

**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://energizeny.org/eic/archives/category/annual-reports">http://energizeny.org/eic/archives/category/annual-reports</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://energizeny.org/eic/archives/category/annual-reports">http://energizeny.org/eic/archives/category/annual-reports</a>
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://energizeny.org/eic/archives/category/corporate-information">http://energizeny.org/eic/archives/category/corporate-information</a>
6. Are any Authority staff also employed by another government agency?	Yes	Town of Bedford
7. Has the Authority posted their mission statement to their website?	Yes	<a href="http://energizeny.org/eic">http://energizeny.org/eic</a>
8. Has the Authority's mission statement been revised and adopted during the reporting period?	No	N/A
9. Attach the Authority's measurement report, as required by section 2824-a of PAL and provide the URL.		<a href="http://energizeny.org/eic/archives/category/annual-reports">http://energizeny.org/eic/archives/category/annual-reports</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://energizeny.org/uploads/eic-documents/EIC_Committees_Only.pdf">http://energizeny.org/uploads/eic-documents/EIC_Committees_Only.pdf</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://energizeny.org/eic/archives/category/meeting-minutes">http://energizeny.org/eic/archives/category/meeting-minutes</a>
7. Has the Board adopted bylaws and made them available to Board members and staff?	Yes	<a href="http://energizeny.org/uploads/eic-documents/Bylaws_Revised_Approved_4-4-13.pdf">http://energizeny.org/uploads/eic-documents/Bylaws_Revised_Approved_4-4-13.pdf</a>
8. Has the Board adopted a code of ethics for Board members and staff?	Yes	<a href="http://energizeny.org/eic/archives/category/policy">http://energizeny.org/eic/archives/category/policy</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?	No	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?	No	N/A
16. Has the board adopted a conditional/additional compensation policy governing all employees?	Yes	<a href="http://energizeny.org/eic/archives/category/policy">http://energizeny.org/eic/archives/category/policy</a>

**Board of Directors Listing**

Name	Neuhaus, Steve	Name	Strome III, Charles B
Chair of Board	No	Chair of Board	Yes
If yes, Chair designated By.		If yes, Chair designated By.	Local
Term Start Date	05/06/2015	Term Start Date	02/05/2015
Term Expiration Date	03/31/2017	Term Expiration Date	03/31/2017
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?	Yes	Does the Board member/designee also hold an elected or appointed municipal government position?	Yes

**Board of Directors Listing**

Name	Parsons, Peter	Name	Burdick, Chris
Chair of Board	No	Chair of Board	No
If yes, Chair designated By.		If yes, Chair designated By.	
Term Start Date	04/02/2015	Term Start Date	01/01/2015
Term Expiration Date	03/31/2018	Term Expiration Date	03/31/2021
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	Other
Appointed By	Local	Appointed By	Other
Confirmed by Senate?		Confirmed by Senate?	No
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?	Yes

**Board of Directors Listing**

Name	Feiner, Paul	Name	Genito, Michael A
Chair of Board	No	Chair of Board	No
If yes, Chair designated By.		If yes, Chair designated By.	
Term Start Date	04/02/2015	Term Start Date	02/05/2015
Term Expiration Date	04/06/2016	Term Expiration Date	03/31/2018
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?	No	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?	Yes	Does the Board member/designee also hold an elected or appointed municipal government position?	Yes

**Board of Directors Listing**

Name	Mareane, Joe
Chair of Board	No
If yes, Chair designated By.	
Term Start Date	09/09/2015
Term Expiration Date	04/06/2018
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?	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 a State or local government
Bregman, Thomas	Director ENY Residential	Executive				FT	Yes	80,000.00	74,040.08	0	0	0	0	74,040.08	No	
Brois, Lauren	Assistant Director of ENY Residential	Executive				FT	Yes	47,250.00	41,607.75	0	0	0	0	41,607.75	No	
Castracan, Mike	Director of Underwriting	Managerial				FT	Yes	60,000.00	46,038.06	0	0	0	0	46,038.06	No	
Del Sindaco, Joe	PACE Financing	Professional				PT	Yes	37,870.82	37,842.25	0	0	0	0	37,842.25	No	
Fischman, Robert	Director of Commercial Programs	Technical and Engineering				FT	Yes	63,648.00	63,600	0	0	0	0	63,600	No	
Flournoy, Heather	Director of Communications and Operations	Operational				FT	Yes	63,648.00	63,600	0	0	0	0	63,600	No	
Hoenig, Kathryn	VP & COO	Executive				FT	Yes	80,000.00	73,846.08	0	0	0	0	73,846.08	No	
Jen, Norm	Energy Coach	Professional				PT	No	12,000.00	4,078.75	0	0	0	0	4,078.75	No	
Jen, Sarah G	Intern	Administrative and Clerical				PT	No	1,505.00	1,505	0	0	0	0	1,505	No	
Killourhy, Dan	Comptroller	Executive				PT	Yes	48,960.00	48,922.75	0	0	0	0	48,922.75	No	
Kowalski, Kim M	Board Secretary	Administrative and Clerical				PT	No	2,839.70	2,839.7	0	0	0	0	2,839.7	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 a State or local government
Petrikova, Jana	Assistant Director of Commercial Prgm	Professional				PT	No	54,080.00	21,264	0	0	0	0	21,264	No	
Quinn, Alice	Hudson Valley	Professional				FT	Yes	40,000.00	6,153.88	0	0	0	0	6,153.88	No	
Rothe, Elyssa	Program Director Membership	Professional				FT	Yes	63,648.00	63,600	0	0	0	0	63,600	No	
Thielking, Mark	Executive Director	Executive				FT	Yes	1.00	1	0	0	0	0	1	No	
Veit, Robert	Office Manager	Administrative and Clerical				FT	No	20,400.00	18,981.6	0	0	0	0	18,981.6	No	
Walsh, Nancy	Bookkeeper	Professional				PT	No	5,000.00	13,162.6	0	0	0	0	13,162.6	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 Allow-ance	Spousal / Dependent Life Insurance	Tuition Assist-ance	Multi-Year Employ-ment	None of These Benefits	Other
Burdick, Chris	Board of Directors												X	
Neuhaus, Steve	Board of Directors												X	
Parsons, Peter	Board of Directors												X	
Strome III, Charles B	Board of Directors												X	
Feiner, Paul	Board of Directors												X	
Genito, Michael A	Board of Directors												X	
Mareane, Joe	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 Allow-ance	Spousal / Dependent Life Insurance	Tuition Assist-ance	Multi-Year Employ-ment	None of These Benefits	Other
No Data has been entered by the Authority for this section in PARIS														

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

**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 Aut No

Name of Subsidiary/Component Unit	Status	Requested Changes
-----------------------------------	--------	-------------------

**Subsidiary/Component Unit Creation**

Name of Subsidiary/Component Unit	Establishment Date	Entity Purpose
-----------------------------------	--------------------	----------------

**Subsidiary/Component Unit Termination**

Name of Subsidiary/Component Unit	Termination Date	Termination Reason	Proof of Termination
-----------------------------------	------------------	--------------------	----------------------

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	\$1,188
Investments	\$0
Receivables, net	\$243,326
Other assets	\$0
<b>Total Current Assets</b>	<b>\$244,514</b>
<b>Noncurrent Assets</b>	
Restricted cash and investments	\$647,752
Long-term receivables, net	\$318,238
Other assets	\$25,000
<b>Capital Assets</b>	
Land and other nondepreciable property	\$0
Buildings and equipment	\$0
Infrastructure	\$0
Accumulated depreciation	\$0
Net Capital Assets	\$0
<b>Total Noncurrent Assets</b>	<b>\$990,990</b>
<b>Total Assets</b>	<b>\$1,235,504</b>

Summary Financial Information

SUMMARY STATEMENT OF NET ASSETS

Liabilities

**Current Liabilities**

Accounts payable	\$2,456
Pension contribution payable	\$0
Other post-employment benefits	\$0
Accrued liabilities	\$0
Deferred revenues	\$0
Bonds and notes payable	\$407,227
Other long-term obligations due within one year	\$0
<b>Total Current Liabilities</b>	<b>\$409,683</b>

**Noncurrent Liabilities**

Pension contribution payable	\$0
Other post-employment benefits	\$0
Bonds and notes payable	\$68,010
Long Term Leases	\$0
Other long-term obligations	\$0
<b>Total Noncurrent Liabilities</b>	<b>\$68,010</b>

**Total Liabilities**

**\$477,693**

Net Asset (Deficit)

**Net Asset**

Invested in capital assets, net of related debt	\$0
Restricted	\$757,811
Unrestricted	\$0
<b>Total Net Assets</b>	<b>\$757,811</b>

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

Charges for services	\$1,371,213
Rental & financing income	\$21,325
Other operating revenues	\$0
<b>Total Operating Revenue</b>	<b>\$1,392,538</b>

Operating Expenses

Salaries and wages	\$529,034
Other employee benefits	\$99,348
Professional services contracts	\$599,357
Supplies and materials	\$0
Depreciation & amortization	\$0
Other operating expenses	\$141,736
<b>Total Operating Expenses</b>	<b>\$1,369,475</b>

Operating Income (Loss) **\$23,063**

Nonoperating Revenues

Investment earnings	\$0
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>\$0</b>

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

Interest and other financing charges	\$0
Subsidies to other public authorities	\$0
Grants and donations	\$0
Other nonoperating expenses	\$1,100
<b>Total Nonoperating Expenses</b>	<b>\$1,100</b>
<b>Income (Loss) Before Contributions</b>	<b>\$21,963</b>
Capital Contributions	\$0
Change in net assets	\$21,963
Net assets (deficit) beginning of year	\$735,848
Other net assets changes	\$0
Net assets (deficit) at end of year	\$757,811

**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?	Yes

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

Type Of Debt: Authority Debt - General Obligation

Program:

Project	Amounts	CUSIP Number	Bond Closing Date	Taxable Status	Issue Process	True Interest Cost	Interest Type	Term	Cost of Issuance (\$)	PACB Project	URL
First Niagara-Demand Line of Credit	Refunding 0.00 New 62,615.00 Total 62,615.00		12/31/2015		Competitive	3.5	Variable	1	0.00		

Type Of Debt: Authority Debt - Other

Program:

Project	Amounts	CUSIP Number	Bond Closing Date	Taxable Status	Issue Process	True Interest Cost	Interest Type	Term	Cost of Issuance (\$)	PACB Project	URL
First Niagara-Warehouse Line	Refunding 0.00 New 243,442.00 Total 243,442.00		12/31/2015		Competitive	3.08	Variable	1	0.00		

Type Of Debt: Authority Debt - Revenue

Program:

Project	Amounts	CUSIP Number	Bond Closing Date	Taxable Status	Issue Process	True Interest Cost	Interest Type	Term	Cost of Issuance (\$)	PACB Project	URL
Energy Improvement Corp Energize NY Limited Obligation Improvement Bonds - Series 2015A Subseries 1	Refunding 0.00 New 74,796.00 Total 74,796.00		04/01/2015		Competitive	2.94	Fixed	5	12,094.00		

**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	94,384.00	62,615.00	0.00	156,999.00
Revenue	0.00	0.00	74,796.00	0.00	74,796.00
Other Non-State Funded	0.00	0.00	243,442.00	0.00	243,442.00
<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?	No	
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?	No	
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?	No	

Grant Information

This Authority has indicated that it did not award any grants during the reporting period.

**Loan Information**

1. Source of Loan Funds: Private  
 Name of Loan Recipient: 5- Spoke Properties LLC  
 Address Line1: 1089 Pulaski Highway,  
 Address Line2:  
 City: GOSHEN  
 State: NY  
 Zip - Plus4: 10924  
 Province/Region:  
 Country: USA  
 Original Amount of Loan: \$74,795.95  
 Date Loan Awarded: 03/11/2015  
 Interest Rate(%): 4.29  
 Length of Loan(# of years  
 to repay): 6  
 Amount of Loan Principal Repaid  
 to Date: \$0.00  
 Purpose of Loan: Land Preservation/Resource  
 Conservation/Recreation

Was the Loan expected to result  
 in new jobs being created? Yes  
 If yes, how many jobs were planned  
 to be created? 1  
 If yes, how many jobs have been  
 created to date? 1  
 Have the terms of the loan been  
 completed? Yes

2. Source of Loan Funds: Private  
 Name of Loan Recipient: Budli Building LLC  
 Address Line1: 264 Adams St  
 Address Line2:  
 City: BEDFORD HILLS  
 State: NY  
 Zip - Plus4: 10507  
 Province/Region:  
 Country: USA  
 Original Amount of Loan: \$23,638.51  
 Date Loan Awarded: 10/14/2015  
 Interest Rate(%): 5.06  
 Length of Loan(# of years  
 to repay): 12  
 Amount of Loan Principal Repaid  
 to Date: \$0.00  
 Purpose of Loan: Land Preservation/Resource  
 Conservation/Recreation

Was the Loan expected to result  
 in new jobs being created? No  
 If yes, how many jobs were planned  
 to be created?  
 If yes, how many jobs have been  
 created to date?  
 Have the terms of the loan been  
 completed? Yes

Loan Information

3. Source of Loan Funds: Private  
Name of Loan Recipient: Owenville LLC  
Address Line1: 606 RT 22  
Address Line2:  
City: CROTON FALLS  
State: NY  
Zip - Plus4: 10519  
Province/Region:  
Country: USA  
Original Amount of Loan: \$25,258.37  
Date Loan Awarded: 07/22/2015  
Interest Rate(%): 2.93  
Length of Loan(# of years  
to repay): 15  
Amount of Loan Principal Repaid  
to Date: \$0.00  
Purpose of Loan: Land Preservation/Resource  
Conservation/Recreation

Was the Loan expected to result  
in new jobs being created? Yes  
If yes, how many jobs were planned  
to be created? 1  
If yes, how many jobs have been  
created to date? 1  
Have the terms of the loan been  
completed? Yes

4. Source of Loan Funds: Private  
Name of Loan Recipient: Regatell Realty LLC  
Address Line1: 525 North State Rd  
Address Line2:  
City: BRIARCLIFF MANOR  
State: NY  
Zip - Plus4: 10510  
Province/Region:  
Country: USA  
Original Amount of Loan: \$204,101.92  
Date Loan Awarded: 08/31/2015  
Interest Rate(%): 4.95  
Length of Loan(# of years  
to repay): 10  
Amount of Loan Principal Repaid  
to Date: \$0.00  
Purpose of Loan: Land Preservation/Resource  
Conservation/Recreation

Was the Loan expected to result  
in new jobs being created? Yes  
If yes, how many jobs were planned  
to be created? 1  
If yes, how many jobs have been  
created to date? 1  
Have the terms of the loan been  
completed? Yes

Bond Information

1. Name of Recipient of Bond  
Proceeds: Bank of America Leasing and Capital LLC  
Address Line1: 11333 McCormick Rd  
Address Line2:  
City: HUNT VALLEY  
State: MD  
Zip - Plus4: 21031  
Province/Region:  
Country: USA  
Amount of Bonds Issued: \$74,795.95  
Date Bonds Issued: 04/01/2015  
Bond Interest Rate: 2.94  
Last Year Bonds Expected to be Retired: 2020  
Amount of Bond Principal retired during the reporting year: \$0  
Amt of Bond Principal retired prior to reporting year:  
Current Amount of Bonds Outstanding: \$74,795.95  
Purpose of project requiring the Bond Issuance: Land Preservation/Resource Conservation/Recreation

Was the bond issuance expected to result in new jobs being created? Yes  
If yes, how many jobs were planned to be created? 1  
If yes, how many jobs have been created to date? 1  
Have the bonds been fully retired? No

Additional Comments: