

**Governance Information (Authority-Related)**

Question	Response	URL (if applicable)
1. Has the Authority prepared its annual report on operations and accomplishments for the reporting period as required by section 2800 of PAL?	Yes	<a href="http://www.undc.org">http://www.undc.org</a>
2. As required by section 2800(9) of PAL, did the Authority prepare an assessment of the effectiveness of its internal controls?	Yes	<a href="http://www.undc.org">http://www.undc.org</a>
3. Has the Authority named an internal control officer in accordance with section 2931 of PAL?	Yes	N/A
4. Please enter the number of staff assigned the internal control function.	4	N/A
5. Has the lead audit partner for the independent audit firm changed in the last five years in accordance with section 2802(4) of PAL?	Yes	N/A
6. Does the independent auditor provide non-audit services to the Authority?	Yes	N/A
7. Does the Authority have an organization chart?	Yes	<a href="http://www.undc.org">http://www.undc.org</a>
8. Are any Authority staff also employed by another government agency?	No	
9. Has the Authority posted their mission statement to their website?	Yes	<a href="http://www.undc.org">http://www.undc.org</a>
10 Has the Authority's mission statement been revised and adopted during the reporting period?	No	N/A
11 Attach the Authority's measurement report, as required by section 2824-a of PAL and provide the URL.		<a href="http://www.undc.org">http://www.undc.org</a>
12 Has the Authority adopted a lobbying policy in accordance with section 2987 of PAL?	Yes	<a href="http://www.undc.org">http://www.undc.org</a>
Lobbying officer name	Robert Cole	N/A
13 Has the Authority maintained a record of all lobbying contacts during the reporting period, as required by section 2987 of PAL?	No	N/A

**Governance Information (Board-Related)**

Question	Response	URL
1. Has the Board established a Governance Committee in accordance with Section 2824(7) of PAL?	Yes	N/A
2. Has the Board established an Audit Committee in accordance with Section 2824(4) of PAL?	Yes	N/A
3. Has the Board established Finance Committee in accordance with Section 2824(8) of PAL?	Yes	N/A
4. Provide a URL link where a list of Board committees can be found (including the name of the committee and the date established):		<a href="http://www.undc.org">http://www.undc.org</a>
5. Does the majority of the Board meet the independence requirements of Section 2825(2) of PAL?	Yes	N/A
6. Provide a URL link to the minutes of the Board and committee meetings held during the covered fiscal year		<a href="http://www.undc.org">http://www.undc.org</a>
7. Has the Board adopted bylaws and made them available to Board members and staff?	Yes	<a href="http://www.undc.org">http://www.undc.org</a>
8. Has the Board adopted a code of ethics for Board members and staff?	Yes	<a href="http://www.undc.org">http://www.undc.org</a>
9. Does the Board review and monitor the Authority's implementation of financial and management controls?	Yes	N/A
10. Does the Board execute direct oversight of the CEO and management in accordance with Section 2824(1) of PAL?	Yes	N/A
11. Has the Board adopted policies for the following in accordance with Section 2824(1) of PAL?		
Salary and Compensation	Yes	N/A
Time and Attendance	Yes	N/A
Whistleblower Protection	Yes	N/A
Defense and Indemnification of Board Members	Yes	N/A
12. Has the Board adopted a policy prohibiting the extension of credit to Board members and staff in accordance with Section 2824(5) of PAL?	Yes	N/A
13. Are the Authority's Board members, officers, and staff required to submit financial disclosure forms in accordance with Section 2825(3) of PAL?	Yes	N/A
14. Was a performance evaluation of the board completed?	Yes	N/A
15. Was compensation paid by the Authority made in accordance with employee or union contracts?	Yes	N/A
16. Has the board adopted a conditional/additional compensation policy governing all employees?	No	

**Board of Directors Listing**

Name	Burden, Amanda M	Name	Wambua, Mathew M
Chair of the Board	No	Chair of the Board	No
If yes, Chairman Designated by.		If yes, Chairman Designated by.	
Term Start Date	01/15/2002	Term Start Date	04/04/2011
Term Expiration Date	Ex-Officio	Term Expiration Date	Ex-Officio
Title	Member	Title	Member
Has the Board member appointed a designee?	Yes	Has the Board member appointed a designee?	Yes
Designee Name	Eric Kober	Designee Name	Kimberly Hardy
Ex-officio	Yes	Ex-officio	Yes
Nominated By	Ex-Officio	Nominated By	Ex-Officio
Appointed By	Ex-Officio	Appointed By	Ex-Officio
Confirmed by Senate?		Confirmed by Senate?	
Has the Board member/designee signed the acknowledgement of fiduciary duty?	Yes	Has the Board member/designee signed the acknowledgement of fiduciary duty?	Yes
Complied with training requirement of Section 2824?	No	Complied with training requirement of Section 2824?	No
Does the Board member/designee also hold an elected or appointed State gove	No	Does the Board member/designee also hold an elected or appointed State gove	No
Does the Board member/designee also hold an elected or appointed municipal government position?	Yes	Does the Board member/designee also hold an elected or appointed municipal government position?	Yes

**Board of Directors Listing**

Name	Clarke-Ceres, Michele L	Name	Gulotta, Thomas S
Chair of the Board	No	Chair of the Board	No
If yes, Chairman Designated by.		If yes, Chairman Designated by.	
Term Start Date	02/24/2010	Term Start Date	01/12/2010
Term Expiration Date	11/02/2012	Term Expiration Date	11/02/2012
Title		Title	
Has the Board member appointed a designee?		Has the Board member appointed a designee?	
Designee Name		Designee Name	
Ex-officio	No	Ex-officio	No
Nominated By	Governor	Nominated By	Governor
Appointed By	Governor	Appointed By	Governor
Confirmed by Senate?		Confirmed by Senate?	
Has the Board member/designee signed the acknowledgement of fiduciary duty?	Yes	Has the Board member/designee signed the acknowledgement of fiduciary duty?	Yes
Complied with training requirement of Section 2824?	Yes	Complied with training requirement of Section 2824?	Yes
Does the Board member/designee also hold an elected or appointed State gove	No	Does the Board member/designee also hold an elected or appointed State gove	No
Does the Board member/designee also hold an elected or appointed municipal government position?	No	Does the Board member/designee also hold an elected or appointed municipal government position?	No

**Board of Directors Listing**

Name	Eaddy, Richard W	Name	Abrams, Robert
Chair of the Board	No	Chair of the Board	No
If yes, Chairman Designated by.		If yes, Chairman Designated by.	
Term Start Date	05/05/2009	Term Start Date	08/19/2008
Term Expiration Date	11/02/2010	Term Expiration Date	11/08/2010
Title		Title	
Has the Board member appointed a designee?		Has the Board member appointed a designee?	
Designee Name		Designee Name	
Ex-officio	No	Ex-officio	No
Nominated By	Governor	Nominated By	Governor
Appointed By	Governor	Appointed By	Governor
Confirmed by Senate?		Confirmed by Senate?	
Has the Board member/designee signed the acknowledgement of fiduciary duty?	Yes	Has the Board member/designee signed the acknowledgement of fiduciary duty?	Yes
Complied with training requirement of Section 2824?	Yes	Complied with training requirement of Section 2824?	Yes
Does the Board member/designee also hold an elected or appointed State gove	No	Does the Board member/designee also hold an elected or appointed State gove	No
Does the Board member/designee also hold an elected or appointed municipal government position?	Yes	Does the Board member/designee also hold an elected or appointed municipal government position?	No

**Board of Directors Listing**

Name	Shenoy, Andy K	Name	Loeb, Jeanette
Chair of the Board	No	Chair of the Board	No
If yes, Chairman Designated by.		If yes, Chairman Designated by.	
Term Start Date	12/10/2010	Term Start Date	11/29/2007
Term Expiration Date	11/02/2011	Term Expiration Date	06/30/2010
Title		Title	
Has the Board member appointed a designee?		Has the Board member appointed a designee?	
Designee Name		Designee Name	
Ex-officio	No	Ex-officio	No
Nominated By	Governor	Nominated By	Local
Appointed By	Governor	Appointed By	Local
Confirmed by Senate?		Confirmed by Senate?	
Has the Board member/designee signed the acknowledgement of fiduciary duty?	Yes	Has the Board member/designee signed the acknowledgement of fiduciary duty?	Yes
Complied with training requirement of Section 2824?	Yes	Complied with training requirement of Section 2824?	Yes
Does the Board member/designee also hold an elected or appointed State gove	No	Does the Board member/designee also hold an elected or appointed State gove	No
Does the Board member/designee also hold an elected or appointed municipal government position?	No	Does the Board member/designee also hold an elected or appointed municipal government position?	No

**Board of Directors Listing**

Name	Silverman, Joel M	Name	Tiven, Marjorie B
Chair of the Board	No	Chair of the Board	No
If yes, Chairman Designated by.		If yes, Chairman Designated by.	
Term Start Date	03/26/2012	Term Start Date	08/07/2007
Term Expiration Date	03/26/2015	Term Expiration Date	06/30/2010
Title		Title	
Has the Board member appointed a designee?		Has the Board member appointed a designee?	
Designee Name		Designee Name	
Ex-officio	No	Ex-officio	No
Nominated By	Local	Nominated By	Local
Appointed By	Local	Appointed By	Local
Confirmed by Senate?		Confirmed by Senate?	
Has the Board member/designee signed the acknowledgement of fiduciary duty?	Yes	Has the Board member/designee signed the acknowledgement of fiduciary duty?	Yes
Complied with training requirement of Section 2824?	Yes	Complied with training requirement of Section 2824?	Yes
Does the Board member/designee also hold an elected or appointed State gove	No	Does the Board member/designee also hold an elected or appointed State gove	No
Does the Board member/designee also hold an elected or appointed municipal government position?	No	Does the Board member/designee also hold an elected or appointed municipal government position?	Yes

**Board of Directors Listing**

Name	Farkas, Jonathan D	Name	Klein, George
Chair of the Board	No	Chair of the Board	Yes
If yes, Chairman Designated by.		If yes, Chairman Designated by.	Local
Term Start Date	10/12/2011	Term Start Date	08/07/2007
Term Expiration Date	11/02/2013	Term Expiration Date	06/30/2010
Title		Title	
Has the Board member appointed a designee?		Has the Board member appointed a designee?	
Designee Name		Designee Name	
Ex-officio	No	Ex-officio	No
Nominated By	Governor	Nominated By	Local
Appointed By	Governor	Appointed By	Local
Confirmed by Senate?		Confirmed by Senate?	
Has the Board member/designee signed the acknowledgement of fiduciary duty?	Yes	Has the Board member/designee signed the acknowledgement of fiduciary duty?	Yes
Complied with training requirement of Section 2824?	Yes	Complied with training requirement of Section 2824?	Yes
Does the Board member/designee also hold an elected or appointed State gove	No	Does the Board member/designee also hold an elected or appointed State gove	No
Does the Board member/designee also hold an elected or appointed municipal government position?	No	Does the Board member/designee also hold an elected or appointed municipal government position?	No

**Board of Directors Listing**

Name	Polivy, Steven P	Name	Natapoff, Samuel
Chair of the Board	No	Chair of the Board	No
If yes, Chairman Designated by.		If yes, Chairman Designated by.	
Term Start Date	09/17/2009	Term Start Date	12/10/2010
Term Expiration Date	11/20/2011	Term Expiration Date	01/08/2011
Title		Title	
Has the Board member appointed a designee?		Has the Board member appointed a designee?	
Designee Name		Designee Name	
Ex-officio	No	Ex-officio	No
Nominated By	Governor	Nominated By	Governor
Appointed By	Governor	Appointed By	Governor
Confirmed by Senate?		Confirmed by Senate?	
Has the Board member/designee signed the acknowledgement of fiduciary duty?	Yes	Has the Board member/designee signed the acknowledgement of fiduciary duty?	Yes
Complied with training requirement of Section 2824?	Yes	Complied with training requirement of Section 2824?	Yes
Does the Board member/designee also hold an elected or appointed State gove	No	Does the Board member/designee also hold an elected or appointed State gove	No
Does the Board member/designee also hold an elected or appointed municipal government position?	No	Does the Board member/designee also hold an elected or appointed municipal government position?	No

**Board of Directors Listing**

Name	Gelb, Bruce S
Chair of the Board	No
If yes, Chairman Designated by.	
Term Start Date	08/07/2007
Term Expiration Date	06/30/2009
Title	
Has the Board member appointed a designee?	
Designee Name	
Ex-officio	No
Nominated By	Local
Appointed By	Local
Confirmed by Senate?	
Has the Board member/designee signed the acknowledgement of fiduciary duty?	Yes
Complied with training requirement of Section 2824?	Yes
Does the Board member/designee also hold an elected or appointed State gove	No
Does the Board member/designee also hold an elected or appointed municipal government position?	No

**Staff Listing**

Name	Title	Group	Department / Subsidiary	Union Name	Bargaining Unit	Full Time/Part Time	Exempt	Base Annualized Salary	Actual salary paid to the Individual	Over time paid by Authority	Performance Bonus	Extra Pay	Other Compensation/Allowances/Adjustments	Total Compensation	Individual also paid by another entity to perform the work of the Authority	If yes, Is the payment made by State or local government
BENNETT, AMANDA	ASSISTANT VICE PRESIDENT	Operational				FT	Yes	70,593.00	70,593	0	0	0	0	70,593	No	
COLE, ROBERT B	STAFF ATTORNEY	Professional				FT	Yes	173,000.00	173,000	0	0	0	0	173,000	No	
COOPERSMITH, KENNETH S	VICE PRESIDENT	Managerial				FT	Yes	157,380.00	157,380	0	0	0	0	157,380	No	
DIAZ, MARIA LOIDA	PROGRAM OFFICER	Operational				FT	Yes	66,026.00	66,026	0	0	0	0	66,026	No	
FELDMAN, JEFFREY	PRESIDENT & CEO	Executive				FT	Yes	203,774.00	203,774	0	0	0	4,800	208,574	No	
FLORENTION, CASSANDRA	ADMINISTRATIVE ASSISTANT	Administrative and Clerical				PT	Yes	6,360.00	6,360	0	0	0	0	6,360	No	
FONTI, Dominic	PROJECT MANAGER	Managerial				PT	Yes	28,800.00	28,800	0	0	0	0	28,800	No	
HANDMAN, JUSTIN	ASSISTANT VICE PRESIDENT	Operational				FT	Yes	72,960.00	72,960	0	0	0	0	72,960	No	
HUPPERT, FRANCES	VICE PRESIDENT	Managerial				FT	Yes	140,000.00	140,000	0	0	0	0	140,000	No	
LIU, HUI-CHEN	DEPUTY CONTROLLER	Operational				FT	Yes	86,160.00	86,160	0	0	0	0	86,160	No	
NG, Mary	ADMINISTRATIVE ASSISTANT	Administrative and Clerical				PT	Yes	240.00	240	0	0	0	0	240	No	
ORTIZ, JORGE	CONTROLLER	Executive				FT	Yes	127,730.00	127,730	0	0	0	0	127,730	No	
PREISSNER, ROBERT M	SENIOR VICE PRESIDENT	Executive				FT	Yes	182,060.00	182,060	0	0	0	0	182,060	No	

**Staff Listing**

Name	Title	Group	Department / Subsidiary	Union Name	Bargaining Unit	Full Time/ Part Time	Exempt	Base Annualized Salary	Actual salary paid to the Individual	Over time paid by Authority	Performance Bonus	Extra Pay	Other Compensation/Allowances/Adjustments	Total Compensation	Individual also paid by another entity to perform the work of the Authority	If yes, Is the payment made by State or local government
ROSSMERE, EVE	ADMINISTRATIVE ASSISTANT	Administrative and Clerical				PT	Yes	2,160.00	2,160	0	0	0	0	2,160	No	
RUSSELL, DONNA	ACCOUNTING SECRETARY	Administrative and Clerical				FT	Yes	63,413.00	63,413	0	0	0	0	63,413	No	
TANG, TERESA	SENIOR ACCOUNTANT	Operational				FT	Yes	85,300.00	85,300	0	0	0	0	85,300	No	
XIE, CINDY	PROJECT ASSISTANT	Administrative and Clerical				FT	Yes	33,000.00	19,454	0	0	0	0	19,454	No	

**Benefit Information**

During the fiscal year, did the authority continue to pay for any of the above mentioned benefits for

No

**Board Members**

Name	Title	Severance Package	Payment for Unused Leave	Club Memberships	Use of Corporate Credit Cards	Personal Loans	Auto	Transportation	Housing Allowance	Spousal / Dependent Life Insurance	Tuition Assistance	Multi-Year Employment	None of These Benefits	Other
Klein, George	Board of Directors												X	
Loeb, Jeanette	Board of Directors												X	
Tiven, Marjorie B	Board of Directors												X	
Farkas, Jonathan D	Board of Directors												X	
Natapoff, Samuel	Board of Directors												X	
Shenoy, Andy K	Board of Directors												X	
Burden, Amanda M	Board of Directors												X	
Kober, Eric	Board of Directors												X	
Wambua, Mathew M	Board of Directors												X	
Hardy, Kimberly	Board of Directors												X	
Eaddy, Richard W	Board of Directors												X	
Clarke-Ceres, Michele L	Board of Directors												X	
Polivy, Steven P	Board of Directors												X	
Gulotta, Thomas S	Board of Directors												X	
Silverman, Joel M	Board of Directors												X	
Abrams, Robert	Board of Directors												X	
Gelb, Bruce S	Board of Directors												X	

**Staff**

Name	Title	Severance Package	Payment for Unused Leave	Club Memberships	Use of Corporate Credit Cards	Personal Loans	Auto	Transportation	Housing Allowance	Spousal / Dependent Life Insurance	Tuition Assistance	Multi-Year Employment	None of These Benefits	Other
COLE, ROBERT B	STAFF ATTORNEY												X	
COOPERSMITH, KENNETH S	VICE PRESIDENT												X	
FELDMAN, JEFFREY	PRESIDENT & CEO													X
HUPPERT, FRANCES	VICE PRESIDENT												X	
ORTIZ, JORGE	CONTROLLER												X	
PREISSNER, ROBERT M	SENIOR VICE PRESIDENT												X	

**Subsidiary/Component Unit Verification**

Is the list of subsidiaries, as assembled by the Office of the State Comptroller, correct? Yes

Are there other subsidiaries or component units of the Authority that are active, not included in the PARIS reports submitted by this Authority and not independently filing reports in PARIS? No

Name of Subsidiary/Component Unit	Status	Requested Changes
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**Subsidiary/Component Unit Creation**

Name of Subsidiary/Component Unit	Establishment Date	Entity Purpose
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**Subsidiary/Component Unit Termination**

Name of Subsidiary/Component Unit	Termination Date	Termination Reason	Proof of Termination
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Summary Financial Information

## SUMMARY STATEMENT OF NET ASSETS

<u>Assets</u>	
<b>Current Assets</b>	
Cash and cash equivalents	\$11,098,540
Investments	\$0
Receivables, net	\$444,674
Other assets	\$3,709,728
<b>Total Current Assets</b>	<b>\$15,252,942</b>
<b>Noncurrent Assets</b>	
Restricted cash and investments	\$43,082,961
Long-term receivables, net	\$145,190
Other assets	\$35,462,672
<b>Capital Assets</b>	
Land and other nondepreciable property	\$0
Buildings and equipment	\$149,867,496
Infrastructure	\$0
Accumulated depreciation	\$87,187,442
Net Capital Assets	\$62,680,054
<b>Total Noncurrent Assets</b>	<b>\$141,370,877</b>
<b>Total Assets</b>	<b>\$156,623,819</b>

Summary Financial Information

SUMMARY STATEMENT OF NET ASSETS

Liabilities

**Current Liabilities**

Accounts payable	\$3,210,486
Pension contribution payable	\$0
Other post-employment benefits	\$0
Accrued liabilities	\$2,295,469
Deferred revenues	\$307,783
Bonds and notes payable	\$4,985,000
Other long-term obligations due within one year	\$382,540
<b>Total Current Liabilities</b>	<b>\$11,181,278</b>

**Noncurrent Liabilities**

Pension contribution payable	\$0
Other post-employment benefits	\$0
Bonds and notes payable	\$97,765,745
Long Term Leases	\$0
Other long-term obligations	\$2,773,413
<b>Total Noncurrent Liabilities</b>	<b>\$100,539,158</b>

**Total Liabilities** \$111,720,436

Net Asset (Deficit)

**Net Asset**

Invested in capital assets, net of related debt	(\$7,023,374)
Restricted	\$23,355,391
Unrestricted	\$28,571,366
<b>Total Net Assets</b>	<b>\$44,903,383</b>

Summary Financial InformationSUMMARY STATEMENT OF REVENUE, EXPENSES AND CHANGES IN NET ASSETSOperating Revenues

Charges for services	\$0
Rental & financing income	\$41,094,064
Other operating revenues	\$0
<b>Total Operating Revenue</b>	<b>\$41,094,064</b>

Operating Expenses

Salaries and wages	\$1,909,166
Other employee benefits	\$0
Professional services contracts	\$2,471,652
Supplies and materials	\$0
Depreciation & amortization	\$5,127,655
Other operating expenses	\$16,263,485
<b>Total Operating Expenses</b>	<b>\$25,771,958</b>

**Operating Income (Loss)** \$15,322,106

Nonoperating Revenues

Investment earnings	\$100,091
State subsidies/grants	\$0
Federal subsidies/grants	\$0
Municipal subsidies/grants	\$0
Public authority subsidies	\$0
Other nonoperating revenues	\$0
<b>Total Nonoperating Revenue</b>	<b>\$100,091</b>

Summary Financial InformationSUMMARY STATEMENT OF REVENUE, EXPENSES AND CHANGES IN NET ASSETSNonoperating Expenses

Interest and other financing charges	\$4,425,156
Subsidies to other public authorities	\$0
Grants and donations	\$0
Other nonoperating expenses	\$41,698
<b>Total Nonoperating Expenses</b>	<b>\$4,466,854</b>
<b>Income (Loss) Before Contributions</b>	<b>\$10,955,343</b>
<b>Capital Contributions</b>	<b>\$0</b>
<b>Change in net assets</b>	<b>\$10,955,343</b>
<b>Net assets (deficit) beginning of year</b>	<b>\$33,948,040</b>
<b>Other net assets changes</b>	<b>\$0</b>
<b>Net assets (deficit) at end of year</b>	<b>\$44,903,383</b>

**Current Debt**

Question	Response
1. Did the Authority have any outstanding debt, including conduit debt, at any point during the reporting period?	Yes
2. If yes, has the Authority issued any debt during the reporting period?	No

**New Debt Issuances List by Type of Debt and Program**

No Data has been entered by the Authority for this section in PARIS

**Schedule of Authority Debt**

Type of Debt	Statutory Authorization (\$)	Outstanding Start of Fiscal Year (\$)	New Debt Issuances (\$)	Debt Retired (\$)	Outstanding End of Fiscal Year (\$)
<b>State Obligation</b>					
State Guaranteed					
State Supported					
State Contingent Obligation					
State Moral Obligation					
Other State Funded					
<b>Authority Obligation</b>					
General Obligation					
Revenue	0.00	102,162,500.00	0.00	4,800,000.00	97,362,500.00
Other Non-State Funded					
<b>Conduit</b>					
Conduit Debt					
Conduit Debt - Pilot Increment Financing					

Real Property Acquisition/Disposal List

This Authority has indicated that it had no real property acquisitions or disposals during the reporting period.

Personal Property

This Authority has indicated that it had no personal property disposals during the reporting period.

**Property Documents**

Question	Response	URL (if applicable)
1. In accordance with Section 2896(3) of PAL, the Authority is required to prepare a report at least annually of all real property of the Authority. Has this report been prepared?	Yes	<a href="http://www.undc.org">http://www.undc.org</a>
2. Has the Authority prepared policies, procedures, or guidelines regarding the use, awarding, monitoring, and reporting of contracts for the acquisition and disposal of property?	Yes	<a href="http://www.undc.org">http://www.undc.org</a>
3. In accordance with Section 2896(1) of PAL, has the Authority named a contracting officer who shall be responsible for the Authority's compliance with and enforcement of such guidelines?	Yes	

Additional Comments: