

**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.schenectadymetroplex.org">www.schenectadymetroplex.org</a>
2. As required by section 2800(9) of PAL, did the Authority prepare an assessment of the effectiveness of its internal controls?	No	
3. 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
4. Does the independent auditor provide non-audit services to the Authority?	No	N/A
5. Does the Authority have an organization chart?	Yes	<a href="http://www.schenectadymetroplex.org">www.schenectadymetroplex.org</a>
6. Are any Authority staff also employed by another government agency?	No	
7. Has the Authority posted their mission statement to their website?	Yes	<a href="http://www.schenectadymetroplex.org">www.schenectadymetroplex.org</a>
8. Has the Authority's mission statement been revised and adopted during the reporting period?	Yes	N/A
9. Attach the Authority's measurement report, as required by section 2824-a of PAL and provide the URL.		<a href="http://www.schenectadymetroplex.org">www.schenectadymetroplex.org</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.schenectadymetroplex.org">www.schenectadymetroplex.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.schenectadymetroplex.org">www.schenectadymetroplex.org</a>
7. Has the Board adopted bylaws and made them available to Board members and staff?	Yes	<a href="http://www.schenectadymetroplex.org">www.schenectadymetroplex.org</a>
8. Has the Board adopted a code of ethics for Board members and staff?	Yes	<a href="http://www.schenectadymetroplex.org">www.schenectadymetroplex.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	Lewis, Bradley G	Name	Capovani, Edward
Chair of the Board	No	Chair of the Board	No
If yes, Chair Designated by.		If yes, Chair Designated by.	
Term Start Date	01/01/2005	Term Start Date	01/01/2008
Term Expiration Date	12/31/2013	Term Expiration Date	12/31/2014
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?	Yes	Does the Board member/designee also hold an elected or appointed municipal government position?	No

Board of Directors Listing

Name	Gillen, Ray	Name	Mantello, Robert
Chair of the Board	Yes	Chair of the Board	No
If yes, Chair Designated by.	Local	If yes, Chair Designated by.	
Term Start Date	01/01/2004	Term Start Date	01/01/2004
Term Expiration Date	12/31/2013	Term Expiration Date	12/31/2014
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?	Yes	Does the Board member/designee also hold an elected or appointed municipal government position?	No

Board of Directors Listing

Name	Mallozzi, John	Name	Hutchison, Janet
Chair of the Board	No	Chair of the Board	No
If yes, Chair Designated by.		If yes, Chair Designated by.	
Term Start Date	03/01/2011	Term Start Date	01/01/2004
Term Expiration Date	12/31/2013	Term Expiration Date	12/31/2013
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?	No	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	Jordan, Sharon	Name	Wall, Robert
Chair of the Board	No	Chair of the Board	No
If yes, Chair Designated by.		If yes, Chair Designated by.	
Term Start Date	01/01/2007	Term Start Date	01/01/2007
Term Expiration Date	12/31/2014	Term Expiration Date	12/31/2014
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?	Yes	Does the Board member/designee also hold an elected or appointed municipal government position?	No

Board of Directors Listing

Name	Golub, Neil	Name	Chapman, William
Chair of the Board	No	Chair of the Board	No
If yes, Chair Designated by.		If yes, Chair Designated by.	
Term Start Date	01/01/2004	Term Start Date	01/01/2008
Term Expiration Date	12/31/2013	Term Expiration Date	12/31/2014
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?	No	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	Zalewski-Wildzunas, Karen
Chair of the Board	No
If yes, Chair Designated by.	
Term Start Date	07/01/2011
Term Expiration Date	12/31/2014
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?	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

**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	Overtime 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
Brown, Carol	Executive Assistant	Administrative and Clerical				PT	No	29,500.00	14,752.8	0	0	0	0	14,752.8	No	
Callander, James L	Finance Director	Professional				FT	Yes	101,000.00	101,000	0	0	0	0	101,000	No	
Chesebrough, Peggy	Office Manager	Operational				FT	Yes	58,500.00	58,500	0	0	0	0	58,500	No	
Cietek, Scott	Director of Development	Professional				FT	Yes	101,000.00	101,000	0	0	0	4,000	105,000	No	
Hogenkamp, David	Project Director	Professional				FT	Yes	57,000.00	27,312.5	0	0	0	0	27,312.5	No	
Lahut, Jayme B	Executive Director	Executive				FT	Yes	142,000.00	142,000	0	0	0	4,000	146,000	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 Member-ships	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
Gillen, Ray	Board of Directors				X									
Lewis, Bradley G	Board of Directors												X	
Jordan, Sharon	Board of Directors												X	
Wall, Robert	Board of Directors												X	
Golub, Neil	Board of Directors												X	
Hutchison, Janet	Board of Directors												X	
Mantello, Robert	Board of Directors												X	
Capovani, Edward	Board of Directors												X	
Chapman, William	Board of Directors												X	
Mallozzi, John	Board of Directors												X	
Zalewski-Wildzunas, Karen	Board of Directors												X	

**Staff**

Name	Title	Severance Package	Payment for Unused Leave	Club Member-ships	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
Callander, James L	Finance Director		X											
Cietek, Scott	Director of Development		X											
Lahut, Jayme B	Executive Director		X		X		X					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 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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No Data has been entered by the Authority for this section in PARIS

Summary Financial Information

## SUMMARY STATEMENT OF NET ASSETS

<u>Assets</u>	
<b>Current Assets</b>	
Cash and cash equivalents	\$1,346,006
Investments	\$0
Receivables, net	\$4,473,469
Other assets	\$77,382
<b>Total Current Assets</b>	<b>\$5,896,857</b>
<b>Noncurrent Assets</b>	
Restricted cash and investments	\$3,527,582
Long-term receivables, net	\$11,574,536
Other assets	\$525,068
<b>Capital Assets</b>	
Land and other nondepreciable property	\$0
Buildings and equipment	\$281,691
Infrastructure	\$0
Accumulated depreciation	\$237,267
Net Capital Assets	\$44,424
<b>Total Noncurrent Assets</b>	<b>\$15,671,610</b>
<b>Total Assets</b>	<b>\$21,568,467</b>

Summary Financial Information

SUMMARY STATEMENT OF NET ASSETS

Liabilities

**Current Liabilities**

Accounts payable	\$2,027,049
Pension contribution payable	\$0
Other post-employment benefits	\$0
Accrued liabilities	\$971,798
Deferred revenues	\$71,412
Bonds and notes payable	\$0
Other long-term obligations due within one year	\$6,873,081
<b>Total Current Liabilities</b>	<b>\$9,943,340</b>

**Noncurrent Liabilities**

Pension contribution payable	\$0
Other post-employment benefits	\$0
Bonds and notes payable	\$38,861,565
Long Term Leases	\$0
Other long-term obligations	\$855,888
<b>Total Noncurrent Liabilities</b>	<b>\$39,717,453</b>

**Total Liabilities**

**\$49,660,793**

Net Asset (Deficit)

**Net Asset**

Invested in capital assets, net of related debt	\$44,424
Restricted	\$2,727,582
Unrestricted	(\$30,864,332)
<b>Total Net Assets</b>	<b>(\$28,092,326)</b>

Summary Financial Information

SUMMARY STATEMENT OF REVENUE, EXPENSES AND CHANGES IN NET ASSETS

Operating Revenues

Charges for services	\$72,979
Rental & financing income	\$0
Other operating revenues	\$7,857,944
<b>Total Operating Revenue</b>	<b>\$7,930,923</b>

Operating Expenses

Salaries and wages	\$456,081
Other employee benefits	\$179,660
Professional services contracts	\$143,765
Supplies and materials	\$0
Depreciation & amortization	\$21,376
Other operating expenses	\$222,582
<b>Total Operating Expenses</b>	<b>\$1,023,464</b>

**Operating Income (Loss) \$6,907,459**

Nonoperating Revenues

Investment earnings	\$34,610
State subsidies/grants	\$0
Federal subsidies/grants	\$0
Municipal subsidies/grants	\$0
Public authority subsidies	\$0
Other nonoperating revenues	\$87,012
<b>Total Nonoperating Revenue</b>	<b>\$121,622</b>

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

Interest and other financing charges	\$2,250,883
Subsidies to other public authorities	\$0
Grants and donations	\$0
Other nonoperating expenses	\$4,020,100
<b>Total Nonoperating Expenses</b>	<b>\$6,270,983</b>
<b>Income (Loss) Before Contributions</b>	<b>\$758,098</b>
Capital Contributions	\$0
Change in net assets	\$758,098
Net assets (deficit) beginning of year	(\$28,850,424)
Other net assets changes	\$0
Net assets (deficit) at end of year	(\$28,092,326)



**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	0.00	42,095,000.00	5,000,000.00	2,270,000.00	44,825,000.00
Revenue					
Other Non-State Funded	0.00	955,661.00	0.00	46,015.00	909,646.00
<b>Conduit</b>					
Conduit Debt					
Conduit Debt - Pilot Increment Financing					

Real Property Acquisition/Disposal List

1. Address Line1: 25 Mohawk Avenue  
Address Line2:  
City: SCOTIA  
State: NY  
Postal Code: 12302  
Plus4:  
Province/Region:  
Country: USA  
Property Description: Commercial Building  
Estimated Fair Market Value: \$40,000  
How was the Fair Market Value Appraisal  
Determined?  
Transaction Type: ACQUISITION  
If Other, Explain:  
  
Transaction Date: 03/25/2013  
Purchase Sale Price: \$10.00  
Lease Data (If applicable)  
Market Rate(\$/square foot):  
Lease Rate(\$/square foot):  
Lease Period (months):  
Seller/Purchaser/Tenant Data:  
Organization: McDonalds Real Estate Company  
Last Name:  
First Name:  
  
Address Line1: One McDonalds Plaza  
Address Line2:  
City: OAK BROOK  
State: IL  
Postal Code: 60523  
Plus4:  
Province/Region:  
Country: USA  
Relation With Board  
member/senior authority  
management? No

2. Address Line1: 254 State Street  
Address Line2:  
City: SCHENECTADY  
State: NY  
Postal Code: 12305  
Plus4:  
Province/Region:  
Country: USA  
Property Description: Commercial Building  
Estimated Fair Market Value: \$190,000  
How was the Fair Market Value Other  
Determined?  
Transaction Type: ACQUISITION  
If Other, Explain:  
  
Transaction Date: 11/27/2013  
Purchase Sale Price: \$85,000.00  
Lease Data (If applicable)  
Market Rate(\$/square foot):  
Lease Rate(\$/square foot):  
Lease Period (months):  
Seller/Purchaser/Tenant Data:  
Organization: Estate of Donald Olender  
Last Name:  
First Name:  
  
Address Line1: c/o Thelma Olender  
Address Line2: 9401 Overlea Drive  
City: ROCKVILLE  
State: MD  
Postal Code: 20849  
Plus4:  
Province/Region:  
Country: USA  
Relation With Board  
member/senior authority  
management? No

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.schenectadymetroplex.org">www.schenectadymetroplex.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.schenectadymetroplex.org">www.schenectadymetroplex.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	

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

Additional Comments: