax treatment purchased on or after Jan 1, 2016. Some securities are not "covered" by definition, see below. When a covered investment is sold, we will report the cost basis and holding period of the investment to you and the IRS. The cost basis information provided on your consolidated statement may not be used for tax reporting purposes. For tax reporting purposes, use the information provided to you on Form 1099-B, Proceeds From Broker and Barter Exchange Transactions, which will be sent early in the year following the tax year in which the investment was sold.

**"Noncovered" securities:** "Noncovered" is a term for those securities that are not subject to the required reporting described above. Ameriprise Financial provides cost basis information, if available, to clients, but not the IRS, for many noncovered securities including noncovered equities, mutual funds, exchange-traded funds (ETFs), exchange-traded notes (ETNs), business development corporations (BDCs), unit investment trusts (UITs), real estate investment trusts (REITs), debt instruments, and options acquired before the effective dates listed above. Certain other securities are currently excluded from the cost basis reporting rules, including money market funds, short-term debt instruments, real estate mortgage investments conduits (REMICs)

and other mortgage-backed securities, partnerships, trusts, and prepaid forward contracts (including certain structured products). The cost basis information provided for noncovered securities may not include changes due to corporate actions (such as mergers, spin-offs, stock dividends or cash dividends in lieu of fractional shares), wash sales, certain mutual fund adjustments, return of capital, certain adjustments to fixed income securities (including early prepayment of principal, premium amortization, accrual of market discount or original issue discount), or transfers of existing positions into Ameriprise by new or existing clients. Ameriprise is not responsible for noncovered cost basis information, and will not verify cost basis information that is provided by someone else (including a client, an advisor or another entity, such as a broker) or is the result of a transfer between persons (including inheritance, gift, divorce, distributions from a trust, shares used to repay a loan, etc.). It also will not verify noncovered cost basis information obtained through corporate acquisitions by Ameriprise (such as H&R Block Financial Advisors Inc. and J. & W. Seligman & Co. Inc.). For transactions related to any of these activities for noncovered shares, review your records and consult your tax advisor when preparing your tax return.

**Free Credit Balance:** In general, a free credit balance represents cash held in your brokerage account that is payable upon your demand which, although properly accounted for on our books, may at times not be segregated and may be used by AEIS in the conduct of the firm's business. We may, but are not obligated to pay you interest on any free credit balances, and we may earn income from the balances as compensation for servicing your account.

**Margin account customers:** This statement is a combined statement of your margin sub-account and special memorandum sub-account maintained for you under Section 4(f)(6) of Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the separate sub-account, as required by Regulation T, is available for your inspection upon request. Securities purchased on margin are the clearing firm's collateral for the loan to you. If the securities in your account decline in value, so does the value of the collateral supporting your loan, and, as a result, the clearing firm can take action, such as issue a margin call and/or sell securities or other assets in any of your non-qualified accounts held with the clearing firm, in order to maintain the required equity in the account. It is important that you fully understand the risks involved in trading securities on margin. These risks include the following:

- You can lose more funds than you deposit in the margin account.
- The firm can force the sale of securities or other assets in any of your non-qualified account(s).
- The firm can sell your securities or other assets without contacting you.
- You are not entitled to choose which securities or other assets in your account(s) are liquidated or sold to meet a margin call.
- The firm can increase its "house" maintenance margin requirements at any time and is not required to provide you advance written notice.
- You are not entitled to an extension of time on a margin call.

Ameriprise Financial Services Inc., RiverSource Life Insurance Company, RiverSource Life Insurance Co. of New York, Albany, New York, and Ameriprise Certificate Company are not banks, and the securities they offer are not backed or guaranteed by any bank, nor are they insured by the FDIC.

### Payment for Order Flow Policy:

AEIS may receive compensation from various broker/dealers or market centers for directing its trade volume to those institutions for execution. This form of compensation is often referred to as "Payment for Order Flow". Payment for Order Flow may be paid to AEIS in the form of monetary payments. AEIS payment for order flow and order routing policies are furnished to customers on an annual basis.

**Order Routing Policy:** Some market centers or broker-dealers may execute orders at prices superior to the publicly quoted market. AEIS considers a number of factors in its decision process as to the exchanges and market centers to which it directs its customer orders for execution. These factors include but are not limited to: the speed of execution; the opportunity

for price improvement; liquidity enhancement opportunities; trading characteristics of the particular individual security; and size of the order. These factors are taken into consideration regardless of whether payment for order flow is received. For more detailed information, please visit our Order Routing Report published quarterly on [ameriprise.com](http://ameriprise.com). The report can be accessed by the following path: [ameriprise.com](http://ameriprise.com) > Click "Products and Services" > Click "Investments" > Click "Stocks and ETPs" > Click "SEC 606 Order Routing Report" in the Related Information section.

**Financial Interest in Products:** AFSI has a financial interest in the sales of proprietary products that are manufactured by its affiliates. AFSI and its affiliates receive more revenue from the sale of some financial products and services, particularly those products and services sold under the Ameriprise, Columbia Management Investment Advisers, LLC and RiverSource brands, than for the sale of other products and services. AFSI generally also receives more revenue for securities or products sold in a fee-based account than for those sold with only a sales charge or commission.

**Revenue:** Higher revenue generally results in greater profitability for the firm. Employee compensation (including management and field leader compensation) and operating goals at all levels of the company are tied to the company's success. Columbia Management Investment Advisers, LLC, sales leaders and other employees generally spend more of their time and resources promoting Ameriprise, Columbia Management and RiverSource products and services. Both AFSI and your individual financial advisor are compensated when you buy a mutual fund through AFSI. Generally, your financial advisor receives a substantial portion of the sales charge and distribution and shareholder service (12b-1) fees paid to the firm in connection with your purchase for as long as you own your fund shares. Sales charges and 12b-1 fees vary from fund to fund and from class to class. AFSI and the advisor receive more compensation on fund or share classes that pay higher fees. AFSI and the advisor generally receive less compensation when the sales charge is reduced or waived completely.

**Valuation of Alternative Investments:** Interests in limited partnerships (LPs), hedge fund offerings (HFOs), non-traded real estate investment trusts (non-traded REITs), non-traded business development companies (non-traded BDCs), non-traded closed-end funds, real estate private placement (REPPs), tenant-in-common real estate securities (1031s), managed futures funds (MFFs), private equity offerings or other alternative investments (Alternative Investments), which are not listed on a national exchange, are generally illiquid because no formal trading market exists for these securities. Their values may be different from the purchase price and may not necessarily be realized if the issuer liquidates the security or if you sell your interests. If accurate pricing is not available, the value of the position will be reflected as "Not Priced". The valuation of interests in Alternative Investments is either the initial offering price or an estimated value, both of which have been provided by the issuer. Other than the initial offering price, the values of the positions you hold represent estimates of your interest in the net assets of the program and are reflected in the total value of your account, shown herein. In limited circumstances, generally where the position has been purchased at another financial institution, the valuation may be provided by an independent third party pricing agent. Each issuer of an Alternative Investment or third party may have a different method of valuation, and may apply various methods of valuation throughout the life of the investment. Generally, the factors considered include, but are not limited to: actual or estimated property or securities values, capitalization rates, acquisition costs, current and/or future cash flows, activity in an informal secondary market or overall performance. For publicly registered companies, the valuation methodology is described in the issuer's annual report and other current periodic reports, which are available to clients. For unregistered products/private placements, contact the managing general partner or company for further information about valuation. The number of units owned has been provided by the management of each program and may not necessarily reflect activity after the initial purchase.

**FINRA Public Disclosure Program:** An investor brochure describing FINRA's Public Disclosure Program is available on FINRA's Web Site ([FINRA.org](http://FINRA.org)) or by calling 800.289.9999.

**Important Notice Regarding Your Custodial Individual Retirement Account (IRA) or Tax-Sheltered Custodial Account (TSCA):** Custodial fees are waived for households that have Achiever Circle Elite status at the month end prior to fee collection. "Your Guide to IRAs" provides details of the Ameriprise custodial fee policy. If you do not have an alternate fee billing arrangement, the annual custodial fee will be removed from your IRA/TSCA account at the time of your scheduled fee collection. Contact your advisor for further details or to receive an updated version of "Your Guide to IRAs".

**In Case of Errors or Questions About Your Electronic Funds Transfer:** If you think a transfer on your statement or on a receipt is wrong, write to us at American Enterprise Investment Services, Inc., 70400 Ameriprise Financial Center, Minneapolis, MN 55474, or call us at 800.862.7919 as soon as possible. We must hear from you no later than 60 days after we sent you the FIRST statement on which the error appeared. Please tell us: your name and account number; the dollar amount of the suspected error; describe the error or transfer you are unsure about and explain why you believe there is an error. We may take up to 45 days to investigate your complaint or question. If the investigation takes more than 10 business days, we will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes us to complete our investigation. If you call us, we may require that you send us your complaint or question in writing within 10 business days. If we ask you to put your complaint or question in writing and we do not receive it within 10 business days, we may not credit your account. For errors involving new accounts, point-of-sale, or foreign-initiated transactions, we may take up to 90 days to investigate your complaint or question. For new accounts, we may take up to 20 business days to credit your account for the amount you think is in error. We will tell you the results within three business days after completing our investigation. If we decide that there was no error, we will send you a written explanation. You may ask for copies of the documents that we used in our investigation.

**Equity Dividend Reinvestment (DRIP) Customers:** Transactions to purchase shares for the DRIP program are executed on an Agency basis by AEIS. The time of the details of the DRIP transactions will be furnished upon written request.

We reserve the right to negotiate terms and conditions on limit orders for institutional accounts and on institution-sized limit orders. We reserve the right to decline to accept and may reject any limit orders in your account.

**Assets Held Outside of Your Brokerage Account:** Certain assets purchased through AFSI are displayed on this statement as a courtesy to you, even though the assets are held at a third party, and not in your brokerage account. These products may include but are not limited to Variable Annuities and Life Insurance products; Hedge Fund Offerings; Private Equity Offerings; Managed Futures Funds; Exchange Funds, Real Estate Private Placements, DST/TICs, and certain 529 Plans. Ownership records for these products, valuation information, and SIPC coverage, if applicable, are the responsibility of the company holding the assets, and not AFSI or AEIS.

**Non-Traded Real Estate Investment Trust (Non-Traded REIT) DRIP Customers:** If you participate in the Distribution Reinvestment Plan or make subsequent purchases of shares and you experience a material adverse change in your financial condition, promptly notify your financial advisor.

**Callable Securities:** When we hold securities which are callable in part on your behalf, you agree to participate in the impartial lottery allocation system for the called securities in accordance with the provisions of the exchange on which they trade, and in compliance with industry rules. For further details about the allocation process please go to [Ameriprise.com/callable-securities](http://Ameriprise.com/callable-securities).

**Compensation for Clearing and Execution.** American Enterprise Investment Services, Inc., may receive remuneration for directing your orders to a particular broker or dealer for execution. Such remuneration is considered compensation to us, and the source and amount of any compensation will be disclosed to you upon your written request. Compensation for Over The Counter (OTC) equity transactions and listed option transactions may be in the form of a per share or per contract cash payment. AEIS has selected certain market makers to provide execution of OTC securities transactions; these firms, have agreed to accept orders transmitted

**LEGISLATIVE ETHICS COMMISSION  
STATE OF NEW YORK**

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

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**Question 12(b) Amendment Form  
for Calendar Year 2017**

MAY 15 2018

BY MB  
LEG. ETHICS COMM.

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

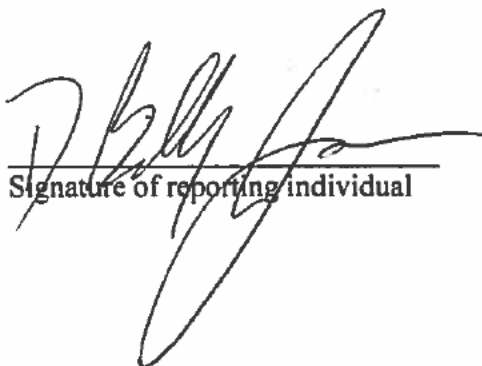
12. (b) Describe the parties to and the terms of any agreement providing for continuation of payments or benefits to the REPORTING INDIVIDUAL in EXCESS of \$1,000 from a prior employer OTHER THAN the State. (This includes interests in or contributions to a pension fund, profit-sharing plan, or life or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

N/A

Name: D. Billy Jones

Title of Position: Member of Assembly

Address of Present Office: 202 US Oval Plattsburgh, NY 12903

  
Signature of reporting individual

5/14/18  
Date (month/day/year)