

**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	www.undc.org
2. As required by section 2800(9) of PAL, did the Authority prepare an assessment of the effectiveness of its internal controls?	Yes	www.undc.org
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	www.undc.org
8. Are any Authority staff also employed by another government agency?	No	
9. Has the Authority posted their mission statement to their website?	Yes	www.undc.org
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.		www.undc.org
12 Has the Authority adopted a lobbying policy in accordance with section 2987 of PAL?	Yes	www.undc.org
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):		www.undc.org
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		www.undc.org
7. Has the Board adopted bylaws and made them available to Board members and staff?	Yes	www.undc.org
8. Has the Board adopted a code of ethics for Board members and staff?	Yes	www.undc.org
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	Vacant	Name	Visnauskas, RuthAnne
Chair of the Board		Chair of the Board	No
If yes, Chairman Designated by.		If yes, Chairman Designated by.	
Term Start Date		Term Start Date	09/01/2013
Term Expiration Date		Term Expiration Date	Ex-Officio
Title		Title	Member
Has the Board member appointed a designee?		Has the Board member appointed a designee?	Yes
Designee Name		Designee Name	Kimberly Hardy
Ex-officio		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?		Has the Board member/designee signed the acknowledgement of fiduciary duty?	No
Complied with training requirement of Section 2824?		Complied with training requirement of Section 2824?	Yes
Does the Board member/designee also hold an elected or appointed State gove		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?		Does the Board member/designee also hold an elected or appointed municipal government position?	Yes

**Board of Directors Listing**

Name	Gelb, Bruce S	Name	Farkas, Jonathan D
Chair of the Board	No	Chair of the Board	No
If yes, Chairman Designated by.		If yes, Chairman Designated by.	
Term Start Date	08/07/2007	Term Start Date	10/12/2011
Term Expiration Date	06/30/2009	Term Expiration Date	11/02/2013
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	Governor
Appointed By	Local	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	Klein, George	Name	Vacant
Chair of the Board	Yes	Chair of the Board	
If yes, Chairman Designated by.	Local	If yes, Chairman Designated by.	
Term Start Date	06/30/2013	Term Start Date	
Term Expiration Date	06/30/2016	Term Expiration Date	
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	
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?	
Complied with training requirement of Section 2824?	Yes	Complied with training requirement of Section 2824?	
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	
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?	

**Board of Directors Listing**

Name	Abrams, Robert	Name	Silverman, Joel M
Chair of the Board	No	Chair of the Board	No
If yes, Chairman Designated by.		If yes, Chairman Designated by.	
Term Start Date	08/19/2008	Term Start Date	03/26/2012
Term Expiration Date	11/08/2010	Term Expiration Date	03/26/2015
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	Clarke-Ceres, Michele L	Name	Burman, Jan
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	10/29/2013
Term Expiration Date	11/02/2012	Term Expiration Date	10/29/2016
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	Natapoff, Samuel	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	12/10/2010	Term Start Date	01/12/2010
Term Expiration Date	01/08/2011	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	Shenoy, Andy K	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	12/10/2010	Term Start Date	08/07/2007
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	Eaddy, Richard W
Chair of the Board	No
If yes, Chairman Designated by.	
Term Start Date	05/05/2009
Term Expiration Date	11/02/2010
Title	
Has the Board member appointed a designee?	
Designee Name	
Ex-officio	No
Nominated By	Governor
Appointed By	Governor
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?	Yes

**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	75,628.00	75,628	0	0	0	0	75,628	No	
COLE, ROBERT B	STAFF ATTORNEY	Professional				FT	Yes	178,500.00	178,500	0	0	0	0	178,500	No	
COOPERSMITH, KENNETH S	VICE PRESIDENT	Managerial				FT	Yes	159,529.00	159,529	0	0	0	0	159,529	No	
DIAZ, MARIA LOIDA	PROGRAM OFFICER	Operational				FT	Yes	70,829.00	70,829	0	0	0	0	70,829	No	
Epstein, Justin	ADMINISTRATIVE ASSISTANT	Administrative and Clerical				PT	Yes	5,700.00	5,700	0	0	0	0	5,700	No	
FELDMAN, JEFFREY	PRESIDENT & CEO	Executive				FT	Yes	206,942.00	206,942	0	0	0	4,800	211,742	No	
HANDMAN, JUSTIN	ASSISTANT VICE PRESIDENT	Operational				FT	Yes	75,453.00	75,453	0	0	0	0	75,453	No	
HUPPERT, FRANCES	VICE PRESIDENT	Managerial				FT	Yes	141,482.00	141,482	0	0	0	0	141,482	No	
LIU, HUI-CHEN	DEPUTY CONTROLLER	Operational				FT	Yes	87,456.00	87,456	0	0	0	0	87,456	No	
ORTIZ, JORGE	CONTROLLER	Executive				FT	Yes	133,754.00	133,754	0	0	0	0	133,754	No	
RUSSELL, DONNA	ACCOUNTING SECRETARY	Administrative and Clerical				FT	Yes	67,629.00	67,629	0	0	0	0	67,629	No	
Striker, Wayne M	Director of Design and Construction	Managerial				PT	Yes	170,000.00	109,440	0	0	0	0	109,440	No	
TANG, TERESA	SENIOR ACCOUNTANT	Operational				FT	Yes	88,291.00	88,291	0	0	0	0	88,291	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
XIE, CINDY	PROJECT ASSISTANT	Administrative and Clerical				FT	Yes	33,244.00	33,244	0	0	0	0	33,244	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	
Vacant	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	
Vacant	Board of Directors												X	
Kober, Eric	Board of Directors												X	
Visnauskas, RuthAnne	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	
Burman, Jan	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 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
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	
Striker, Wayne M	Director of Design and Construction												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	\$10,102,252
Investments	\$0
Receivables, net	\$898,973
Other assets	\$4,003,340
<b>Total Current Assets</b>	<b>\$15,004,565</b>
<b>Noncurrent Assets</b>	
Restricted cash and investments	\$51,100,754
Long-term receivables, net	\$0
Other assets	\$33,081,687
<b>Capital Assets</b>	
Land and other nondepreciable property	\$0
Buildings and equipment	\$156,430,250
Infrastructure	\$0
Accumulated depreciation	\$92,391,558
Net Capital Assets	\$64,038,692
<b>Total Noncurrent Assets</b>	<b>\$148,221,133</b>
<b>Total Assets</b>	<b>\$163,225,698</b>

Summary Financial Information

SUMMARY STATEMENT OF NET ASSETS

Liabilities

**Current Liabilities**

Accounts payable	\$5,165,188
Pension contribution payable	\$0
Other post-employment benefits	\$0
Accrued liabilities	\$5,648,608
Deferred revenues	\$392,450
Bonds and notes payable	\$5,190,000
Other long-term obligations due within one year	\$382,540
<b>Total Current Liabilities</b>	<b>\$16,778,786</b>

**Noncurrent Liabilities**

Pension contribution payable	\$0
Other post-employment benefits	\$0
Bonds and notes payable	\$93,041,691
Long Term Leases	\$0
Other long-term obligations	\$2,390,873
<b>Total Noncurrent Liabilities</b>	<b>\$95,432,564</b>

**Total Liabilities** \$112,211,350

Net Asset (Deficit)

**Net Asset**

Invested in capital assets, net of related debt	(\$7,650,656)
Restricted	\$27,786,409
Unrestricted	\$30,878,595
<b>Total Net Assets</b>	<b>\$51,014,348</b>

Summary Financial Information

SUMMARY STATEMENT OF REVENUE, EXPENSES AND CHANGES IN NET ASSETS

Operating Revenues

Charges for services	\$0
Rental & financing income	\$42,889,427
Other operating revenues	\$0
<b>Total Operating Revenue</b>	<b>\$42,889,427</b>

Operating Expenses

Salaries and wages	\$1,982,673
Other employee benefits	\$0
Professional services contracts	\$2,602,405
Supplies and materials	\$0
Depreciation & amortization	\$5,273,318
Other operating expenses	\$20,378,027
<b>Total Operating Expenses</b>	<b>\$30,236,423</b>

Operating Income (Loss) \$12,653,004

Nonoperating Revenues

Investment earnings	\$245,006
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>\$245,006</b>

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

Interest and other financing charges	\$3,856,548
Subsidies to other public authorities	\$0
Grants and donations	\$0
Other nonoperating expenses	\$186,408
<b>Total Nonoperating Expenses</b>	<b>\$4,042,956</b>
<b>Income (Loss) Before Contributions</b>	<b>\$8,855,054</b>
<b>Capital Contributions</b>	<b>\$0</b>
<b>Change in net assets</b>	<b>\$8,855,054</b>
<b>Net assets (deficit) beginning of year</b>	<b>\$44,903,383</b>
<b>Other net assets changes</b>	<b>(\$2,744,089)</b>
<b>Net assets (deficit) at end of year</b>	<b>\$51,014,348</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	97,362,500.00	0.00	4,985,000.00	92,377,500.00
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	www.undc.org
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	www.undc.org
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: