June 5, 2018

To: Members of the House of Delegates

Re: June 16, 2018 meeting

Enclosed are the agenda and related background materials for the upcoming meeting of the House of Delegates scheduled to begin at **9:00 a.m.** on Saturday, June 16, 2018 at The Otesaga in Cooperstown, New York. The enclosed background materials cover agenda items 2, 3, 7 and 9. Also enclosed for your use is a roster of the members of the House of Delegates.

We look forward to seeing you in Cooperstown.

Michael Miller     Henry M. Greenberg
President          President-Elect
REVISED AGENDA

1. Call to order, Pledge of Allegiance and introduction of new members – Mr. Henry M. Greenberg 9:00 a.m.

2. Approval of minutes of April 14, 2018 meeting 9:10 a.m.

3. Report of Treasurer – Mr. Scott M. Karson 9:20 a.m.

4. Presentation of Root/Stimson Award – Mr. Michael Miller 9:40 a.m.

5. Installation and inauguration of Michael Miller as President – Ms. Maryann Saccomando Freedman and Hon. Sherry Klein Heitler 9:55 a.m.

6. Report of President – Mr. Michael Miller 10:10 a.m.

7. Report and recommendations of Criminal Justice Section and Committee on Mandated Representation – Mr. Norman P. Effman 10:25 a.m.

8. Address by Hon. Alan D. Scheinkman – Presiding Justice, Second Department 10:45 a.m.

9. Report and recommendations of New York City Bar Association – Mr. Roger Juan Maldonado 11:00 a.m.

10. Report of Committee on Continuing Legal Education – Mr. James R. Barnes 11:20 a.m.


12. Report re Nominating Committee – Mr. David P. Miranda 11:45 a.m.

13. Administrative items – Mr. Henry M. Greenberg 11:55 p.m.

14. New business 12:05 p.m.

15. Date and place of next meeting Saturday, November 3, 2018 Bar Center, Albany, New York
PRESENT: Abbott; Alcott; Alomar; Baum; Behrins; Bennett; Berman; Bonina; Bowler; Braunstein; Brown, T.A.;Burke; Chambers; Chang, V.; Christian; Clouthier; Cohen, C.; Cohen, D.; Cohen, O.; Connelly; DeFelice; Denton; DiFalco; DiSare; Doyle; Eberle; Effman; Fallek; Fay; Fennell; Fernandez; Finerty; First; Fishberg; Fox; Freedman, H.; Frumkin; Gaillard; Galligan; Gensini; Gerbini; Gerstman; Getnick; Gingold; Glover; Gold; Goldfarb; Grays; Greenberg; Grogan; Gutekunst; Gutierrez; Haig; Heath; Hetherington; Himes; Hyer; Jackson; Jaglom; James; Jones; Kamins; Karson; Kean; Kearns; Kelly; Kobak; Lambert; Lanouette; LaRose; Lau-Kee; Lawrence; Levin Wallach; Levy; Madden; Mancuso; Mandell; Adam; Margolin; Marinaccio; Maroney; Martin Owens; Marin; Marotta; McCann; McNama, M.; Meisenheimer; Miller, M.; Millett; Millon; Minkowitz; Miranda; Moretti; Mosher; Moskowitz; Murphy; Napoletano; Nowotarski; Onderdonk; Ostertag; Owens; Parker; Perlman; Pleat; Poster-Zimmerman; Prager; Quist; Richman; Richter; Rivera; Rodriguez; Russell; Ryba; Samuels; Santiago; Schofield; Schraver; Schriever; Sciocchetti; Scott; Sen; Shamoon; Shampnoi; Sharkey; Sigmond; Silkenat; Singer, D.; Sonberg; Spicer; Spierer; Standard; Starkman; Stieglitz; Sullivan; Tarver; Tennant; Tesser; Triebwasser; Tully; Vecchio; Vigdor; Weigell; Weis; Weston; Whiting; Wildgrube; Williams; Witmer; Wolff, B.; Young; Younger.

Mr. Miller presided over the meeting as Chair of the House.

1. The members of the House recited the Pledge of Allegiance and Michael F. Donegan, counsel at the New York State Commission of Correction, sang “God Bless America.”

2. Approval of minutes of January 26, 2018 meeting. The minutes were amended to note that the Chair thanked the presenters of Items 2, 6, 7, 10 and 13 and, as amended, were accepted.

3. Report of Treasurer. Scott M. Karson, Treasurer, reported that through February 28, 2018, the Association’s total revenue was $13 million, a decrease of approximately $5,400 over the previous year, and total expenses were $4.7 million, a decrease of approximately $365,000 over 2017. The Chair received the report with thanks.

4. Election of the Nominating Committee and NYSBA Delegates to the ABA House of Delegates. Glenn Lau-Kee, chair of the Nominating Committee, presented the report of the Nominating Committee.

   a. Election of members of the Nominating Committee. The following were nominated for service on the 2018-2019 Nominating Committee:

      District members and alternates of the Nominating Committee: First – Adrienne Bth Koch, Stephen C. Lessard, Susan B. Lindenauer, Michael J. McNamara, John Owens Jr., Seth Rosner, Siana S. Sen, Lisa Stenson Desamours and Stephen P. Younger, with Vincent Ted Chang, First Alternate, Asha Susan Smith, Second Alternate, and Kaylin L. Whittingham, Third Alternate; Second – Andrew M. Fallek and Hon. Cheryl E. Chambers, with Barton L. Slavin as Alternate; Third – David W. Myers and Elena DeFio Kean, with Sandra Rivera as Alternate; Fourth – Michelle H. Wildgrube and Marne Onderdonk, with Jeremiah Wood as Alternate; Fifth – Karen Stanislaus and Michael E. Getnick, with Timothy J. Fennell as Alternate; Sixth – Bruce J. McKeegan and Alyssa M. Barreiro, with Christopher Denton as Alternate; Seventh – LaMarr Jackson and June M.
Castellano, with Amy L. Christenson as Alternate; Eighth – Vincent E. Doyle III and Kathleen Marie Sweet, with Oliver C. Young as Alternate; Ninth – Jessica D. Parker, Mark T. Starkman, and Kelly M. Welch, with Joseph J. Ranni as Alternate; Tenth – Ilene S. Cooper, A. Thomas Levin, Dorian Ronald Glover and Richard A. Weinblatt, with Rosemarie Tully, First Alternate, and Marian C. Rice, Second Alternate; Eleventh – Violet E. Samuels and Arthur N. Terranova, with Chanwoo Lee as Alternate; Twelfth – Carlos M. Calderón and Michael A. Marinaccio, with Samuel M. Braverman as Alternate; Thirteenth – Michael J. Gaffney and Robert A. Mulhall, with Orin J. Cohen as Alternate.

A motion to elect the foregoing was adopted.

b. **Election of Delegates to ABA House**: A motion was adopted to elect the following for a two-year term commencing in August 2018: Sharon Stern Gerstman, Henry M. Greenberg, Kathryn Grant Madigan, David P. Miranda, and Kenneth G. Standard.

c. **Election of Young Lawyer Delegate to ABA House**: A motion was adopted to elect Natasha Shishov.

5. **Report and recommendations of Criminal Justice Section.** Leah R. Nowotarski, chair of the section’s Town and Village Justice Courts Committee, together with past section chair Sherry Levin Wallach, outlined the section’s report and recommendations with respect to counsel at first appearance, education and training, and consolidation. The section agreed to modify Recommendation 9 to recognize the existence of a current website and to recommend that it be made more publicly available. It agreed to amend Recommendation 10 to refer to “expanded use of courts of record.” The section also accepted an amendment to the report to clarify that the State should bear any additional costs for implementation of the recommendations. After discussion, a motion was adopted to approve the report and recommendations, as amended.

6. **Report of the President.** Ms. Gerstman highlighted the items contained in her written report, a copy of which is appended to these minutes and reflected on her two years of service as President-Elect and President and thanked the House members for the opportunity to serve. She also thanked the officers and the staff for their assistance during her term. She thanked the members of the House for their service.

7. **Report of Committee on Membership.** Thomas J. Maroney, chair of the committee, updated the House with respect to membership initiatives, including cross-indexing addresses with OCA addresses, non-resident outreach, and regional meetings. The chair received the report with his thanks.

8. **Report and recommendations of Committee on Diversity and Inclusion.** Lillian M. Moy, past chair of the committee, reviewed the results of the committee’s biennial 2017 survey, comparing those results to the Committee’s previous surveys, as well as the committee’s recommendations with respect to ongoing efforts to further diversity in the Association. After discussion, a motion was adopted to approve the committee’s report and recommendations.

9. **Report and recommendations of Committee on Families and the Law.** Committee chair Susan B. Lindenauer, together with committee member Angela O. Burdon, reviewed the committee’s report recommending that the State fund and oversee mandated representation provided to indigent parents in Family Court. After discussion, a motion was adopted to approve the report and recommendations.
10. **Report of The New York Bar Foundation.** John H. Gross, President of The New York Bar Foundation, reviewed the growth of The Foundation during his term as President, including an increase in the number of grants and increased section participation in providing grants and fellowships. The Chair received the report with his thanks.

11. **New Business.** Mr. Richman moved a proposed resolution with respect to Association endorsement of services that are endorsed by the National Rifle Association. The Chair ruled the motion out of order as premature and not germane to the work of the House. An appeal of the chair’s ruling was upheld on voice vote. A motion by Mr. Tennant to request the Executive Committee, Finance Committee and Audit Committee to review the Association’s relationship with vendors was then approved.

12. **Administrative items.** Mr. Miller reported on the following:

   a. Motions to approve the designation of delegates filed by the county and local bar associations for the 2018-2019 Association year and to approve the filed roster of the members of the House for the 2018-2019 year were requested and approved.

   b. He noted that this meeting represents his last as Chair of the House and thanked the House for the opportunity to serve. He thanked the departing members of the Executive Committee and the House for their service and thanked the staff for their support. He introduced Mr. Greenberg as the next Chair of the House and presented him with the House’s gavel.

13. **Date and place of next meeting.** Mr. Greenberg announced that the next meeting of the House of Delegates would take place on Saturday, June 16, 2018 at The Otesaga in Cooperstown.

14. **Adjournment.** There being no further business to come before the House of Delegates, the meeting was adjourned.

   

   Respectfully Submitted,

   

   Sherry Levin Wallach
   Secretary
REPORT OF THE PRESIDENT
TO THE HOUSE OF DELEGATES
April 14, 2018

GENDER DISPARITY IN THE COURTROOM AND ADR

In February, I was privileged to present a resolution to the ABA House of Delegates that outlined steps that law firms, the judiciary, clients, and Alternate Dispute Resolution (ADR) providers can take to address the underrepresentation of women attorneys in courtrooms and ADR settings. This resolution is based on the work of our Commercial and Federal Litigation Section and its Task Force on Women Initiatives, chaired by past president Bernice K. Leber. The full report prepared by the section, which was approved by our House of Delegates in November 2017, is available at http://www.nysba.org/WomensTaskForceReport/.

TASK FORCE ON SCHOOL TO PRISON PIPELINE

The Task Force, which I appointed last summer and is co-chaired by Sheila Gaddis and John H. Gross, is in the process of preparing its report, which will review current practices in and law relating to school discipline, and recommend policy and best practices in discipline and restorative justice in the school setting. The report will be released later this year for consideration by the House of Delegates.

LEGISLATIVE INITIATIVES

State

As you know, the Legislature passed all budget bills last week. The Judiciary budget was approved as submitted by the Office of Court Administration. Of note is funding for civil legal services and IOLA, as well as funding in excess of $50 million for the Office of Indigent Legal Services to implement expansion of the settlement in Hurrell-Haring v. State. Issues that we were following but were not included in the budget bills are criminal discovery reform; bail reform; early voting; and the Child Victims Act. We anticipate that these issues may be revisited in the coming months.
Earlier this week, a number of our leaders participated in the annual ABA Day in Washington. The ABA’s core issues that were addressed were funding for the Legal Services Corporation and public service student loan forgiveness. With respect to the LSC, Congress appropriated $410 million for fiscal year 2018; we will seek $482 million for fiscal year 2019. With respect to student loan forgiveness, the ABA supports the preservation of the federal Public Service Loan Forgiveness program (PSLF) as a vital source of immediate support to state, local, and tribal communities that enables them to provide critical services to their residents and opposes efforts to repeal or end the program.

Federal issues of particular interest to our Association include support for states’ authority to regulate the tort system; opposition to proposed legislation to repeal New York’s Scaffold Law; and support for the repeal of the Dickey Amendment, which prohibits the use of funds made available for study of injury prevention and control at the Centers for Disease Control to advocate or promote gun control.

OTHER ACTIVITIES

With respect to county and local bar outreach, I attended the Albany County Bar Association’s annual Court of Appeals dinner and the Richmond County Bar Association’s annual dinner. I spoke to attendees at our Bridge the Gap CLE programs in Buffalo and Albany, and last week I addressed attendees at the Young Lawyers Section’s annual Trial Academy, held at Cornell Law School.

This is the last President’s Report of my year in office. It has been a privilege to serve as your President, and I thank you for your participation and collegiality. To those who are leaving the House this year, thank you for your service.

Our next House of Delegates meeting will be held on June 16, 2018 at The Otesaga in Cooperstown. I look forward to seeing you there.
Attached for your reference are the Association’s financial statements through April 30, 2018.
# New York State Bar Association
## 2018 Operating Budget
### Four Months of Calendar Year 2018

### Revenue

<table>
<thead>
<tr>
<th>Membership Dues</th>
<th>2018 Budget</th>
<th>Adjustments</th>
<th>2018 Unaudited Received</th>
<th>% Received</th>
<th>2017 Unaudited Received</th>
<th>% Received</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dues</td>
<td>10,050,000</td>
<td>10,050,000</td>
<td>9,607,576</td>
<td>95.60%</td>
<td>10,925,000</td>
<td>92.79%</td>
</tr>
<tr>
<td>Programs</td>
<td>2,894,561</td>
<td>2,894,561</td>
<td>1,507,133</td>
<td>52.07%</td>
<td>2,763,550</td>
<td>44.96%</td>
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<tr>
<td>INVESTMENT INCOME</td>
<td>477,000</td>
<td>477,000</td>
<td>50,046</td>
<td>10.49%</td>
<td>345,000</td>
<td>14.54%</td>
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<tr>
<td>ADVERTISING</td>
<td>296,000</td>
<td>296,000</td>
<td>59,137</td>
<td>19.98%</td>
<td>133,000</td>
<td>44.96%</td>
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<tr>
<td>CONTINUING LEGAL EDUCATION</td>
<td>3,635,000</td>
<td>3,635,000</td>
<td>1,519,798</td>
<td>41.81%</td>
<td>3,900,000</td>
<td>32.47%</td>
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<tr>
<td>USI AFFINITY PAYMENT</td>
<td>2,262,000</td>
<td>2,262,000</td>
<td>60,542</td>
<td>20.42%</td>
<td>274,200</td>
<td>11.95%</td>
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<td>TOTAL REVENUE</td>
<td>23,704,135</td>
<td>0</td>
<td>16,009,981</td>
<td>67.54%</td>
<td>24,348,950</td>
<td>63.62%</td>
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</tbody>
</table>

### Expense

<table>
<thead>
<tr>
<th>Salaries &amp; Fringe</th>
<th>2018 Budget</th>
<th>Adjustments</th>
<th>2018 Unaudited Expended</th>
<th>% Expended</th>
<th>2017 Unaudited Expended</th>
<th>% Expended</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dues</td>
<td>10,105,550</td>
<td>10,105,550</td>
<td>3,036,288</td>
<td>30.05%</td>
<td>10,409,950</td>
<td>30.95%</td>
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<td>Building Services</td>
<td>287,000</td>
<td>287,000</td>
<td>82,137</td>
<td>28.62%</td>
<td>305,000</td>
<td>35.19%</td>
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<td>Insurance</td>
<td>142,000</td>
<td>142,000</td>
<td>58,449</td>
<td>41.16%</td>
<td>142,000</td>
<td>33.88%</td>
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<td>Taxes</td>
<td>5,250</td>
<td>5,250</td>
<td>0</td>
<td>0.00%</td>
<td>5,250</td>
<td>0.46%</td>
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<td>Administration</td>
<td>607,600</td>
<td>607,600</td>
<td>181,473</td>
<td>29.87%</td>
<td>543,500</td>
<td>29.79%</td>
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<tr>
<td>TOTAL EXPENSE</td>
<td>23,797,360</td>
<td>0</td>
<td>7,946,050</td>
<td>33.39%</td>
<td>24,313,575</td>
<td>34.64%</td>
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</table>

<table>
<thead>
<tr>
<th>Budgeted Surplus</th>
<th>2018 Budget</th>
<th>Adjustments</th>
<th>2018 Unaudited Expensed</th>
<th>% Expensed</th>
<th>2017 Unaudited Expended</th>
<th>% Expensed</th>
</tr>
</thead>
<tbody>
<tr>
<td>(93,225)</td>
<td>0</td>
<td>(93,225)</td>
<td>8,063,931</td>
<td>83.33%</td>
<td>35,375</td>
<td>7,068,663</td>
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## Assets

<table>
<thead>
<tr>
<th></th>
<th>4/30/2018</th>
<th>4/30/2017</th>
<th>12/31/2017</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Current Assets:</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>General Cash and Cash Equivalents</td>
<td>12,810,703</td>
<td>12,372,088</td>
<td>13,900,890</td>
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<td>Accounts Receivable</td>
<td>108,730</td>
<td>146,012</td>
<td>135,391</td>
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<tr>
<td>Prepaid expenses</td>
<td>775,574</td>
<td>610,456</td>
<td>1,212,640</td>
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<tr>
<td>Royalties and Admin. Fees receivable</td>
<td>160,771</td>
<td>151,062</td>
<td>710,605</td>
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<tr>
<td><strong>Total Current Assets</strong></td>
<td>13,855,778</td>
<td>13,279,618</td>
<td>15,959,526</td>
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<td><strong>Board Designated Accounts:</strong></td>
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<td></td>
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<tr>
<td><strong>Cromwell Fund:</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cash and Investments at Market Value</td>
<td>2,330,264</td>
<td>2,175,658</td>
<td>2,365,477</td>
</tr>
<tr>
<td>Accrued interest receivable</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td><strong>Total:</strong> 2,330,264</td>
<td>2,175,658</td>
<td>2,365,477</td>
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<tr>
<td><strong>Replacement Reserve Account:</strong></td>
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<tr>
<td>Equipment replacement reserve</td>
<td>1,117,112</td>
<td>1,116,777</td>
<td>1,117,002</td>
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<td>Repairs replacement reserve</td>
<td>794,042</td>
<td>793,804</td>
<td>793,964</td>
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<tr>
<td>Furniture replacement reserve</td>
<td>219,860</td>
<td>219,794</td>
<td>219,839</td>
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<tr>
<td><strong>Total</strong></td>
<td>2,131,014</td>
<td>2,130,375</td>
<td>2,130,805</td>
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<tr>
<td><strong>Long-Term Reserve Account:</strong></td>
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<td></td>
</tr>
<tr>
<td>Cash and Investments at Market Value</td>
<td>22,829,667</td>
<td>20,990,403</td>
<td>22,901,794</td>
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<tr>
<td>Accrued interest receivable</td>
<td>0</td>
<td>0</td>
<td>123,864</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>22,829,667</td>
<td>20,990,403</td>
<td>23,025,658</td>
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<tr>
<td><strong>Sections Accounts:</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Section Accounts Cash equivalents and Investments at market value</td>
<td>3,599,281</td>
<td>3,600,852</td>
<td>3,629,262</td>
</tr>
<tr>
<td>Cash</td>
<td>965,738</td>
<td>694,737</td>
<td>76,245</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>4,565,019</td>
<td>4,295,589</td>
<td>3,705,507</td>
</tr>
<tr>
<td><strong>Fixed Assets:</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Furniture and fixtures</td>
<td>1,415,856</td>
<td>1,340,918</td>
<td>1,377,127</td>
</tr>
<tr>
<td>Leasehold Improvements</td>
<td>1,368,781</td>
<td>1,368,781</td>
<td>1,368,781</td>
</tr>
<tr>
<td>Equipment</td>
<td>8,306,954</td>
<td>8,511,919</td>
<td>8,298,344</td>
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<tr>
<td>Telephone</td>
<td>107,636</td>
<td>107,636</td>
<td>107,636</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>11,199,227</td>
<td>11,329,254</td>
<td>11,151,888</td>
</tr>
<tr>
<td>Less accumulated depreciation</td>
<td>8,945,286</td>
<td>8,655,769</td>
<td>8,839,286</td>
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<tr>
<td><strong>Net fixed assets</strong></td>
<td>2,253,941</td>
<td>2,673,485</td>
<td>2,312,602</td>
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<tr>
<td><strong>Total Assets</strong></td>
<td>47,965,683</td>
<td>45,545,128</td>
<td>49,499,575</td>
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## Liabilities and Fund Balances

<table>
<thead>
<tr>
<th></th>
<th>4/30/2018</th>
<th>4/30/2017</th>
<th>12/31/2017</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Current liabilities:</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Accounts Payable &amp; other accrue expenses</td>
<td>735,891</td>
<td>686,046</td>
<td>1,247,871</td>
</tr>
<tr>
<td>Deferred dues</td>
<td>94</td>
<td>0</td>
<td>7,717,027</td>
</tr>
<tr>
<td>Deferred income special</td>
<td>846,153</td>
<td>1,076,922</td>
<td>923,076</td>
</tr>
<tr>
<td>Deferred grant revenue</td>
<td>34,010</td>
<td>33,575</td>
<td>34,630</td>
</tr>
<tr>
<td>Other deferred revenue</td>
<td>62,074</td>
<td>103,132</td>
<td>852,291</td>
</tr>
<tr>
<td>Unearned Income - CLE</td>
<td>21,388</td>
<td>19,478</td>
<td>47,819</td>
</tr>
<tr>
<td>Payable To The New York Bar Foundation</td>
<td>3,339</td>
<td>3,731</td>
<td>0</td>
</tr>
<tr>
<td><strong>Total current liabilities &amp; Deferred Revenue</strong></td>
<td>1,702,949</td>
<td>1,922,884</td>
<td>10,822,714</td>
</tr>
<tr>
<td><strong>Long Term Liabilities:</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Accrued Pension Costs</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Accrued Other Postretirement Benefit Costs</td>
<td>7,651,026</td>
<td>7,312,723</td>
<td>7,551,026</td>
</tr>
<tr>
<td>Accrued Supplemental Plan Costs and Defined Contribution Plan Costs</td>
<td>120,000</td>
<td>135,085</td>
<td>309,739</td>
</tr>
<tr>
<td><strong>Total Liabilities &amp; Deferred Revenue</strong></td>
<td>9,473,975</td>
<td>9,370,692</td>
<td>18,683,479</td>
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<tr>
<td><strong>Board designated for:</strong></td>
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<td></td>
<td></td>
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<tr>
<td>Cromwell Account</td>
<td>2,330,264</td>
<td>2,175,658</td>
<td>2,365,477</td>
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<td>Replacement Reserve Account</td>
<td>2,131,014</td>
<td>2,130,375</td>
<td>2,130,805</td>
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<tr>
<td>Long-Term Reserve Account</td>
<td>15,058,641</td>
<td>13,542,595</td>
<td>15,041,029</td>
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<tr>
<td>Section Accounts</td>
<td>4,565,019</td>
<td>4,295,589</td>
<td>3,705,507</td>
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<tr>
<td>Invested in Fixed Assets (Less capital lease)</td>
<td>2,253,941</td>
<td>2,673,485</td>
<td>2,312,602</td>
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<tr>
<td>Undesignated</td>
<td>12,152,829</td>
<td>11,356,734</td>
<td>5,260,676</td>
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<td><strong>Total Net Assets</strong></td>
<td>38,491,708</td>
<td>36,174,436</td>
<td>30,816,096</td>
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<tr>
<td><strong>Total Liabilities and Net Assets</strong></td>
<td>47,965,683</td>
<td>45,545,128</td>
<td>49,499,575</td>
</tr>
</tbody>
</table>
## New York State Bar Association

**Statement of Activities**

*For the Four Months Ending April 30, 2018*

<table>
<thead>
<tr>
<th></th>
<th>April 2018</th>
<th>April 2017</th>
<th>December 2017</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>REVENUES AND OTHER SUPPORT</strong></td>
<td></td>
<td></td>
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<tr>
<td>Membership dues</td>
<td>$9,607,576</td>
<td>$9,729,197</td>
<td>$10,053,580</td>
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<td>Section revenues</td>
<td></td>
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<tr>
<td>Dues</td>
<td>1,252,506</td>
<td>1,260,433</td>
<td>1,306,781</td>
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<td>Programs</td>
<td>1,507,133</td>
<td>1,242,397</td>
<td>2,464,057</td>
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<td>Continuing legal education program</td>
<td>1,519,798</td>
<td>1,266,168</td>
<td>3,154,300</td>
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<td>Administrative fee and royalty revenue</td>
<td>783,545</td>
<td>762,805</td>
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<td>Annual meeting</td>
<td>842,403</td>
<td>900,992</td>
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<td>Investment income</td>
<td>135,238</td>
<td>128,817</td>
<td>1,034,947</td>
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<td>Reference Books, Formbooks and Disk Products</td>
<td>342,298</td>
<td>231,924</td>
<td>1,204,335</td>
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<td>Other revenue</td>
<td>149,040</td>
<td>84,439</td>
<td>167,602</td>
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<td><strong>Total revenue and other support</strong></td>
<td>16,139,537</td>
<td>15,607,172</td>
<td>22,758,802</td>
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<tr>
<td><strong>PROGRAM EXPENSES</strong></td>
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<td></td>
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<td>Continuing legal education program</td>
<td>951,091</td>
<td>830,628</td>
<td>2,449,563</td>
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<td>Graphics</td>
<td>638,427</td>
<td>664,386</td>
<td>1,795,789</td>
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<td>Government relations program</td>
<td>162,156</td>
<td>205,222</td>
<td>614,867</td>
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<td>Law, youth and citizenship program</td>
<td>24,546</td>
<td>59,259</td>
<td>181,679</td>
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<tr>
<td>Lawyer assistance program</td>
<td>32,218</td>
<td>63,408</td>
<td>173,693</td>
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<td>Lawyer referral and information services</td>
<td>42,809</td>
<td>56,183</td>
<td>173,154</td>
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<td>Law practice management services</td>
<td>19,106</td>
<td>69,045</td>
<td>94,752</td>
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<td>Media / public relations services</td>
<td>123,257</td>
<td>151,833</td>
<td>424,720</td>
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<td>Meetings services</td>
<td>4,173</td>
<td>11,125</td>
<td>0</td>
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<td>Marketing and Membership services</td>
<td>522,836</td>
<td>516,544</td>
<td>1,554,945</td>
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<td>Pro bono program</td>
<td>80,492</td>
<td>61,224</td>
<td>222,562</td>
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<td>Local bar program</td>
<td>35,416</td>
<td>27,223</td>
<td>103,500</td>
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<tr>
<td>House of delegates</td>
<td>153,142</td>
<td>211,897</td>
<td>480,754</td>
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<td>Executive committee</td>
<td>17,547</td>
<td>18,658</td>
<td>57,647</td>
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<td>Other committees</td>
<td>228,791</td>
<td>255,684</td>
<td>589,813</td>
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<td>Sections</td>
<td>1,793,901</td>
<td>1,808,093</td>
<td>3,694,593</td>
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<td>Section newsletters</td>
<td>57,389</td>
<td>53,817</td>
<td>144,813</td>
</tr>
<tr>
<td>Reference Books, Formbooks and Disk Products</td>
<td>237,022</td>
<td>346,161</td>
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<td>Publications</td>
<td>275,643</td>
<td>288,766</td>
<td>789,495</td>
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<td>Annual meeting expenses</td>
<td>268,550</td>
<td>337,245</td>
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<td><strong>Total program expenses</strong></td>
<td>5,668,512</td>
<td>6,036,401</td>
<td>14,850,144</td>
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<tr>
<td><strong>MANAGEMENT AND GENERAL EXPENSES</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Salaries and fringe benefits</td>
<td>1,164,881</td>
<td>1,088,480</td>
<td>3,893,223</td>
</tr>
<tr>
<td>Pension plans and other employee benefit plan costs</td>
<td>217,207</td>
<td>221,610</td>
<td>651,939</td>
</tr>
<tr>
<td>Rent and equipment costs</td>
<td>309,716</td>
<td>320,493</td>
<td>1,047,999</td>
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<tr>
<td>Consultant and other fees</td>
<td>300,315</td>
<td>415,016</td>
<td>1,004,809</td>
</tr>
<tr>
<td>Depreciation and amortization</td>
<td>225,200</td>
<td>251,200</td>
<td>722,019</td>
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<tr>
<td>Other expenses</td>
<td>60,220</td>
<td>89,627</td>
<td>312,701</td>
</tr>
<tr>
<td><strong>Total management and general expenses</strong></td>
<td>2,277,539</td>
<td>2,386,426</td>
<td>7,632,690</td>
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<tr>
<td><strong>CHANGES IN NET ASSETS BEFORE INVESTMENT TRANSACTIONS AND OTHER ITEMS</strong></td>
<td>8,193,486</td>
<td>7,184,345</td>
<td>275,968</td>
</tr>
<tr>
<td>Realized and unrealized gain (loss) on investments</td>
<td>(517,833)</td>
<td>1,251,071</td>
<td>2,790,613</td>
</tr>
<tr>
<td><strong>CHANGES IN NET ASSETS</strong></td>
<td>7,675,653</td>
<td>8,435,416</td>
<td>3,066,581</td>
</tr>
<tr>
<td>Net assets, beginning of year</td>
<td>30,816,103</td>
<td>27,749,522</td>
<td>27,749,522</td>
</tr>
<tr>
<td>Net assets, end of year</td>
<td>38,491,756</td>
<td>36,184,938</td>
<td>30,816,103</td>
</tr>
</tbody>
</table>
President’s Report
to the House of Delegates
June 16, 2018

We members of this great profession of ours, particularly the members of the organized bar, stand on the front lines protecting, defending - and yes, even expanding - our precious civil liberties and the administration of justice. Our emphasis at the State Bar in the coming year will be on a broad range of topics relevant to those liberties and the effective administration of justice which I will briefly describe. But first, I will provide a brief summary of actions and activities since the last meeting of the House of Delegates.

You may have read in the New York Times last week about the refusal to disclose the disciplinary records of the policeman who choked Eric Garner to death because of a previously obscure section of New York’s Civil Rights Law, section 50-a. We have established a Working Group to explore whether that law should be amended, revised or revoked. Catherine Christian and NYSBA VP from the 8th Judicial District (Buffalo) Norman Effman will co-chair that effort. As a result of the Garner case, NYSBA’s Media Law Committee and Civil Rights Committee had asked NYSBA’s Executive Committee to adopt a legislative proposal to repeal Civil Rights Law §50-a. Our Executive Committee decided to create a Working Group with representation from the two committees and members from or collaboration with the Labor and Employment Law Section, the Criminal Justice Section, and the State and Local Government Law Section to examine the issues raised by the report and asked the two committees to refrain from issuing comments on the proposed legislation until the working group reports back to the Executive Committee.

NYSBA and the New York State Bar Foundation have joined forces to file an amicus brief in a case before the U.S. Supreme Court Frank v. Gaos, that challenges the award of cy pres funds in a class action to not-for-profits. We will
be challenging the argument that the settlements should not transfer money to charities and nonprofits that have not been injured by the conduct that sparked the lawsuit. An Executive Committee subcommittee consisting of William Russell, Erica Hines and Scott Karson will coordinate our efforts with the New York State Bar Foundation in preparing and filing an amicus brief concerning the challenge to cy pres distributions and the Nixon Peabody firm has generously agreed to represent NYSBA and the NYSBF pro bono.

In a substantial departure from past years, the annual Section Leaders Conference was held over a two-day period at the Bar Center in Albany instead of a one-day session at the Harvard Club in Manhattan. Also, in a departure from past years, I asked Jean Gerbini, the chair of the Section Leaders Conference, to co-chair the conference with me. The conference was well-attended by section officers and we provided a significantly more robust and in-depth curriculum for attendees. Additionally, attendees had meaningful opportunities to socialize and share common interests and challenges. An added fiscal benefit is that having our two-day program at the Bar Center where we served five meals and had a wonderful cocktail reception for attendees on our patio, compared to just breakfast and lunch at the Harvard Club, resulted in total savings of approximately $22,000. While there are areas to be improved upon, I believe that by any measure, this conference was a significant success.

In previous years, New York State Bar Association section, committee and task force reports have been trusted and widely-used sources of insights and information, and have served as the basis for legislative and other proposals. The coming year will be no exception. Our emphasis in the coming year will be on a broad range of topics relevant to the effective administration of justice in the 21st century. We will focus on important criminal justice issues; explore the criteria and best practices for screening candidates for election to judicial office; discuss important law practice management matters; and address America’s scourge of mass shootings, assault weapons and related legal issues. And we will take a look at how, through the law, we might assist our fellow Americans in Puerto Rico.

Personal attacks on members of the judiciary have increased exponentially and as you all know, the judiciary is constrained from responding. In order to help us respond more quickly and effectively during the 24-hour news cycle when judges are unfairly attacked, or other matters call for prompt response, we are establishing a Rapid Response Advisory Group, which will be led by NYSBA Past President David Miranda.

There is no more important pillar to the foundation of our justice system than the quality of our judiciary. It has long been the policy of NYSBA to advocate for the
selection of judges by appointment, rather than by election. However, as long as there are judicial elections, it is vitally important that the process of evaluation is fair and fosters the best judiciary possible. I have heard from the highest levels of the court system that there are significant concerns regarding the existing evaluation system. Therefore, we have established the **Task Force on the Evaluation of Candidates for Election to Judicial Office**, co-chaired by Robert L. Haig, and former Court of Appeals Judge Susan Phillips Read. This task force will review the various vetting structures that exist throughout New York and will propose best practices, guidelines and minimum standards for review of candidates for election to judicial office and will make recommendations to assist local bar associations and good government groups to ensure that we have the best possible judicial evaluation efforts throughout the State. The task force is already hard at work, developing surveys for current and former members of the Independent Judicial Election Qualifications Commissions as well as of elected judges; a questionnaire for bar associations, good government groups and others interested in judicial elections; public hearings and focus groups; and interviews and polls. Its first full meeting will be held on August 1.

A decade ago, former President Bernice Leber established the **Task Force on Wrongful Convictions** which, under the leadership of former Judge Barry Kamins, issued a truly ground-breaking report in 2009. Judge Kamins and former Court of Appeals Judge Robert Smith are co-chairing a newly empaneled task force to update the 2009 report with recommendations based upon new developments, technology, science, experience, and judicial decisions, and make affirmative recommendations to reduce the likelihood of wrongful convictions. The members of the task force include representatives from the legal aid society, the attorney general’s office, the defenders office, law schools, the federal bench and district attorneys. Martin Tankleff, who spent 17 years in prison before his conviction for his parents’ murders in Suffolk County was overturned, will also serve on the task force.

To build upon the excellent work of our Special Committee on Re-Entry, we are establishing the **Task Force on Incarceration Release Planning and Programs**, which will be co-chaired by Scott Karson and Sherry Levin Wallach. This task force will conduct an investigation and recommend state and national policy changes and best practices to help better prepare those released from incarceration to re-enter the community and reduce the rate of recidivism.

Massacres at Columbine, Las Vegas, Orlando, San Bernardino, Sandy Hook, Parkland and so many others… the epidemic of mass shootings continues unabated. We have established the **Task Force on Mass Shootings and Assault Weapons**, co-chaired by former Criminal Court Judge Margaret Finerty and
NYSBA Past President David Schraver. This task force will consider the connection between mental health and mass shootings; the relationship between domestic violence and mass shootings; whether assault weapons belong in civilian hands; and will make appropriate recommendations.

In 1997, NYSBA issued guidelines for the use of paralegals -- a lot has changed since 1997. The Task Force on the Role of Paralegals, co-chaired by former NYSBA President Mary Ann Saccamando Freedman, Margaret Phillips and Vincent Chang, will update the 1997 report, explore relevant issues and make recommendations for best practices for the use of paralegals in the context of the modern 21st century law office.

There is a humanitarian crisis in Puerto Rico of historic proportions. We have established a Working Group on Puerto Rico to explore ways through enactment or modification of laws we might be able to assist our fellow Americans in Puerto Rico who are suffering so grievously. Because of the urgency of the situation, I will ask that they report to our Executive Committee as soon as possible with any affirmative recommendations. In the meantime, I have already begun to reach out to bar leaders throughout NY to join me in contacting NY’s Congressional delegation to express our profound concern regarding the crisis in Puerto Rico.

All of these groups have hit the ground running, and they plan to report regularly to both the House and the Executive Committee throughout the year.

You often have heard me say, “All roads lead to membership.” Our association’s greatest strength rests with its diverse, engaged members. Increasing membership is a top priority for our officers and for me. In addition to the policy initiatives described above, we will also be focusing on a challenge that is shared by most voluntary bar associations – and indeed most professional associations – across the country: attracting new members and retaining existing ones. In the coming year, as we continue our work to improve membership development in all areas, we will embark on a vigorous campaign focusing on providing a more meaningful membership experience for our out-of-state members, who comprise almost one-fourth of our membership. I have asked our Membership Committee to develop new outreach programming for these members, in conjunction with functions being held by our sections outside New York State. In addition, I have asked the committee to consider other tools to meet the needs of this important constituency.

During the coming months, I plan to attend a number of section and local bar association meetings. I look forward to seeing many of you at these events.
I am deeply honored to serve as the president of the New York State Bar Association. Thank you for the opportunity to serve you and the State Bar.
REQUESTED ACTION: Approval of the report and recommendations of the Criminal Justice Section and the Committee on Mandated Representation.

Attached is a report from the Criminal Justice Section and the Committee on Mandated Representation recommending an increase in the rates paid to private attorneys assigned to represent litigants pursuant to Article 18-B of the County Law. As noted in the report, these rates were last adjusted effective January 1, 2004. Since that time, the Office of Indigent Legal Services (ILS) was established to monitor, study, and make efforts to improve services provided pursuant to Article 18-B, and New York State has provided in the state budget funding to reimburse counties and cities for improvements to the provision of indigent legal services. However, ILS is not authorized to alter assigned counsel rates.

The report then examines increases in compensation for the state judiciary and lawyers accepting assignments in federal courts. With respect to the latter, the report notes that the Judicial Conference is authorized to increase rates, and assigned counsel rates have been regularly adjusted since 2002.

In its Standards for Providing Mandated Representation, originally adopted in 2005 and last amended in 2015, NYSBA has recognized the necessity of adequate compensation for the representation of indigent clients in order to ensure the continued participation of competent attorneys accepting assignments.

Accordingly, the report recommends that County Law §722-b be amended to increase assigned counsel rates and to provide annual review and adjustment as needed of these rates. Such increases should not result in an unfunded mandate to counties and should be effected at state expense.

This report was posted for comment in May 2018. The Chief Defenders Association of New York has submitted a letter supporting the report but recommending that there be an immediate increase in rates to represent 90% of the currently effective rate under the Federal Criminal Justice Act. The Committee on Children and the Law has submitted a letter supporting the proposal and recommending that, in addition, Attorneys for the Child and assigned counsel appearing in Family Court be included in such a rate increase.
The report will be presented at the June 16 meeting by Norman P. Effman, past chair of the Committee on Mandated Representation.
In 2000, the Honorable Juanita Bing Newton stated:

> If we are to ensure New York’s longstanding commitment to the principles of Gideon and access to justice, unquestionably the compensation rate for assigned counsel must be increased.” see NYSBA Criminal Justice Journal/Summer 2000/Volume 8/Number 1/Page 15.

The Judge’s words are again relevant, as fees implemented in 2004 have stagnated for fourteen years.

New York State, in addition to county public defenders and conflict defender offices, as well as contractual relationships by counties with legal aid societies, relies on assigned counsel programs as an indispensable part of its justice system. These programs provide the appointment of private counsel by the Court to represent litigants in thousands of cases each year in the criminal and family courts of New York, as well as in parole matters where counsel is mandated.

Article 18-B of the County Law establishes a compensation paid to attorneys for assigned counsel work. The original statute for assigned counsel fees was $15 per hour for work performed in court and $10 per hour for work performed out of court. In 1977, it was amended to $25 per hour for work performed in court and $15 for work performed out of court. In 1986, the Legislature amended the County Law for New York’s assigned counsel fees to $40 per hour for work performed in court and $25 per hour for work performed out of court. This covered misdemeanors and felonies, although there were higher caps for felony cases.

In January of 2000, the Unified Court System published a report authored by then Chief Administrative Judge Jonathan Lippman and Deputy Chief Administrative Judge Juanita Bing Newton. That report, Assigned Counsel in New York: A Growing Crisis, noted that fewer and fewer attorneys in New York were willing to accept these assignments under the $25 and $40 rate, leading to a crisis in the Assigned Counsel Program. The reason for the crisis was clear: the compensation paid to attorneys for assigned counsel work was woefully inadequate. The report recommended the elimination of the differential rates for in court and out of court work. It further recommended the establishment of separate rules for felony and non-felony work and an increase of the rate levels. The report by Judges Lippman and Bing Newton also recommended the establishment of a commission to review assigned counsel rates. It further concluded that state government should share the cost of assigned counsel compensation, which imposes considerable fiscal burden on local governments.

Effective January 1, 2004, assigned counsel rates were increased to $75 per hour in and out of court for all matters governed by County Law §722 except for fees of $60 per hour in and out of court for representation of a person who was initially charged with a misdemeanor or lesser offense and no felony.
The $75 per hour rate included:

a. felonies, 

b. violations of probation (felony convictions), 

c. appeals, 

d. SORA hearings, 

e. parole representation, 

f. family court representation, 

g. post judgment motions, Writs of Habeas Corpus, and CPL Article 440 motions if counsel is assigned.

Statutory maximums were established at $2,400 when the $60 rate applied and $4,400 when the $75 rate applied.

Compensation in excess of these amounts was permitted under extraordinary circumstances.

THE EXTENSION OF THE HURRELL-HARRING SETTLEMENT REFORMS FOR INDIGENT DEFENSE

Quality criminal defense of individuals who cannot otherwise afford counsel has been called of paramount importance in complying with the United States Supreme Court decision in Gideon v. Wainwright. In 2014, the State of New York negotiated a settlement in the Hurrell-Harring case, described further infra, based upon the alleged failure to provide the necessary level of indigent defense services in the counties which were sued. To ensure the fair and equal representation for all New Yorkers, the fiscal year 2018 budget included necessary resources for the state to fund 100%, of the costs, implemented incrementally, needed to extend the reforms provided in the Hurrell-Harring settlement to all 62 counties in New York.

RECENT REFORMS AND STATE AID IN PROVIDING MANDATED REPRESENTATION IN CRIMINAL CASES TO COUNTIES

A. NEW YORK STATE OFFICE OF INDIGENT LEGAL SERVICES

Executive Law Article 30, §832(1), which became law in 2010, establishes the Office of Indigent Legal Services to “monitor, study and make efforts to improve the quality of services provided pursuant to Article 18-B of the County Law.”

ILS established its statewide Implementation Unit. This unit was to reach out to public defense leaders and local officials in every county and New York City to advance the interim and long range planning for counsel at arraignment, caseload relief, and initiatives to improve the quality of indigent defense. The Executive Law provided that each county and the City of New York shall, in consultation with the office, undertake good faith efforts to implement the plans for each of the reforms. See Executive Law §832(4)(a)(iii), (4)(b)(iii), and (4)(c)(iv).
ILS is therefore charged with the statutory responsibility of using the monies available through the Hurrell-Harring expansion to all 62 counties to improve the quality of indigent defense.

**B. THE HISTORY AND THE CREATION OF ILS IN NEW YORK (REFORM AFTER DECADES OF FAILURE)**

In 2018, William Leahy, the Executive Director of the Indigent Legal Service Office (ILS) published an article in the Indiana Law Review which reviewed the right to counsel in New York and the reform achieved after decades of failure (Indiana Law Review, Vol. 51, No. 1 [2018] - 3/20/18 pg. 145-165). That article documents the failures of New York in providing competent mandated representation to the period of reform presently underway. Mr. Leahy notes that from its inception in 1965 when County Law Article 18-B was signed into law, the right to counsel in New York was mired in dysfunction. The Law Review article notes that in May 2003, the State Legislature increased assigned counsel rates, established a revenue screen for limited state funding of indigent defense, and created the Indigent Legal Service Fund from which to distribute those funds to the counties and New York City. Mr. Leahy also notes that in 2004, this association established a special committee to Ensure Quality of Mandated Representation, now the Committee on Mandated Representation, which created comprehensive standards for institutional and assigned counsel providers. Reform of indigent defense in New York State came about in part as a result of the Chief Judge Kaye’s Commission on the Future of Indigent Defense Services report issued on June 18, 2006. It concluded that New York’s current fragmented system of county-operated and largely county-financed indigent defense services fails to satisfy the state’s constitutional and statutory obligations to protect the rights of the indigent accused.

**C. HURRELL-HARRING SETTLEMENT**

As noted above, in October 2014, a settlement in the Hurrell-Harring lawsuit mandated the state to remedy the four major areas of deficiency in the counties which were parties to that lawsuit.

That settlement acknowledged the state’s responsibility to comply with Gideon. Mr. Leahy also notes in his law review article that the state vested the duty to implement the reforms of the settlement in ILS, which had the expertise and independence necessary to do the job.

On January 17, 2017, the Governor announced the extension of the Hurrell-Harring reforms throughout the state at the state’s expense.

Approximately one year ago, again as reported by ILS Executive Director Leahy, the April 10, 2017 state budget contained statutory amendments which amended the County Law to specify that the cost of implementing the reform plans “shall be reimbursed by the state to the county or city providing such services.” The Executive Law amendments included one which gave the ILS the authority to craft and implement plans for statewide implementation of the improvements mandated by the settlement. Nothing, however, authorized ILS to alter the legislatively imposed assigned counsel rates.
INCREASES IN COMPENSATION FOR THE STATE JUDICIARY AND FOR ATTORNEYS ACCEPTING ASSIGNMENTS IN FEDERAL COURT

a. Judicial Salary Increases

Beginning in June 2015, the New York State Commission on Legislative, Judicial, & Executive Compensation was given the task of evaluating and making recommendations with respect to compensation for New York State judges as well as other state officials. That commission, in the present fiscal year, approved a set of recommendations that would boost salaries for Supreme Court judges from what was $174,000 a year to nearly $193,000 a year beginning on April 1st.

The increase in salaries for Superior Court judges reflects the need for judicial compensation that attracts and retains qualified people. Similar efforts at the federal level have led to salaries of federal district judges of approximately $208,000 per year.

Assigned state judges went without raises from 1999 until 2012 when their salaries were increased from $136,700 to the previous amount of $174,000.

b. Comparison to Federal Compensation and Expenses of Appointed Counsel

In non-capital federal cases, hourly rates to attorneys appointed in criminal matters have been adjusted regularly since 2002. The maximum hourly rates in federal cases are as follows:

<table>
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<th>Period</th>
<th>Rate</th>
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<tr>
<td>May 1, 2002 through December 31, 2005</td>
<td>$90.00</td>
</tr>
<tr>
<td>January 1, 2006 through May 19, 2007</td>
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<td>May 20, 2007 through December 31, 2007</td>
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<td>January 1, 2008 through March 10, 2009</td>
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<tr>
<td>March 11, 2009 through December 31, 2009</td>
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<tr>
<td>January 1, 2010 through August 31, 2013</td>
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</tr>
<tr>
<td>September 1, 2013 through February 28, 2014</td>
<td>$110.00</td>
</tr>
<tr>
<td>March 1, 2014 through December 31, 2014</td>
<td>$126.00</td>
</tr>
<tr>
<td>January 1, 2015 through December 31, 2015</td>
<td>$127.00</td>
</tr>
<tr>
<td>January 1, 2016 through May 4, 2017</td>
<td>$129.00</td>
</tr>
<tr>
<td>May 5, 2017 through March 22, 2018</td>
<td>$132.00</td>
</tr>
<tr>
<td>March 23, 2018 to present</td>
<td>$140.00</td>
</tr>
</tbody>
</table>

(Chapter 2, §230: Compensation and Expenses of Appointed Counsel) (Guide to Judiciary Policy Volume 7: Part A)

In 1964 the Criminal Justice Act was enacted by Congress to establish a comprehensive system for appointing and compensating lawyers to represent defendants financially unable to retain counsel in federal criminal proceedings. The Criminal Justice Act was amended in 1970 to authorize districts to establish federal public defender organizations as an institutional provider for indigent defendants.
As noted in the chart above, private “panel” attorneys are presently paid an hourly rate of $140 in non-capital cases. These rates include both attorney compensation and office overhead.

The federal system also provides case maximums for compensation presently set at $10,900 for felonies, $3,100 for misdemeanors and $7,800 for appeals. As in New York, maximums may be exceeded when higher amounts are certified by the court.

Private attorneys are appointed to provide representation, and their compensation is made in accordance with Criminal Justice Act (CJA), 18 USC §3006A, and the Guide to Judiciary Policy. See: 18 USC §4109(a)(1).

Federal legislation provides a procedure for an annual review of appropriate federal rates. The Guide to Judicial Policy, Volume 7A, Ch 2; §23.20 provides as follows:

“§230.20 Annual Increase in Hourly Rate Maximums

Under 18 U.S.C. §3006A(d)(1), the Judicial Conference is authorized to increase annually all hourly rate maximums by an amount not to exceed the federal pay comparability raises given to federal employees. Hourly rate maximums will be adjusted automatically each year according to any federal pay comparability adjustments, contingent upon the availability of sufficient funds. The new rates will apply with respect to services performed on or after the effective date.”

NEW YORK MUST PROPERLY ADJUST ASSIGNED COUNSEL RATES TO ENSURE ADEQUATE COMPENSATION FOR ASSIGNED COUNSEL

Providing adequate compensation to the private Bar who participate in the Assigned Counsel Program is consistent with the New York State Bar Association’s standards for providing mandated representation which points out the advantages of assigned counsel:

“Although the County Law currently allows each county to devise its own configuration for a provider system, in a great majority of cases, a proper representation plan will establish a mixed representation system that integrates the use of institutional providers and assigned counsel. Such mixed representation systems can combine the advantages of institutional providers with the advantages of assigned counsel plans to engage a broad segment of the bar in achieving the objectives of the plan.” (See introduction New York State Bar Association Standards for Providing Mandated Representation approved as revised by the New York State Bar Association House of Delegates March 28, 2015).

The NYSBA standards recognize that adequate compensation is necessary to ensure the continued participation of quality, competent attorneys, willing to accept criminal assignments in our courts. See standards K-3 through K-5.

Judge Juanita Bing Newton, again writing for the New York State Bar Association Criminal
Justice Journal in September of 2000, argued that assigned counsel rates which were not in line with current economic realities create dire implications for access to justice in New York. The Judge was commenting on a mass exodus of attorneys from assigned counsel panels with fewer and fewer attorneys willing to take these assignments throughout the state. In that article, the Court documented the exodus of lawyers from the panels because of low assignment rates which resulted in an acute shortage of appointed counsel severely undermining the processing of criminal and family court cases. See Ensuring Equal Justice for all Demands an Increase in Assigned Counsel Rates; NYSBA Criminal Justice Journal/Summer 2000/Vol. 8/No. 1 page 17.

The federal system relies on a formula which automatically adjusts the assigned counsel rates based upon comparability to any federal pay adjustments. In New York, we have established a periodic review of judicial salaries to ensure appropriate compensation for our judges placing them almost on parity with the federal judicial system.

Legislation which would authorize an annual adjustment each year according to any judicial salary comparability would eliminate the need for any commission or other process for annual review of appropriate compensation.

New York has developed a similar formula with respect to the elected district attorneys’ salaries. Judiciary Law §183-a provides that the district attorney of each county having a population of more than 500,000, exclusive of the boroughs of New York, shall receive an annual salary equivalent to that of a justice of the State Supreme Court for such additional compensation as the legislative body of such county may provide by local law. The legislation also provides a salary equal to that of a county judge in counties having a population of more than 100,000 and less than 500,000.

In order to avoid increase in salaries to district attorneys which would become an unfunded mandate upon the county, New York County Law §700(11)(b) provides in addition to other state aids provided additional state aid reflecting a percentage of the increase in salaries between January 1, 1999 would become state responsibility. The percentage of the difference ranges from 36% to 41% is dependent upon the county.

INCREASED COMPENSATION FOR ASSIGNED COUNSEL IN NEW YORK, THE MISSING LINK

Institutional providers of mandated services have seen an increase in state aid through the Indigent Defense Fund and the distributions and grants provided by ILS. Judicial salaries and district attorney salaries have been increased significantly over the past several years. Assigned counsel rates have remained stagnant for 14 years.

Article 18-B of the County Law §722-b established the present hourly rates for misdemeanors, felonies, and appellate representation. That statute must be amended to reflect appropriate compensation consistent with the increases that have occurred for the judiciary, elected district attorneys and compensation for assigned counsel in federal criminal cases. It is recommended
that annual review of these rates based on comparables, such as judicial and district attorney salaries, should be adopted to avoid the difficulties of regular legislative action to provide for any increase.

RESOLUTION

1. Legislation should be enacted to increase assigned counsel rates.

2. The rates of compensation should be comparable to the percentage increase of judicial and elected district attorney salaries.

3. The legislation should provide for an annual review and adjustment as needed of assigned counsel rates based on a formula using comparable compensation rates similar to the formula utilized by the Federal Criminal Justice Act.

4. The increase in rates should not result in an unfunded mandate to the counties and should be a state expense.
RESOLUTION

1. Legislation should be enacted to increase assigned counsel rates. This increase should apply to all assignments as defined under “Definition” in the NYSBA 2015 Revised Standards for providing Mandated Representation, which reads:

Mandated Representation - Legal representation of any person financially unable to obtain counsel without substantial hardship who is (1) accused of an offense punishable by incarceration; (2) entitled to or is afforded representation under §249, §262 or §1120 of the Family Court Act; Judiciary Law §35 including child custody and habeas corpus cases; Article 6-C of the Correction Law; §407 of the Surrogate’s Court Procedure Act; §259-i of the Executive Law; or §717 of the County Law; or (3) otherwise entitled to counsel pursuant to constitutional, statutory or other authority.

2. The rates of compensation should be comparable to the percentage increase of judicial and elected district attorney salaries.

3. The legislation should provide for an annual review and adjustment as needed of assigned counsel rates based on a formula using comparable compensation rates similar to the formula utilized by the Federal Criminal Justice Act.

4. The increase in rates should not result in an unfunded mandate to the counties and should be a state expense.
Dear Kathy:

This letter is submitted by the NYSBA Committee on Families and the Law in support of the proposal made by the NYSBA Criminal Justice Section and the NYSBA Committee on Mandated Representation that NYSBA support an increase in the compensation rates for private lawyers who are members of the panels that, under 18-B of the County Law, provide representation to clients facing criminal charges, who are unable to afford private counsel.

This Committee fully supports the Report and the Accompanying Resolution. However, we urge that the action of the Executive Committee and the House of Delegates include assigned counsel appearing in Family Court under 18-B of the County Law. Counsel appearing in Family Court under 18-B of the County Law are providing constitutionally mandated representation and the impact of failure to increase the rates for these attorneys is similar to that described in the Report of the Criminal Justice Section. In April NYSBA adopted policy supporting state funding for parental representation. Including assigned counsel providing representation in Family Court in the increase in compensation rates is an essential next step. Both the NYSBA Criminal Justice Section and the NYSBA Committee on Mandated Representation approved this modification to their proposal at their last meetings on May 3, 2018 and May 4, 2018 respectively.

Sincerely,

Susan B. Lindenauer
On May 16, 2018, the Committee on Children and the Law voted unanimously to support the Report by the Criminal Justice Section and the Committee on Mandated Representation that recommends raising the hourly attorney rate of pay pursuant to County Law Article 18-b. The Committee also voted to request that Attorneys for the Child and assigned counsel appearing in Family Court be included in such a rate increase.
May 29, 2018

Kathleen R. Mulligan Baxter
General Counsel
New York State Bar Association
One Elk Street
Albany, New York 142207

Re: Criminal Law Section Resolution on Assigned Counsel Rate Increase

Dear Ms. Baxter:

As President of the Chief Defender’s Association of New York (CDANY) I write to strongly support the resolution to be presented by the Criminal Justice Section to the House of Delegates on June 14, 2018 to increase and regularly review statutorily set assigned counsel rates in New York.

CDANY is a membership organization of Public Defenders, Conflict Defenders, Executive Directors of non-profit Legal Aid Societies and Administrators of Assigned Counsel Programs throughout New York State. The members of CDANY are responsible for running the offices and programs that defend the vast majority of people facing arrest and child welfare allegations in New York State. Collectively, our members manage indigent defense programs that represented well over five hundred thousand individuals in 2017.

The report accompanying the resolution provides a thorough description of the growing concern with the inadequacy of assigned counsel rates and CDANY strongly supports the recommendations contained in the report. In particular, it is essential that Assigned Counsel Plan Attorneys (also referred to as 18b attorneys), be paid an hourly rate that is consistent with their exceedingly important mission of providing constitutionally mandated representation to people facing dire consequences.

We wholeheartedly adopt the report issued by the NYSBA Criminal Justice Section. We agree that adequate compensation is necessary to ensure the continued participation of good quality and competent attorneys in this vital function. The current rates, unchanged for over fourteen years, are not in line with current economic realities and have dire implications for access to justice in New York. We already see an exodus of attorneys from Assigned Counsel
Panels with fewer and fewer attorneys willing to take these assignments. We feel the passage of these resolutions will prevent this situation from becoming a crisis where some clients will have to wait weeks or months for an attorney to be assigned to them.

We do wish to address one issue regarding resolution number two.

Our concern is that while the report recommends increases that are automatic, it does not set a baseline hourly rate for an immediate, much needed increase. We believe the rates must be increased and then subject to automatic increases in the future.

We suggest that specific language be added to resolution number two so that it now would read:

“The rate of compensation should be set at 90% of the currently effective rate under the Federal Criminal Justice Act.”

(As of right now, the federal CJA rate is $140.00 per hour. Ninety percent would be $126 per hour.)

Once again, we thank the New York State Bar Association for bringing this critical issue to the floor of the House of Delegates. We hope that a resolution on this issue will gain traction with the governor and the legislature and help solve this critical problem facing the Assigned Counsel Programs throughout New York State.

Very truly yours,

Justine Luongo
Chief Defender’s Association of New York

cc: Norman Effman, NYSBA Vice President, Eight Judicial District
REQUESTED ACTION: Approval of the report and recommendations of the New York City Bar Association.

Attached is a report from the New York City Bar recommending support for legislation that permanently exempts Puerto Rico from the provisions of the Merchant Marine Act of 1920, 46 U.S.C. §§5501 et seq., commonly known as the Jones Act. The Jones Act requires that cargo shipped between two ports within the United States must be transported on ships that meet certain registration requirements. When enacted, the purpose of the Act was to ensure that domestic ships would be available to support the U.S. military during war.

According to the report, the application of the Jones Act to shipments to Puerto Rico results in increased costs to the people of Puerto Rico for their imports and causes Puerto Rico to import most goods from foreign countries rather than the United States. In addition, the Jones Act contains exemptions for other United States territories, including the Virgin Islands, American Samoa, and the Northern Mariana Islands. The report does not advocate for the complete repeal of the Jones Act.

The report notes that in the aftermath of Hurricane Maria, the Department of Homeland Security issued a 10-day waiver of the Jones Act; it does not believe this temporary waiver was sufficient.

This report was posted for comment in May 2018. You will be advised of any comments received with respect to the report.

The report will be presented at the June 16 meeting by Roger Juan Maldonado, President of the New York City Bar Association.
REPORT BY THE TASK FORCE ON PUERTO RICO IN SUPPORT OF PERMANENTLY EXEMPTING PUERTO RICO FROM THE JONES ACT

This report is respectfully submitted on behalf of the New York City Bar Association (“City Bar”) concerning Congressional attempts to provide aid and relief to the people of Puerto Rico as they recover from the devastation of Hurricane Maria. Specifically, we write to strongly encourage Congress to permanently exempt Puerto Rico from the requirements of the Jones Act, just as the U.S. Virgin Islands have been exempted from that law’s requirements. Because Puerto Rico is an island economy, the restrictions imposed by the Jones Act have had a uniquely negative impact on the people of Puerto Rico by substantially increasing the cost of basic goods such as food and electricity. Now that Congress has taken up the task of addressing an aid package to Puerto Rico, we respectfully urge that this permanent exemption be granted so that the people of Puerto Rico can rebuild their economy.

All of the independent studies that have examined the impact of the Jones Act on Puerto Rico have unanimously found that it has had—and continues to have—a substantial negative impact. The Jones Act raises the price of energy on the island at a time when Puerto Rican families are suffering through an energy crisis, and it raises the price of food when over 44% of the island is living in poverty. Estimates indicate that the Jones Act costs the Puerto Rican economy hundreds of millions of dollars every year, and in 2010 alone cost $537 million. Because of these substantial costs, a wide range of voices, on a bi-partisan basis, have

1 Founded in 1870, the New York City Bar Association (the “City Bar”) is a voluntary association of lawyers and law students with over 24,000 members. The City Bar regularly reviews, and sometimes addresses, complex legal issues that transcend the boundaries of New York City. The City Bar formed a Task Force on Puerto Rico in October 2016 comprised of members of the City Bar’s Committees on Bankruptcy and Corporate Reorganization, Inter-American Affairs, International Human Rights and International Law, and has been active in relief efforts for Puerto Rico in light of its financial crisis and the catastrophic devastation caused by Hurricane Maria. Post-Hurricane Maria, the City Bar advocated for a 1-year exemption to the Jones Act (see http://s3.amazonaws.com/documents.nycbar.org/files/Jones_Act_Puerto_Rico_TASK_FORCE_9.27.17.pdf). Upon further study, the City Bar has concluded that a permanent exemption is warranted for the reasons described herein.

2 See infra Section B.


4 United States Census Bureau, https://www.census.gov/quickfacts/PR.

consistently requested that Puerto Rico be exempted from the substantial burdens of the Jones Act. The time to listen to these voices is now.

I. THE SCOPE OF THE JONES ACT

a. The Creation of the Jones Act

The Merchant Marine Act of 1920, 46 U.S.C. §55101 et seq., also known as the “Jones Act,” was signed by President Woodrow Wilson shortly after World War I, at a time when the annual budget for the United States Navy was only $628,726,000. Arizona had only recently been admitted as the forty-eighth state in the union, the non-contiguous territories of Alaska and Hawaii would not be added as states for another thirty-nine years, and the small island of Puerto Rico had only recently been acquired from Spain in the Spanish-American War of 1898.

Pursuant to the terms of the Jones Act, all goods shipped between two points within the United States must be transported on a vessel that meets certain federal regulatory requirements. Specifically, the vessels cannot transport shipments between two United States ports unless they meet certain registration requirements, and can demonstrate, *inter alia*, that (i) the company that owns the transporting vessel is comprised of at least 75% of United States citizens; (ii) the transporting vessel was not built or re-built in a foreign country; and (iii) at least 75% of the crew are United States citizens.

By having U.S. consumers indirectly subsidize the domestic shipping industry (in addition to direct subsidies by the U.S. Navy) through these restrictions requiring use of domestic rather than international vessels, Congress sought to bolster the creation of a domestic fleet of ships that could be made available to provide essential support to the U.S. military for transporting cargo by sea in times of war. In so doing, “the Jones Act effects a transfer from U.S. consumers of water transportation services to U.S. maritime carriers, with the result being that domestic shippers can charge rates substantially above comparable world prices, increasing the revenue of domestic shippers by billions of dollars a year.” The federal government continues to believe that having a marine reserve force on standby to call up in times of war is necessary for national security and war-readiness; indeed, we understand that U.S. commercial ships were used in substantial volumes during the Gulf War and in Iraq and Afghanistan to supply U.S. military personnel. However, we also understand that a portion of the Navy’s current budget goes toward subsidizing that maritime fleet.

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6 Exhibit 1 (List of Organizations That Have Supported Exempting Puerto Rico from the Requirements of the Jones Act in Whole or in Part); Exhibit 2 (Members of Congress That Have Supported Exempting Puerto Rico from the Requirements of the Jones Act in Whole or in Part).


9 Notably, the United States Navy now has an annual budget of $171.5 billion, only a limited portion of which is used for direct subsidies to U.S. merchant vessels, and is the most powerful fleet in the world. See FY 2018 Department of the Navy (DON) President’s Budget (PB) Summary, http://www.secnav.navy.mil/fmc/fmb/Documents/18pres/DON_PB_OVERVIEW.pdf.
Putting aside the question of whether the Jones Act is still needed to maintain national security and military readiness, we respectfully submit that exempting Puerto Rico from Jones Act restrictions would have little to no effect on the overall scope and purpose of the law and the ability of the U.S. to maintain an effective marine reserve force. Even if somewhat greater direct subsidies funded by all U.S. taxpayers became necessary as a result of exempting Puerto Rico from the Jones Act—as is not at all clearly the case—having this national military priority funded by all taxpayers seems preferable to having it funded disproportionately by residents of that currently highly distressed and economically disadvantaged territory as it is now.

b. The Jones Act Does Not Apply to Foreign Shipments

Importantly, these Jones Act restrictions do not apply to foreign shipments going into, or out of, the United States. The Jones Act only applies to shipments that go between two United States ports. What this means is that the Jones Act does not directly restrict trade between Puerto Rico and foreign countries, such as Mexico. Rather, what the Jones Act does is restrict trade between Puerto Rico and the mainland United States. It does so by imposing restrictions that raise the price of common goods, such as food and fuel, when they are shipped from the mainland United States to Puerto Rico. As is discussed in further detail below, this has two significant impacts: (i) it causes the people of Puerto Rico to pay increased costs for everything that they import; and (ii) it drives Puerto Rico to import the majority of its goods by volume from foreign countries rather than the mainland United States, even for goods that the mainland United States could have provided at a cheaper price.10

c. The Jones Act Already Has Substantial Exemptions

Not all territories within the United States are required to abide by the Jones Act. The United States Virgin islands are exempt. Similarly, the territory of American Samoa and the commonwealth of Northern Mariana Islands are also exempt. There are also partial exemptions for the territory of Guam, and the coastal town of Hyder, Alaska. Puerto Rico is the only non-contiguous territory not wholly or partially exempt.11

II. THE IMPACT OF THE JONES ACT ON PUERTO RICO

a. The Jones Act Has Cost Puerto Rico Billions of Dollars

Every independent study—with no exceptions that we have found—indicates that the Jones Act is significantly harming the people of Puerto Rico. This is because Puerto Rico is an island economy that imports approximately 85% of its food, a percentage which is likely to

10 GAO, Puerto Rico: Characteristics of the Island’s Maritime Trade and Potential Effects of Modifying the Jones Act, at 11-12 (“Over the entire year 2011, 67 percent of the vessels that operated in the port of San Juan were foreign-flag vessels, while 33 percent were U.S.-flag vessels”), https://www.gao.gov/assets/660/653046.pdf.

increase after the decimation of 80% of its crop value post-Hurricane Maria. In addition to food, Puerto Rico imports chemicals, oil, electrical appliances, machinery and equipment, transport vehicles, and plastics. Just about everything that the people of Puerto Rico need to survive is imported. And to the extent that Puerto Rico seeks to import any of those goods from the United States, it is required to pay substantially increased shipping costs.

Simply put, the increased shipping costs imposed by the Jones Act cause an increase in the cost of goods on the island. Although some reports are uncertain of the exact amount of damage caused to Puerto Rico by this law, and it is impossible to predict the damage with absolute precision, they are unanimous in finding that the Jones Act substantially impacts the cost of goods. For instance, a 2012 report from the Federal Reserve Bank of New York, titled “Report on the Competitiveness of Puerto Rico’s Economy,” found that the shipping cost for a twenty-foot container from the mainland United States to Puerto Rico was twice as much as the same container from the mainland United States to the Dominican Republic. Similarly, an International Trade Commission report on the Jones Act found that the law’s requirements are generally the equivalent of a 64.6% tariff on shipping services. In addition, in 2015, three former International Monetary Fund economists—Anne O. Krueger, Ranjit Teja, and Andrew Wolfe—issued a report titled “Puerto Rico -A Way Forward,” in which they noted that Puerto Rico already imports about 85 percent of its food, and now its food imports are certain to rise drastically as local products like coffee and plantains are added to the list of Maria’s staggering losses. Local staples that stocked supermarkets, school lunchrooms and even Walmart are gone.

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12 Robles, Frances and Ferré-Sadurní, Luis, Puerto Rico’s Agriculture and Farmers Decimated by Maria, The New York Times, Sept. 24, 2017, https://www.nytimes.com/2017/09/24/us/puerto-rico-hurricane-maria-agriculture.html (“Puerto Rico already imports about 85 percent of its food, and now its food imports are certain to rise drastically as local products like coffee and plantains are added to the list of Maria’s staggering losses. Local staples that stocked supermarkets, school lunchrooms and even Walmart are gone.”).


14 The GAO, in particular, noted in its March 2013 report that any precise mathematical estimate of the benefits of an exemption for Puerto Rico would be very difficult to predict, because Congress has not signaled the precise way that the Jones Act would be modified. However, this abstract type of uncertainty—which is present in any kind of economic analysis—is no reason to discount the wide range of voices that have clearly explained that the Jones Act has had a substantial negative impact on Puerto Rico. See Section B, subsection a. Moreover, it appears that the GAO has modified its position in a May 9, 2018 report, in which it comments that the Jones Act “likely ha[s] a negative effect on Puerto Rico’s economy,” GAO, Puerto Rico: Factors Contributing to the Debt Crisis and Potential Federal Actions to Address Them, at 30 (“According to current and former Puerto Rico officials, and other experts on Puerto Rico’s economy, complying with this law raised the cost of goods and energy—given Puerto Rico’s reliance on importing oil to generate electricity—for businesses operating in Puerto Rico.”), https://www.gao.gov/assets/700/691675.pdf.

15 Report on the Competitiveness of Puerto Rico’s Economy, https://www.newyorkfed.org/medialibrary/media/regional/PuertoRico/report.pdf. One lobby group for Jones Act carriers has disputed the Federal Reserve’s finding, but has not cited any support other than self-selected “anecdotal evidence.” American Maritime Partnership, https://www.americanmaritimепartnerшip.com/puerto-rico-service/. Because this anecdotal account from a lobby group is not independent, and has not cited any support for its position, we continue to rely on the Federal Reserve report, along with the numerous other studies cited in this letter.

16 The Economic Effects of Significant U.S. Import Restraints, https://www.usitc.gov/publications/332/pub3201.pdf (see p. 98). Since the publication of this estimate, the ITC has clarified that it is unable to provide “an estimate of the welfare gains that would result from removing the [Jones Act]” because Congress has not yet clarified what additional laws it may seek to impose on foreign vessels operating in the Puerto Rico market. See The Jones Act in Perspective: A survey of the costs and effects of the 1920 Merchant Marine Act, http://assets.grassrootinstitute.org/wp-content/uploads/2017/04/Jones-Act-Final-4-8-17.pdf. However, a group of economists believes that, if anything, the ITC’s estimates are “conservative.” Id.
Rico has “import costs at least twice as high as in neighboring islands on account of the Jones Act,” and concluded as follows:

**Exempting Puerto Rico from the US Jones Act could significantly reduce transport costs and open up new sectors for future growth.** In no mainland state does the Jones Act have so profound an effect on the cost structure as in Puerto Rico. Furthermore, there are precedents for exempting islands, notably the US Virgin Islands.…  

Other reports agree. In particular, two economists from Harvard and Brandeis have aggregated prior analyses, finding that the “Jones Act raises the cost of transporting goods between American ports,” acting as a “structural impediment” for Puerto Rico that has, for example, raised the price of liquefied natural gas “by as much as 30 percent.”

A dramatic illustration of this impediment is found in a broad analysis undertaken by two economists who studied the effects of the Jones Act on Puerto Rico for each year between 1971 and 2010. By their estimates, the Jones Act has cost Puerto Rico billions of dollars in aggregate, imposing costs of more than $537 million in the year 2010 alone.

In short, the negative impacts of the Jones Act on Puerto Rico are undeniable.

**b. The Jones Act Has Also Imposed Costs on the Mainland United States By Decreasing Trade Between the Mainland and Puerto Rico**

Even though it was not the law’s original intention, the Jones Act has had the undeniable effect of discouraging trade between the mainland United States and Puerto Rico. As the United States Government Accountability Office (“GAO”) has acknowledged, “[f]oreign-flag carriers serving Puerto Rico from foreign ports . . . generally have lower costs to operate than Jones Act carriers” have. These lower costs “lead companies to source products from foreign countries rather than the United States” and, as a result, “Puerto Rico imports more by volume from foreign countries than from the United States.”

The Jones Act has depressed trade between the mainland United States and Puerto Rico, particularly in the “bulk shipping market,” because foreign imports are simply more cost-

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effective. This is the case even when the goods come “from more distant foreign locations,” and even when the mainland United States might otherwise be able to offer similar goods and services at a lower price. A few examples from the GAO report help to illustrate the point, showing that everything from animal feed to jet fuel is affected by this law:

- **Animal Feed.** “[A]ccording to representatives of the Puerto Rico Farm Bureau, the rate difference between Jones Act carriers and foreign carriers has led farmers and ranchers on the island to more often source animal feed and crop fertilizers from foreign sources than from U.S. domestic sources, even though commodity prices were stated to be similar. They provided an example that shipping feed from New Jersey by Jones Act carriers costs more per ton than shipping from Saint John, Canada, by a foreign carrier—even though Saint John is 500 miles further away. According to the representatives, this cost differential is significant enough that it has led to a shift in sourcing these goods from Canada.”

- **Corn and Potatoes.** For other companies, “corn and potatoes [were] being sourced from foreign countries rather than the United States,” due to “the lower cost of foreign shipping.”

- **Jet Fuel.** “[R]epresentatives of airlines purchasing jet fuel for use in Puerto Rico told us that they typically import fuel to the island from foreign countries, such as Venezuela, rather than from Gulf Coast refineries. They do so because of difficulty in finding available Jones Act vessels to transport jet fuel and, when vessels are available, the high cost of such shipments compared to shipping the product from foreign countries.”

- **Petroleum.** “An oil and gas importer in Puerto Rico told us that the company makes purchasing decisions based on the total price of oil or gas—including any applicable duties or other charges—plus transportation costs. The company looks at total prices from numerous suppliers around the world—including U.S. suppliers—but generally does not purchase from U.S. suppliers because the total cost is higher as a result of the differential in transportation costs.”

This is just a small sampling of the costs imposed by the Jones Act and the impact on businesses operating within the mainland United States.

The costs described above are important, because they tell us that exempting Puerto Rico from the Jones Act’s requirements would be beneficial to American businesses and to the United States as a whole. It is important to emphasize that repealing the Jones Act’s restrictions on Puerto Rico would “not cost anything for U.S. taxpayers.” To the contrary, it would “increase[] imports from the U.S.” to Puerto Rico, directing approximately $341 million towards U.S. companies annually, and would therefore generate approximately $13.5 million in tax revenues as estimated by Empresarios Por Puerto Rico.22

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c. The Jones Act Leads to Inefficiencies and Distorted Trade Routes

The requirements of the Jones Act result in costly market distortions. For instance, a foreign-flagged vessel might deliver goods from the Mexican port of Veracruz to the Texas port of Houston. That is perfectly legal under the law. That same vessel might unload its cargo in Houston, and then pick up American-made goods to ship back to Veracruz. That is also perfectly legal. However, the vessel in question is legally prohibited from shipping those same American-made goods from Houston, Texas, to San Juan, Puerto Rico. The Jones Act does not allow it, and anyone who seeks to do so would face substantial fines and regulatory action. This result seems unjust and inefficient.  

d. The Jones Act Shipping Restrictions Have Been Abused

In addition to reaping the legal benefits of the Jones Act, shipping companies that are meant to serve the people of Puerto Rico have also resorted to illegal antitrust conspiracies to further take advantage of their captive market. By granting monopoly powers to such a small group of shipping companies, the Jones Act made it possible for these entities to engage in illegal price fixing.

During the period from 2011 to 2013, most of the cargo shipped between the mainland United States and Puerto Rico was carried by four Jones Act carriers. By 2013, all four of those major carriers had either pled guilty, or been found guilty, of antitrust conspiracies against the people of Puerto Rico. See, e.g., U.S. v. Peake, No. 14-1088 (1st Cir. Oct. 14, 2015) (affirming the conviction and five-year sentence of former Sea Star LLC president Frank Peake “for participating in one of the largest antitrust conspiracies in the history of the United States”); U.S. v. Crowley Liner Services, Inc., 12-CR-590 (D.P.R. July 31, 2012) (plea agreement where Crowley Liner Services admitted to a conspiracy between Crowley executives and other providers of Puerto Rico freight services, to illegally fix prices for Puerto Rico freight services; jointly recommending a criminal fine of $17 million”); In re Puerto Rican Cabotage Antitrust Litigation, 815 F.Supp.2d 448, 453 & n. 1 (D.P.R. 2011) (Horizon Lines, LLC plead guilty to one count of price fixing in violation of the Sherman Act and five guilty pleas from former employees of the Horizon and Sea Star Defendants); United States v. Horizon Lines, LLC, No. 3:11-CR-0071, Second Amended Judgment, 2011 WL 1587062 (D.P.R., Apr. 28, 2011); Rivera-Muniz v. Horizon Lines, 737 F.Supp.2d 57, 60 (D.P.R.2010); United States v. Chisholm, No. 08-cr–00353, Plea Agreement (M.D.Fla., Oct. 20, 2008); United States v. Serra, No. 08-cr–00349, Plea Agreement (M.D.Fla., Oct. 20, 2008); United States v. Glova, No. 08-cr–00352,

23 It is also worth noting that American-made goods from Texas could be transported to other mainland United States destinations by land on railcars and trucks. The island of Puerto Rico does not have similar access.

24 Those four carriers were Crowley Puerto Rico Services, Inc.; Horizon Lines, Inc.; Sea Star Line, LLC; and Trailer Bridge, Inc. As the GAO noted in 2013, an antitrust investigation “led to, among other things, the imposition of about $46 million in criminal fines and guilty pleas in 2011 and 2012 by three of the four major Jones Act carriers.” See also “Florida-Based Crowley Liner Services Inc. Pleads Guilty to Price Fixing on Freight Services Between U.S. and Puerto Rico,” https://www.justice.gov/opa/pr/florida-based-crowley-liner-services-inc-pleads-guilty-price-fixing-freight-services-between, “Florida-Based Sea Star Line LLC Agrees to Plead Guilty to and Its Former President is Indicted for Price Fixing on Coastal Freight Services Between the Continental United States and Puerto Rico,” https://www.justice.gov/opa/pr/florida-based-sea-star-line-llc-agrees-plead-guilty-and-its-former-president-indicted-price. Trailer Bridge filed for bankruptcy, where it settled the antitrust claims for $275,000.
In addition to the criminal and regulatory actions discussed above, there have also been civil lawsuits and penalties. A group impacted by the restrictions of the Jones Act in the United States and Puerto Rico brought a class action suit for antitrust violations against a group of defendants controlling 86% of the Puerto Rico cabotage market, including Horizon Lines, Inc., Crowley Maritime Corp. and affiliates and Sea Star Line, L.L.C., and their affiliates. The case was settled in 2010 without going to trial, after the defendants agreed to pay over fifty million dollars. In re Puerto Rican Cabotage Antitrust Litigation, 815 F.Supp.2d 448, 454 (D.P.R. 2011).

People trying to operate competitive businesses in Puerto Rico have not been pleased with these developments. The Puerto Rico Food Marketing, Industry and Distribution Chamber, which represents the chain of food distribution and retail in Puerto Rico, noted that the “cost of maritime transportation is vital for the price and availability of food in the Island.” Therefore, this group expressed special concern with the added “indirect costs caused by the lack of competition and the abuse of market power of the two main carriers.”

As long as the Jones Act remains in place, there will be a risk of further antitrust conspiracies. Although this conspiracy was discovered by law enforcement, the next one may not be.

III. THE JUSTIFICATIONS FOR IMPOSING THE JONES ACT RESTRICTIONS ON PUERTO RICO DO NOT OUTWEIGHT THE SUBSTANTIAL COSTS

Although we do not purport to analyze the full scope and utility of the Jones Act writ large, it may be worth noting the widely-held understanding that the Jones Act remains law because a group of commercial interests have engaged in an extensive lobbying effort to support the law. The editorial board at Bloomberg summarized the issue as follows:

In truth, the Jones Act survives because narrow commercial interests want it to. A protectionist thicket has long surrounded U.S. commercial shipping and shipbuilding. It has gradually hardened into a political wall impervious to economic reason.

. . .

Those people are backed by a flotilla of senators and representatives who are failing to put the broader interests of voters

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26 In order to guard against anticompetitive behavior in Puerto Rico, we urge you to work with the Federal Maritime Commission, the federal agency that is charged to “protect the shipping public from unlawful, unfair and deceptive ocean transportation practices.” Federal Maritime Commission, 53rd Annual Report for Fiscal Year 2014, p. 3-4, https://www.fmc.gov/assets/1/Page/53rdAnnualReport.pdf.
first. They include the 60-odd members of the Congressional Shipbuilding Caucus, one of the bigger and more active of such legislative groups. Filling their coffers and bending their ears are the American Maritime Partnership; the Shipbuilders Council of America; other like-minded industry groups; and scores of individual shipbuilders, shipping lines and labor unions. In 2016, donors associated with sea transport coughed up more than $10 million in campaign contributions -- the most since at least 1990 -- and spent almost $25 million on lobbying.\textsuperscript{27}

The President himself has taken notice that “the shipping industry doesn’t want the Jones Act lifted for Puerto Rico.”\textsuperscript{28} These same forces have not been open to any attempt to amend the Jones Act, even when faced with reasonably modest requests—like ours—to exempt only Puerto Rico from the requirements of the law.

To be clear, we do not wish the hard-working men and women of the maritime industry any harm, and believe that amending the Jones Act to exempt Puerto Rico—a territory that is roughly the size of Connecticut—will not cause the industry to suffer in any substantial way. Nonetheless, we analyze below the two primary justifications that we have seen these groups offer in the past when defending the application of the Jones Act more generally, and our reasoning for why an exemption for Puerto Rico would not adversely affect those goals.

First, these groups have defended the Jones Act more broadly on the premise that it is necessary for protecting national security. These groups, which include the United States Navy, believe that the Jones Act is necessary to ensure a viable merchant fleet ready to be called upon in times of war or natural disaster. Notably, however, we are not proposing a wholesale repeal of the Jones Act. Rather, we are merely proposing that the island of Puerto Rico be exempted from that law’s requirements.

To date, we have not seen any independent study indicating that an exemption that applies to Puerto Rico would be harmful. To the contrary, in light of the relatively small number of Jones Act shippers that service Puerto Rico compared to the total number of Jones Act vessels that would be available, we believe that limiting the Jones Act exemption to Puerto Rico would not harm national security. Moreover, as the GAO has found, the Jones Act ships currently carrying goods back and forth from Puerto Rico “are less useful for military purposes,” and “are generally considered of lesser military value because of their slow speed.” Exempting Puerto Rico from the Jones Act will not realistically affect our military readiness.\textsuperscript{29}


\textsuperscript{29} If Congress determines that exempting Puerto Rico would be harmful in any way, we respectfully suggest that the Navy work with Congress to recommend targeted appropriations as a remedy, rather than continuing to impose the Jones Act restrictions on Puerto Rico. An approach of targeted subsidies has been adopted in the past through the
Second, these groups have defended the Jones Act more broadly on the premise that it promotes American jobs. Again, however, we do not believe that exempting Puerto Rico—and only Puerto Rico—from the requirements of the Jones Act would be harmful in this respect. Although the GAO noted that the impact of exempting Puerto Rico from the Jones Act would be “uncertain,” and could lead to a significant reduction in the U.S.-flagged vessels that serve this trade between the mainland United States and Puerto Rico, we are unaware of any estimates of how exempting Puerto Rico from the Jones Act would impact the shipbuilding industry. Nonetheless, we do expect that an exemption for Puerto Rico could mean that some crew members who currently serve this route would have to find new routes to serve. Any potential loss of jobs is unfortunate; although, as noted above (Part B(b), supra), any such losses would likely be more than offset by exponential gains to U.S. businesses on the mainland. In any event, it is our strong position that the uncertainty and potential adverse effect on a small segment of the shipping industry is absolutely necessary to provide relief—including American jobs—to the people of Puerto Rico who have been suffering through a prolonged recession over the past decade, a bankruptcy proceeding that has caused economic uncertainty, and an unprecedented Category 5 hurricane that has exacerbated all of these substantial difficulties. Moreover, we strongly believe that the maritime industry will survive this limited exemption, just as it has survived the fact that the U.S. Virgin Islands and American Samoa are exempt from the law’s requirements.

The Jones Act’s application to Puerto Rico seems to persist mainly because it spreads its costs out among weaker and less organized groups, while localizing the gains among certain commercial interests within the shipping industry that Bloomberg and President Trump have already noted. The economic analysis of the Jones Act that was performed by George Mason University summarizes the dilemma well:

The Jones Act is an example of a policy that persists even though it is wasteful for the nation as a whole. Total costs exceed total benefits, but the benefits are concentrated and the losses are diffuse. Beneficiaries are shipbuilders and their employees, members of seafarer unions, and carriers that are protected from competition. Carriers like Matson are in a complex situation in which they lose from paying more for American-built ships but they gain from being protected from foreign competitors. These groups know how they are affected by the law, and it is easy for them to organize and lobby for continued protection.

use of Operating Differential Subsidies (ODS) and Construction Differential Subsidies (CDS) as well as the current Maritime Security Program (MSP). See, e.g., MARAD: Maritime Security Program, https://www.marad.dot.gov/ships-and-shipping стратегического сейлфайт/морское-безопасность-программа-мсп/. We believe that if a limited Puerto Rico exemption were to be found harmful—despite no current evidence indicating that this would be the case—then a series of targeted subsidies selected by the Navy would be preferable to the current system that disproportionately burdens the people of Puerto Rico to create vessels of “lesser military value.”

30 It should also be noted that, since the GAO report was issued several years ago, the shipping industry has touted the introduction of several new Jones Act vessels. If these ships are capable of providing competitive service to Puerto Rico, then they will be able to compete more effectively in an open marketplace when Congress grants Puerto Rico an exemption from the Jones Act.
Conversely, the costs of the Jones Act are spread across millions of Americans, most of whom have never heard of the act. The annual cost per person is small, even though the total cost summed over millions of consumers is large. The additional cost of transportation is not very visible to consumers because it is shifted forward at every link in the supply chain; for example, the additional transportation costs of energy are one reason why electricity costs in Hawaii are the highest among the 50 states. Hence, individual consumers have little incentive to learn about the Jones Act and to lobby in favor of its repeal. Consequently, Congress has been more responsive to the well-organized beneficiaries than to the diffuse and poorly organized losers.

It is ultimately not necessary to determine whether this is a fair assessment of the costs and effects of the Jones Act generally, or whether the Jones Act is justified entirely by the backstop military capability asserted to result from it. In either event, Puerto Rico’s contributions toward the goals of the Jones Act are minimal in relation to the entire scope of subsidies generated by the law for upkeep of the merchant marine, while release of Puerto Rico’s residents from the special burdens they shouldering to support the Jones Act’s purposes would provide much-needed incremental relief to the people of Puerto Rico. We respectfully urge that this burden be removed from Puerto Rico in order to boost its efforts to rebuild its economy and infrastructure.

IV. THE BRIEF TEN-DAY WAIVER OF THE JONES ACT WAS INSUFFICIENT

On September 27, 2017, we wrote a letter to the U.S. Department of Homeland Security, urging the agency to issue a one-year waiver of the Jones Act in light of Hurricane Maria.31 They ultimately imposed a ten-day waiver.32 With due respect, this was simply not sufficient. As the Niskanen Center astutely observed, that was “a window that was too short to organize effective transportation of relief supplies by non-American ships.”33 What’s more, this ten day waiver took effect at a time when only a few of the island’s 22 ports were usable, with literally “thousands of shipping containers” held up at San Juan due to the “heavy damage to roads, computer systems and other critical infrastructure” necessary to distribute goods from the ports to their ultimate destinations.34 Nonetheless, even with this narrow window and these substantial

obstacles, eleven international vessels were able to come to Puerto Rico.\footnote{MAREX, \textit{Foreign Flag Ship Carries American Aid to Puerto Rico}, The Maritime Executive, Oct. 22, 2017, \url{https://www.maritime-executive.com/article/foreign-flag-ship-carries-american-aid-to-puerto-rico#gs.HZAKNnk}.} That is quite a feat, in light of the limited time they had to organize effective transportation.

Ultimately, however, granting a permanent exemption for Puerto Rico is a matter that must be decided by legislators, not by a federal agency that has limited powers in this regard. The impact of this narrow exemption is not the deciding factor.

V. A DIVERSE RANGE OF VOICES HAS CLEARLY CALLED FOR EXEMPTING PUERTO RICO

A diverse group of economists, Puerto Rican business organizations, human rights groups, political commentators, and consumer rights advocates have all called for exempting Puerto Rico from the restrictions on the Jones Act. We have compiled a representative list, attached as \textbf{Exhibit 1} to this letter, but below is a small sample of the voices on this issue:

- **CATO Institute.** The Jones Act “reduces choice and competition among shipping providers, driving transportation costs higher” for the people of Puerto Rico, who “needlessly pay higher prices for the many goods and products they import from the rest of U.S., driving up their cost of living for the sake of protecting” the law’s beneficiaries.\footnote{Grabow, Colin, \textit{Jones Act Swamp Creature That’s Strangling Puerto Rico}, Cato Institute, Oct. 1, 2017, \url{https://www.cato.org/publications/commentary/jones-act-swamp-creature-thats-strangling-puerto-rico?utm_source=Cato+Institute+Emails&utm_campaign=038226d358-Cato_Today&utm_medium=email&utm_term=0_395878584c-038226d358-144885949&mc_cid=038226d358&mc_eid=0c5288ec7c}.}

- **The Economist.** The Jones Act “inflated transportation costs for imports [to Puerto Rico] to twice the level of nearby islands.” This is because territories “[l]acking overland routes such as Alaska, Guam, Hawaii and Puerto Rico are hardest hit” by the law’s requirements.\footnote{How Protectionism Sank America’s Entire Merchant Fleet, The Economist, Oct. 5, 2017, \url{https://www.economist.com/news/finance-and-economics/21730034-jones-act-hurts-american-consumers-and-destroyed-countrys-shipping}.}


- **The New York Times.** “This is a shakedown, a mob protection racket, with Puerto Rico a captive market. . . . If the United States has any interest in the
hurricane-battered people of Puerto Rico, it needs to take the law off their necks — and now.,”

- The Washington Monthly. “[T]he Jones Act is Robin Hood in reverse,” imposing “rent-seeking” on the people of Puerto Rico, and is only tolerated because “the people who benefit from the regulation have big economic stakes on the line, while those who pay the costs may not even notice the effect on their individual well-being.”

In addition, citizens and voters concerned with the fate of Puerto Rico have been closely watching this issue. For instance, one petition “to waive the Jones Act for Puerto Rico” gathered half a million signatures in just five days. We sincerely hope that DHS and Congress will listen to these voices.

VI. CONCLUSION

Exempting Puerto Rico from the Jones Act, much like the U.S. Virgin Islands, would be a way for Congress to help Puerto Rico’s economy at no additional cost to American citizens. The New York City Bar urges a permanent exemption to allow the global markets to help Puerto Rico and remove impediments to its economic growth. There is broad bi-partisan support for this exemption from the Jones Act. The time to take action to help those in Puerto Rico is now.

John S. Kiernan
President, New York City Bar Association

Roger Juan Maldonado
Chair, New York City Bar Association
Task Force on Puerto Rico

May 2018


EXHIBIT 1

List of Organizations That Have Supported Exempting Puerto Rico from the Requirements of the Jones Act in Whole or in Part

1. Alliance for Free Association (ALAS)
2. Asociación de Detallistas de Gasolina de Puerto Rico, Inc. (Puerto Rico Gasoline Detailers Association, Inc.)
3. Asociación Nacional de Tiendas de Autoservicio y Departamentales (ANTAD)
4. American Enterprise Institute
5. Cámara de Mercadeo, Industria y Distribución de Alimentos (Puerto Rico Food Marketing, Industry and Distribution Chamber)
6. Campbell Soup Company
7. CATO Institute
8. Climate Justice Alliance
9. College of Certified Public Accountants of Puerto Rico
10. Empresarios Por Puerto Rico (Entrepreneurs of Puerto Rico)
11. Empire Gas Company, Inc.
12. Federal Reserve Bank of New York
13. Fundación Libertad Puerto Rico
14. Grassroots Institute of Hawaii
15. Hawaii Shippers Council
16. Heritage Foundation
17. Hispanic Federation
18. LatinoJustice
19. National Grocers Association
20. Pan American Grain
21. PathStone Corporation
22. Puerto Rico Bar Association
23. Puerto Rico Chamber of Commerce
24. Puerto Rico Community Pharmacy Association
25. Puerto Rico Electric Power Authority (PREPA)
26. Puerto Rico Small Business Owners
27. Puerto Rico Society of CPAs
28. Puerto Rico United Retailers Association
29. Puma Energy Caribe, LLC
EXHIBIT 2

Members of Congress That Have Supported Exempting Puerto Rico from the Requirements of the Jones Act in Whole or in Part

1. Rep. Andy Biggs (R-AZ)
2. Rep. Mike Bishop (R-MI)
3. Rep. Dave Brat (R-VA)
4. Rep. Mo Brooks (R-AL)
5. Rep. Ken Buck (R-CO)
6. Rep. Mike Coffman (R-CO)
8. Rep. Luis Gutiérrez (D-IL)
12. Rep. Gary Palmer (R-AL)
14. Rep. Dana Rohrabacher (R-CA)
15. Rep. Mark Sanford (R-SC)
18. Rep. Nydia Velázquez (D-NY)
19. Rep. Roger Williams (R-TX)
20. Sen. Jeff Flake (R-AZ)
21. Sen. James Lankford (R-OK)
22. Sen. Mike Lee (R-UT)
23. Sen. John McCain (R-AZ)
24. Sen. Marco Rubio (R-FL)
June 11, 2018

Roger Maldonado  
President, New York City Bar Association  
42 West 44th Street  
New York, New York 10036

Dear Mr. Maldonado:


Following your presentation, the Executive Committee discussed the Report and following discussion voted to support the Report. We understand that the Report will be on the agenda for the New York State Bar Association House of Delegates meeting on June 16, 2018 and our Association would like to be a co-sponsor of the Report.

Since its inception, NYCLA has worked to advance its mission to, among other things, promote the administration of justice and reforms in the law in the public interest, apply its knowledge and experience in the field of law to the promotion of the public good and ensure access to justice for all. We thank you for bringing this matter to our attention and look forward to our continued collaboration with your Association.

Sincerely,

Michael J. McNamara  
President

cc: Brett Parker, Executive Director, New York City Bar Association
Staff Memorandum

HOUSE OF DELEGATES
Agenda Item #9

To supplement the materials relating to this agenda item, attached are memoranda from the Committee on Legal Aid and the President’s Committee on Access to Justice indicating support for the report and recommendations.
Date:       June 1, 2018
From:       Edwina Martin, Co-chair, President’s Committee on Access to Justice
Subject:    Report by the Task Force on Puerto Rico in Support of Permanently Exempting Puerto Rico from the Jones Act

The President’s Committee on Access to Justice is in support of the Report by the Task Force on Puerto Rico in Support of Permanently Exempting Puerto Rico from the Jones Act.
Date:       June 1, 2018

From:     Sergio Jimenez, Chair, Committee on Legal


The Committee on Legal Aid is in support of the Report by the Task Force on Puerto Rico in Support of Permanently Exempting Puerto Rico from the Jones Act.


Ms. Gerstman presided over the meeting as President of the Association.

The members were welcomed and Messrs. Berman, Lewis, Schofield and Stanclift, together with Ms. Hines, Ms. Richter, Ms. Shamoos and Ms. Westlake, were introduced as incoming Executive Committee members for the term commencing on June 1, 2018. It was noted that Evan M. Goldberg will serve as member-at-large; he was unable to attend the meeting.

1. Approval of minutes of meetings. The minutes of the January 25, 2018 meeting and the March 5, 2018 teleconference meeting were approved as distributed.

2. Consent calendar:
   a. Amendments to name and stated purpose of Committee on Procedures for Judicial Discipline.
   b. Memorandum of Understanding between NYSBA and Seoul Bar Association.

   The consent calendar, consisting of the items listed above, was approved by voice vote.

3. Confirmation of presidential appointments to the House of Delegates. Mr. Miller reported that he had recommended the appointment of 12 delegates to further racial and ethnic diversity in the House and two non-resident members for the 2018-2019 Association year. After discussion, a motion was adopted to confirm the appointments.

4. Report of Treasurer. In his capacity as Treasurer, Mr. Karson reported that through February 28, 2018, the Association’s total revenue was $13 million, a decrease of approximately $5,400 over the previous year, and total expenses were $4.7 million, a decrease of approximately $365,000 over 2017. The report was received with thanks.
5. **Report of staff leadership.** Pamela M. McDevitt, Executive Director, together with Daniel Weiller, Managing Director of Marketing and Communications and Jason Nagel, Managing Director of IT, updated the Executive Committee with respect to membership, open staff positions, delivery of NYSBA content to members, e-mail communications, and delivery of online CLE, and web development. The report was received with thanks.

6. **Report of Executive Subcommittee on Association Publications.** In his capacity as chair of the subcommittee, and together with Director of Marketing Adam Rossi, Prof. Fox provided an update on the subcommittee’s work, including publications, an e-mail marketing plan, and a NYSBA blog. The report was received with thanks.

7. **Report of Committee on Continuing Legal Education.** Committee chair James R. Barnes, together with Senior Director Katherine Suchocki, provided an update on CLE programming and delivery. They discussed a one pass plan for obtaining CLE is in the works which will allow a member to get all of their CLE credits for a set price. The report was received with thanks.

8. **Report and recommendations of Committee on Media Law and Committee on Civil Rights.** Sandra S. Baron, chair of the Committee on Media Law, together with committee member Diego Alberto Ibarguen and Karen L. Murtagh, a member of the Committee on Civil Rights, presented a legislative proposal to repeal Civil Rights Law §50-a, relating to the confidentiality of personnel records. After discussion, a motion was adopted to create a working group with representation from the two committees which would include members from or collaboration with the Labor and Employment Law Section, the Criminal Justice Section, and the State and Local Government Law Section to examine the issues raised by the report and to ask the two committees to refrain from issuing comments on the proposed legislation until the working group reports back to the Executive Committee.

9. **Update on legislative activities.** In her capacity as chair of the Committee on State Legislative Policy, Ms. Rivera updated the Executive Committee on legislative activity, particularly with respect to the recently adopted state budget. The report was received with thanks.

10. **Report of Vice Presidents and Executive Committee liaisons.** Executive Committee liaisons reported on the activities of the following sections and committees: Mr. Galligan – the Trusts and Estates Law Section, the Committee on Legal Education and Admission to the Bar, and the Committee on LGBT People and the Law. Mr. Hetherington – the Committee on Association Insurance Programs. Ms. Kean – the Labor and Employment Law Section and the Committee on Leadership Development. Ms. Gutekunst – the International Section. In his capacity as Second District Vice President, Mr. Napoletano reported on bar association activities in Kings County. The reports were received with thanks.
11. Report and recommendations of International Section. In his capacity as past section chair, Mr. Jaglom reviewed the guidelines developed by the Section’s Latin American Council to guide lawyers and law firms in best practices. After discussion, a motion was adopted to approve the guidelines subject to editing. Messrs. Galligan, Jaglom, and Prager and Ms. Gutekunst will serve as an editorial subcommittee.

12. Report and recommendations of Criminal Justice Section. Leah R. Nowotarski, chair of the section’s Town and Village Justice Courts Committee, together with section chair Tucker C. Stanclift, outlined the section’s report and recommendations with respect to counsel at first appearance, education and training, and consolidation. The section agreed to modify Recommendation 9 to recognize the existence of a current website and to recommend that it be made more publicly available. It also agreed to amend Recommendation 10 to refer to “expanded use of courts of record.” After discussion, a motion was adopted to endorse the report and recommendations, as amended, for favorable action by the House.

13. Report of President. Ms. Gerstman highlighted the information contained in her printed report, a copy of which is appended to these minutes. She also reported on the large firm membership pilot project that Mr. Miller and she are pursuing, noting that the first large firm, Paterson Belknap, had agreed to participate and that they are identifying 19 other firms for participation.

14. Report and recommendations of Committee on Diversity and Inclusion. Lillian M. Moy, past chair of the committee, together with Diversity and Inclusion Specialist Minika Udoko, reviewed the committee’s biennial Diversity Report Card, noting the need to increase the number of members who participate in the census. After discussion, a motion was adopted to endorse the report and recommendations for favorable action by the House.

15. Report of Committee on Membership. Committee chair Thomas J. Maroney, together with Patricia K. Wood, Associate Director of Attorney Engagement and Retention, reported on membership statistics and efforts to renew members. The report was received with thanks.

16. Report and recommendations of Committees on Families and the Law. Committee chair Susan B. Lindenauer, together with committee member Angela O. Burdon, reviewed the committee’s report recommending that the State fund and oversee mandated representation provided to indigent parents in Family Court. After discussion, a motion was adopted to endorse the report and recommendations for favorable action by the House.

17. Proposed guidelines on media statements. Daniel Weiller, Managing Director of Communications and Marketing, outlined proposed guidelines to govern statements made on behalf of the Association or Association entities. The guidelines will be considered at the June Executive Committee meeting. The report was received with thanks.
18. **Report and recommendations of President’s Committee on Access to Justice.** Edwina F. Martin, co-chair of the committee, together with committee member Robert M. Elardo, reviewed proposed guidelines for attorneys providing limited scope representation and guidelines for programs operating pursuant to Rule 6.5 of the Rules of Professional Conduct. After discussion, a motion was adopted to approve the guidelines.

16. **New Business.**

Ms. Gerstman observed that Alyssa Barreiro, Michael Galligan, Claire Gutekunst, Bryan Hetherington, Elena DeFio Kean, Stuart LaRose, Domenick Napoletano, Bruce Prager and Sandra Rivera are rotating off the Executive Committee and that this is their last meeting. She thanked them for their service and their participation. She thanked the officers, members of the Executive Committee, and staff for their assistance during her term as President.

17. **Date and place of next meeting.**
Thursday and Friday, June 14-15, 2018
The Otesaga, Cooperstown

18. **Adjournment.** There being no further business, the meeting of the Executive Committee was adjourned.

Respectfully submitted,

Sherry Levin Wallach
Secretary
NEW YORK STATE BAR ASSOCIATION
MINUTES OF EXECUTIVE COMMITTEE
CONFERENCE CALL MEETING
JUNE 1, 2018


Mr. Miller presided as President of the Association.

1. Establishment of task forces. Mr. Miller outlined a proposal for the establishment of the following task forces to pursue a series of initiatives: Task Force on Evaluation of Candidates for Election to Judicial Office; Task Force on Wrongful Convictions II; Task Force on Incarceration Release Planning and Programs; Task Force on Mass Shootings and Assault Weapons; and Task Force on the Role of Paralegals. After discussion, a motion was adopted to approve the appointment of the foregoing groups and their proposed mission statements.

2. Staff Update. Executive Director Pamela McDevitt reported that Victoria Shaw had been selected as Director of Attorney Recruitment and Engagement.

3. Amicus Curiae brief in Frank v. Gaos. Mr. Miller outlined the background of this brief, noting that in January 2017 the Executive Committee had approved submission of a brief in a similar Eighth Circuit case on the use of cy pres awards in class action cases. Ms. Gerstman reported that The New York Bar Foundation planned to submit a brief in Frank v. Gaos, given the importance of cy pre to The Foundation’s work. After discussion, a motion was adopted to approve joining The Foundation in submission of a brief. Mr. Miller will appoint a subcommittee to review the brief. Mr. Tennant recused himself from participating in the discussion and vote.

4. New Business. Mr. Miller advised that he would like to appoint two working groups, one to review issues related to providing assistance to Puerto Rico in the aftermath of the 2017 hurricanes and one to serve as a rapid response advisory group. After discussion, a motion was adopted to approve the creation of the working groups.

5. Adjournment. There being no further business to come before the Executive Committee, the meeting was adjourned.

Respectfully submitted,

Sherry Levin Wallach
Secretary
Hon. Stewart D. Aaron  
ELECTED DELEGATE, FIRST JUDICIAL DISTRICT  
U.S. Supreme Court for the Southern District of New York  
500 Pearl Street  
New York, NY  10007  
Phone: (212) 805-0274  
Email: stewart.aaron@verizon.net

Joel E. Abramson, Esq.  
DELEGATE-GENERAL PRACTICE SECTION  
Joel E. Abramson PC  
271 Madison Avenue  
22nd Floor  
New York, NY  10016-1001  
Phone: (212) 599-7700  
Email: jea.law@gmail.com

Holly A. Adams, Esq.  
DELEGATE-ONTARIO COUNTY BAR ASSOCIATION  
Ontario County Attorney's Office  
20 Ontario Street  
3rd Floor  
Canandaigua, NY  14424  
Phone: (585) 396-4411  
Email: holly.adams@co.ontario.ny.us

Mark H. Alcott, Esq.  
FORMER PRESIDENT  
Paul, Weiss, Rifkind, Wharton & Garrison LLP  
1285 Avenue of the Americas  
28th Floor  
New York, NY  10019-6064  
Phone: (212) 373-3179  
Email: malcott@paulweiss.com

Karina E. Alomar  
VICE-PRESIDENT, ELEVENTH JUDICIAL DISTRICT  
Alomar & Associates, PC  
6089 Myrtle Ave  
Ridgewood, NY  11385-5908  
Phone: (718) 456-1845  
Email: ALOMAR.ASSOCIATESPC@GMAIL.COM

Janet Alvarez, Esq.  
DELEGATE-THE NEW YORK CITY BAR  
J Alvarez & Associates, P.C.  
26th Floor  
40 Wall Street  
New York, NY  10005  
Phone: (212) 269-3747  
Email: attorneyalvarez@jalvarezlaw.com

Deborah Seldes Barcham, Esq.  
DELEGATE-BAR ASSOCIATION OF NASSAU COUNTY  
L'Abbate Balkan Colavita & Contini, LLP  
1001 Franklin Avenue  
Suite 300  
Garden City, NY  11530-2901  
Phone: (516) 837-7334  
Email: dbarcham@lbcclaw.com

Kathleen Anne Barclay, Esq.  
DELEGATE-ALBANY COUNTY BAR ASSOCIATION  
Maguire Cardona, P.C.  
22 Clinton Avenue  
Albany, NY  12207  
Phone: (518) 434-9807  
Email: kathleen@maguirecardona.com

Jeffrey S. Battistoni, Esq.  
DELEGATE-DUTCHESS COUNTY BAR ASSOCIATION  
Van DeWater & Van DeWater LLP  
85 Civic Center Plaza  
Suite 101  
Poughkeepsie, NY  12601  
Phone: (845) 452-5900  
Email: jbattistoni@vandewaterlaw.com

Simeon H. Baum, Esq.  
DELEGATE-DISPUTE RESOLUTION SECTION  
Resolve Mediation Services Inc.  
1211 Avenue Of The Americas  
40th Floor  
New York, NY  10036  
Phone: (212) 355-6527  
Email: simeonhb@disputeresolve.com
Members of the House of Delegates

as of Sunday, June 3, 2018

Hon. Harold J. Bauman
Fellow
DELEGATE-GREENE, SCHOHARIE & SULLIVAN COUNTY BAR ASSOCIATIONS
45 Delaware Ave.
Liberty, NY 12754
Phone: (845) 292-0290 x 21 FAX: (845) 295-9216
Email: harbau@verizon.net

Kathleen Mulligan Baxter, Esq.
MAILING PURPOSES ONLY
New York State Bar Association
One Elk St.
Albany, NY 12207
Phone: (518) 487-5690 FAX: (518) 487-5694
Email: kbaxter@nysba.org

Jonathan B. Behrins, Esq.
VICE PRESIDENT, THIRTEENTH JUDICIAL DISTRICT
The Behrins Law Firm PLLC
1491 Richmond Road
Staten Island, NY 10304
Phone: (718) 447-5541 FAX: (718) 983-5088
Email: jb@behrinslaw.com

Brian T. Belowich
DELEGATE-WESTCHESTER COUNTY BAR ASSOCIATION
Belowich & Walsh LLP
140 Grand Street
White Plains, NY 10601
Phone: (914) 265-6068
Email: bbelowich@gmail.com

Ericka N. Bennett
DELEGATE-BAR ASSOCIATION OF ERIE COUNTY
Roswell Park Cancer Institute
Elm and Carlton Streets
Buffalo, NY 14263
Phone: 7168458132 FAX: 7168454781
Email: ericka.bennett@yahoo.com

David L. Berkey, Esq.
DELEGATE-REAL PROPERTY LAW SECTION
Gallet Dreyer & Berkey LLP
845 Third Avenue
5th Floor
New York, NY 10022-6601
Phone: (212) 935-3131 FAX: (212) 935-4514
Email: dlb@gdblaw.com

Mark Arthur Berman
Fellow
MEMBER-AT-LARGE, EXECUTIVE COMMITTEE
Ganfer & Shore LLP
360 Lexington Avenue
14th Floor
New York, NY 10017-6502
Phone: (212) 922-9250 x266 FAX: (212) 922-9335
Email: mberman@ganfershore.com

Hon. Lucy Billings
DELEGATE-NEW YORK COUNTY LAWYERS’ ASSOCIATION
New York State Supreme Court
71 Thomas Street
New York, NY 10013
Phone: (646) 386-3856
Email: lbilling@nycourts.gov

Justin M. Block, Esq.
DELEGATE-SUFFOLK COUNTY BAR ASSOCIATION
Offices of Justin M. Block, PC
267 Carleton Avenue
Suite 301
Central Islip, NY 11722
Phone: (631) 543-2200 FAX: (631) 543-2210
Email: jblock@mbpc.com

Allan S. Bloom, Esq.
Fellow
DELEGATE-LABOR AND EMPLOYMENT LAW SECTION
Proskauer
Eleven Times Square
New York, NY 10036-8299
Phone: (212) 969-3880
Email: abloom@proskauer.com
New York State Bar Association

Members of the House of Delegates

as of Sunday, June 3, 2018

Andrea E. Bonina, Esq.
ELECTED DELEGATE-SECOND JUDICIAL DISTRICT
Bonina & Bonina, P.C.
Suite 1800
16 Court Street
Brooklyn, NY  11241
Phone: (718) 522-1786  FAX: (718) 243-0414
Email: abonina@medlaw1.com

Richard J. Bowler, Esq.
DELEGATE-TRUSTS AND ESTATES LAW SECTION
Law Offices of Richard J. Bowler
Ten Bank Street
Suite 650
White Plains, NY  10606
Phone: (914) 993-0936  FAX: (914) 949-7199
Email: bowler.rich89@gmail.com

John P. Bracken, Esq.
FORMER PRESIDENT
1120 Crystal Drive
Palm Beach Gardens, FL  33418-4028
Email: jbrackenesq@gmail.com

Lawrence Jay Braunstein, Esq.
DELEGATE-FAMILY LAW SECTION
Braunstein & Zuckerman Esqs.
123 Main Street
17th Floor
White Plains, NY  10601
Phone: (914) 997-6220  FAX: (914) 328-0916
Email: ljbraunstein@bzesqs.com

Samuel M. Braverman, Esq.
ELECTED DELEGATE-TWELFTH JUDICIAL DISTRICT
Fasulo Braverman & Di Maggio, LLP
225 Broadway
Suite 715
New York, NY  10007
Phone: 212-566-6213  FAX: (718) 293-5395
Email: sbraverman@fbdlaw.com

Samuel M. Braverman, Esq.
DELEGATE-BRONX COUNTY BAR ASSOCIATION
Fasulo Braverman & Di Maggio, LLP
225 Broadway
Suite 715
New York, NY  10007
Phone: 212-566-6213  FAX: (718) 293-5395
Email: sbraverman@fbdlaw.com

Earamichia Brown, Esq.
MEMBER-AT-LARGE, EXECUTIVE COMMITTEE
2448 Rotherham Circle
McKinney, TX  75071
Phone: (917) 837-7673
Email: enbrownesq@gmail.com

T. Andrew Brown, Esq.
PRESIDENTIAL APPOINTEE, FOURTH DEPARTMENT
Brown Hutchinson LLP
2 State Street
925 Crossroads Building
Rochester, NY  14614
Phone: (585) 454-5050  FAX: (585) 454-5066
Email: abrown@brownhutchinson.com

Eileen E. Buholtz, Esq.
DELEGATE-TORTS, INSURANCE AND COMPENSATION LAW SECTION
Connors, Corcoran & Buholtz, PLLC
45 Exchange Blvd.  Suite 250
Rochester, NY  14614
Phone: (585) 232-5885  FAX: (585) 546-3631
Email: ebuholzt@connorscorcoran.com

Jane B. Burke
DELEGATE-HEALTH LAW SECTION
Hodgson Russ LLP
677 Broadway
Suite 301
Albany, NY  12207
Phone: (518) 465-2333  FAX: (877) 432-1625
Email: jbburke@hodgsonruss.com
New York State Bar Association

Members of the House of Delegates

as of Sunday, June 3, 2018

Carole A. Burns, Esq.
DELEGATE-SENIOR LAWYERS SECTION
64 Twilight Road
Rocky Point, NY  11778-9790
Phone: (631) 821-0113  FAX: (631) 228-4998
Email: cabb1@optonline.net

Allen Vincent Buzard, Esq.
FORMER PRESIDENT
16 Mitchell Road
Pittsford, NY  14534
Email: avincentbuzard@gmail.com

Carlos M. Calderón, Esq.
ELECTED DELEGATE-TWELFTH JUDICIAL DISTRICT
Weisman & Calderón LLP
670 White Plains Road
Suite 321
Scarsdale, NY  10583
Phone: (914) 668-8900 ext. 13  FAX: (914) 668-8969
Email: ccalderon@wandcllp.com

Joseph Carola, III, Esq.
DELEGATE-QUEENS COUNTY BAR ASSOCIATION
27 Lane Avenue
Plainview, NY  11803
Phone: (516) 229-6101  FAX: (516) 229-6165
Email: joseph.carola.gifu@statefarm.com

Daniel D. Cassidy, Esq.
DELEGATE-BRONX COUNTY BAR ASSOCIATION
Law Office of Daniel D Cassidy, Pllc.
670 White Plains Road
Suite 321
Scarsdale, NY  10583
Phone: (914) 722-2110
Email: dcassidy@danieldcassidy.com

June M. Castellano, Esq.
ELECTED DELEGATE-SEVENTH JUDICIAL DISTRICT
125 Dunbarton Drive
Rochester, NY  14618-4460
Phone: (585) 256-1927  FAX: (585) 242-7873
Email: june@junecastellano.com

Hon. Cheryl E. Chambers
DELEGATE-JUDICIAL SECTION
Associate Justice
Appellate Division, 2nd Judicial Dept.
45 Monroe Place
Brooklyn, NY  11201
Phone: (718) 722-6310
Email: cchamber@nycourts.gov

Hon. Cheryl E. Chambers
DELEGATE-NEW YORK COUNTY LAWYERS' ASSOCIATION
Associate Justice
Appellate Division, 2nd Judicial Dept.
45 Monroe Place
Brooklyn, NY  11201
Phone: (718) 722-6310
Email: cchamber@nycourts.gov

Soo-young Chang
PRESIDENTIAL APPOINTEE, FOURTH DEPARTMENT
279 Wellingwood Drive
East Amherst, NY  14051
Email: chang.sooyoung@gmail.com

David M. Chidekel, Esq.
DELEGATE-BROOKLYN BAR ASSOCIATION
575 Madison Avenue
Suite 1006
New York, NY  10022-2511
Phone: (212) 605-0161
Email: dcjoyesq@aol.com
New York State Bar Association

Members of the House of Delegates

as of Sunday, June 3, 2018

Amy L. Christensen, Esq.
ELECTED DELEGATE-SEVENTH JUDICIAL DISTRICT
Deputy Director
Legal Assistance of Western New York, Inc.
16 W. William St.
PO Box 272
Bath, NY  14810
Phone: (607) 776-4126  FAX: (607) 776-4029
Email: achristensen@lawny.org

Catherine A. Christian
Fellow
DELEGATE-NEW YORK COUNTY LAWYERS' ASSOCIATION
Special Assistant District Attorney
New York County District Attorney's Office
One Hogan Place
Special Victims Bureau
New York, NY  10013
Phone: (212) 335-4068  FAX: (212) 815-0128
Email: christianc@dany.nyc.gov

Alan J. Clark, Esq.
DELEGATE-ROCKLAND COUNTY BAR ASSOCIATION
Alan John Clark, PC
400 Rella Blvd.
Ste 165
Suffern, NY  10901
Phone: (201) 906-5160
Email: alan@alanclarkattorney.com

Lisa M. Cobb
DELEGATE-DUTCHESS COUNTY BAR ASSOCIATION
118 North Fostertown Drive
Newburgh, NY  12550
Phone: (845) 473-0900
Email: lcobb@wallacelaw.net

Peter V. Coffey, Esq.
Fellow
ELECTED DELEGATE-FOURTH JUDICIAL DISTRICT
Englert, Coffey, McHugh & Fantauzzi , LLP
224 State Street
P.O. Box 1092
Schenectady, NY  12305
Phone: (518) 370-4645  FAX: (518) 374-5422
Email: pcoffey@ecmlaw.com

David Louis Cohen, Esq.
Fellow
DELEGATE-QUEENS COUNTY BAR ASSOCIATION
125-10 Queens Boulevard
Suite 5
Kew Gardens, NY  11415-1522
Phone: (718) 793-1553  FAX: (718) 261-2129
Email: david@davidlouiscohenlaw.com

Orin J. Cohen, Esq.
Fellow
ELECTED DELEGATE-THIRTEENTH JUDICIAL DISTRICT
1162 Victory Blvd.
Staten Island, NY  10301
Phone: (718) 448-2889  FAX: (718) 650-9965
Email: orinjc@aol.com

Steven D. Cohn, Esq.
Fellow
DELEGATE-BROOKLYN BAR ASSOCIATION
Goldberg & Cohn
16 Court Street
Suite 2304
Brooklyn, NY  11241-1003
Phone: (718) 875-2400  FAX: (718) 858-2101
Email: s.cohn@goldbergandcohn.com

Nancy A. Connery, Esq.
DELEGATE-REAL PROPERTY LAW SECTION
Schoeman, Updike Kaufman & Gerber, LLP
551 Fifth Avenue
New York, NY  10176
Phone: (212) 661-5030  FAX: (212) 687-2123
Email: nconnery@schoeman.com

Matthew R. Coseo, Esq.
VICE-PRESIDENT, FOURTH JUDICIAL DISTRICT
Court Attorney
Saratoga County Surrogate's Court
Saratoga County Municipal Center
30 McMaster Street - Bldg. 3
Ballston Spa, NY  12020
Phone: (518) 451-8830
Email: mcoseo@nycourts.gov
New York State Bar Association

Members of the House of Delegates

as of Sunday, June 3, 2018

Tracee E. Davis, Esq.
DELEGATE-COMMERCIAL AND FEDERAL LITIGATION SECTION
Zeichner Ellman & Krause, LLP
1211 Avenue of the Americas
Fl 40
New York, NY 10036-8705
Phone: (212) 223-0400 FAX: (212) 753-0396
Email: tdavis@zeklaw.com

Robert S. Dean, Esq.
DELEGATE-NEW YORK COUNTY LAWYERS’ ASSOCIATION
Center for Appellate Litigation
120 Wall St.
28th Floor
New York, NY 10005
Phone: (212) 577-2523 ext 502 FAX: (212) 577-2535
Email: rdean@cfal.org

Joseph F. DeFelice, Esq.
DELEGATE-QUEENS COUNTY BAR ASSOCIATION
Office of Joseph F. DeFelice, Esq.
125-10 Queens Blvd.
Suite 302
Kew Gardens, NY 11415
Phone: (718) 261-3358 FAX: (718) 793-5072
Email: jdefel4@gmail.com

DELEGATE-TRUSTS AND ESTATES LAW SECTION
Law Office of Sylvia E. Di Pietro, Esq., LLC
55 West 14th Street
Suite 4H
New York, NY 10011-7400
Phone: (212) 242-8800 FAX: (212) 633-6298
Email: femalelitigator@yahoo.com

Michael D. DiFalco
DELEGATE-YOUNG LAWYERS SECTION
Aiello, DiFalco & Gianakos LLP
600 Old Country Road
Suite 520
Garden City, NY 11530
Phone: (516) 747-1131 FAX: (516) 794-3363
Email: mdd@matlawyers.com

Melinda G. Disare, Esq.
DELEGATE-BAR ASSOCIATION OF ERIE COUNTY
Bond Schoeneck & King, PLLC
Avant Building - Suite 900
200 Delaware Avenue
Buffalo, NY 14202
Phone: (716) 416-7014 FAX: (716) 416-7314
Email: mdisare@bsk.com

Donald C. Doerr, Esq.
ELECTED DELEGATE-FIFTH JUDICIAL DISTRICT
Cerio Law Offices
407 South Warren Street
5th Floor
Syracuse, NY 13202
Phone: (315) 422-8769 FAX: (315) 703-4884
Email: don@ceriolawoffices.com

Deborah Anne Doxey, Esq.
DELEGATE-BUSINESS LAW SECTION
Phillips Lytlle LLP
One Canalside
125 Main Street
Buffalo, NY 14203-2887
Phone: (716) 847-5480 FAX: (716) 852-6100
Email: ddoxey@phillipslytle.com

Vincent E. Doyle, III, Esq.
FORMER PRESIDENT
Connors LLP
1000 Liberty Building
Buffalo, NY 14202
Phone: (716) 852-5533 FAX: (716) 852-5649
Email: ved@connorsllp.com

Marshall Dworkin, Esq.
DELEGATE-THE NEW YORK CITY BAR
Kasowitz Benson Torres LLP
1633 Broadway
New York, NY 10019
Phone: (212) 506-1808
Email: mdworkin@kasowitz.com
New York State Bar Association

Members of the House of Delegates

as of Sunday, June 3, 2018

Aaron K. Eberle
DELEGATE-TOMPKINS COUNTY BAR ASSOCIATION
Eberle Law Office
PO Box 7
Lansing, NY 14882
Phone: (607) 280-8721
Email: aaron@eberlelawoffice.com

Norman P. Effman, Esq.
VICE-PRESIDENT, EIGHTH JUDICIAL DISTRICT
Exec Director-Wyoming-Attica
Wyoming County Public Defender
Wyoming Cty Attica Legal Aid Bureau Inc.
18 Linwood Avenue
Warsaw, NY 14569
Phone: (585) 786-8450  FAX: (585) 786-8478
Email: attlegal@yahoo.com

Gordon Eng, Esq.
PRESIDENTIAL APPOINTEE, FIRST DEPARTMENT
525 East 80th St.
New York, NY 10075
Phone: (203) 769-8812
Email: gordoneng@att.net

Donna England, Esq.
Fellow
ELECTED DELEGATE-TENTH JUDICIAL DISTRICT
England & England PC
2556 Middle Country Rd
Centereach, NY 11720-3549
Phone: (631) 588-0250  FAX: (631) 588-0329
Email: dengland@englandlaw.legal

Michelle Entin Maroney, Esq.
DELEGATE-NEW YORK COUNTY LAWYERS' ASSOCIATION
5 Central Drive
Port Washington, NY 11050
Phone: (212) 809-1121
Email: mcentin@aol.com

Andrew M. Fallek, Esq.
Fellow
ELECTED DELEGATE-SECOND JUDICIAL DISTRICT
Joseph Fallek. P.C.
One Battery Park Plaza
32nd Floor
New York, NY 10004
Phone: (212) 797-4700 x12  FAX: (212) 797-1550
Email: afallek@gmail.com

Michael S. Farber, Esq.
DELEGATE-TAX SECTION
Davis Polk & Wardwell LLP
450 Lexington Avenue
New York, NY 10017
Phone: (212) 450-4704  FAX: (212) 701-5704
Email: michael.farber@davispolk.com

Jody Fay, Esq.
DELEGATE-WESTCHESTER COUNTY BAR ASSOCIATION
The Kelsey Company
199 Main Street
Suite 1010
White Plains, NY 10601
Phone: (914) 358-9323  FAX: (914) 358-9324
Email: jody.fay@thekelseycompany.com

Hermes Fernandez, Esq.
Fellow
ELECTED DELEGATE-THIRD JUDICIAL DISTRICT
Bond, Schoeneck & King, PLLC
22 Corporate Woods
Suite 501
Albany, NY 12211
Phone: (518) 533-3209  FAX: (518) 533-3299
Email: hfernandez@bsk.com

Paul A. Ferrara, Esq.
DELEGATE-THE NEW YORK CITY BAR
U.S. Trust, Bank of America Private Wealth Management
114 W 47th St
New York, NY 10036
Phone: (212) 852-2817
Email: paul.a.ferrara@ustrust.com
Margaret J. Finerty, Esq.  
MEMBER-AT-LARGE, EXECUTIVE COMMITTEE  
Getnick & Getnick LLP  
521 Fifth Avenue  
33rd Floor  
New York, NY 10175  
Phone: (212) 376-5666  FAX: (212) 292-3942  
Email: mfinerty@getnicklaw.com

Gerard Fishberg, Esq.  
DELEGATE-LOCAL AND STATE GOVERNMENT LAW SECTION  
Cullen & Dykman LLP  
100 Quentin Roosevelt Boulevard  
Garden City, NY 11530-4850  
Phone: (516) 357-3703  FAX: (516) 296-9155  
Email: gfishberg@cullenanddykman.com

Patrick J. Flanagan, Esq.  
ELECTED DELEGATE-SIXTH JUDICIAL DISTRICT  
Nelson & Flanagan  
42 South Broad Street  
Norwich, NY 13815  
Phone: (607) 334-9323  FAX: (607) 336-2017  
Email: nelsonandflanagan@frontiernet.net

Jennifer J. Foley, Esq.  
DELEGATE-THE NEW YORK CITY BAR  
Alter, Wolff & Foley, LLP  
810 7th Avenue  
Suite 3600  
New York, NY 10019  
Phone: (212) 218-5378  FAX: (212) 218-5399  
Email: jfoley@awf.nyc

Alexander D. Forger, Esq.  
FORMER PRESIDENT  
Milbank Tweed Hadley & McCloy LLP  
28 Liberty St  
Suite 2801  
New York, NY 10005-1413  
Phone: (212) 530-5000  FAX: (212) 530-5219  
Email: aforger@milbank.com

Prof. Michael L. Fox  
VICE-PRESIDENT, NINTH JUDICIAL DISTRICT  
Assistant Professor and Pre-Law Advisor  
Mount Saint Mary College  
School of Business  
330 Powell Avenue  
Newburgh, NY 12550  
Phone: (845) 569-3122  
Email: michael.fox@msmc.edu

Hon. Helen E. Freedman  
DELEGATE-NEW YORK COUNTY LAWYERS’ ASSOCIATION  
150 West 96th Street  
Apt. 5E  
New York, NY 10025-6443  
Phone: (212) 865-6647  FAX: none  
Email: helenfreedman@gmail.com

Maryann S. Freedman  
FORMER PRESIDENT  
Cohen & Lombardo, P.C.  
343 Elmwood Avenue  
Buffalo, NY 14222  
Phone: (716) 881-3010 x229  FAX: (716) 881-2755  
Email: freedman@cn-lo.com

Richard B. Friedman, Esq.  
DELEGATE-NEW YORK COUNTY LAWYERS’ ASSOCIATION  
Richard Friedman PLLC  
5th Floor  
830 Third Avenue  
New York, NY 10022  
Phone: (212) 600-9539  
Email: rfriedman@richardfriedmanlaw.com

William D. Frumkin, Esq.  
DELEGATE-LABOR AND EMPLOYMENT LAW SECTION  
Frumkin & Hunter LLP  
1025 Westchester Avenue  
Suite 309  
West Harrison, NY 10604  
Phone: (914) 468-6096  FAX: (914) 682-9128  
Email: Wfrumkin@frumkinhunter.com
New York State Bar Association

Members of the House of Delegates

as of Sunday, June 3, 2018

Glinnesa D. Gailliard
ELECTED DELEGATE-THIRD JUDICIAL DISTRICT
CDPHP
500 Patroon Creek Boulevard
Albany, NY 12206
Phone: (518) 474-2775  FAX: (518) 474-4144
Email: glinnesa.gailliard@cdphp.com

Jennifer L. Galvan, Esq.
DELEGATE-STEUBEN COUNTY BAR ASSOCIATION
3 E Pulteney Sq
Bath, NY 14810-1510
Phone: 607-664-2353
Email: jennifer.galvan@co.steuben.ny.us

Armena D. Gayle, Esq.
DELEGATE-BROOKLYN BAR ASSOCIATION
2152 Ralph Avenue, #122
Brooklyn, NY 11234
Phone: (800) 460-1382  FAX: (718) 208-4151
Email: attorneygayle@gmail.com

Hon. Marilyn Genoa, Esq.
DELEGATE-BAR ASSOCIATION OF NASSAU COUNTY
Genoa & Associates, PC
12 Jaegger Drive
Glen Head, NY 11545-1825
Phone: (516) 759-7940  FAX: (516) 674-9425
Email: mkgenoa@genoaandassociates.com

Sharon Stern Gerstman, Esq.
FORMER PRESIDENT & STATE DELEGATE FROM NY TO THE ABA
Magavern Magavern Grimm LLP
1100 Rand Building
14 Lafayette Square
Buffalo, NY 14203-1929
Phone: (716) 856-3500 x227  FAX: (716) 856-3390
Email: sgerstman@magavern.com

Michael E. Getnick, Esq.
FORMER PRESIDENT & DELEGATE TO ABA HOUSE OF DELEGATES
Getnick Livingston Atkinson & Priore, LLP
258 Genesee Street
Utica, NY 13502
Phone: (315) 797-9261  FAX: (315) 732-0755
Email: mgetnick@getnicklivingston.com

Jon P. Getz, Esq.
DELEGATE-MONROE COUNTY BAR ASSOCIATION
Muldoon, Getz & Reston
144 Exchange Boulevard
Suite 402
Rochester, NY 14614-2108
Phone: (585) 262-5130  FAX: (585) 262-3474
Email: jonpgetz@aol.com

Hilary Gingold
DELEGATE-QUEENS COUNTY BAR ASSOCIATION
200 East 57th Street
Apt. 4K
New York, NY 10022
Phone: (718) 278-1382
Email: hilarygingold@gmail.com

Dorian Ronald Glover, Esq.
DELEGATE-BAR ASSOCIATION OF NASSAU COUNTY
Law Office Of Dorian R. Glover
600 Franklin Avenue
Suite 8089
Garden City, NY 11530-5729
Phone: (516) 384-2457
Email: dgloveresq@msn.com

Sarah E. Gold, Esq.
MEMBER-AT-LARGE, EXECUTIVE COMMITTEE
125 Wolf Rd Ste 509
Albany, NY 12205-1251
Phone: (518) 213-2345  FAX: (518) 213-2122
Email: sg@goldlawny.com
Evan M. Goldberg
MEMBER-AT-LARGE, EXECUTIVE COMMITTEE
129 Lake Shore Road
Greenwood Lake, NY 10925-4001
Phone: (212) 750-1200 FAX: (212) 980-4011
Email: egoldberg@tgllaw.com

Colleen Mary Grady, Esq.
DELEGATE-OUT-OF-STATE
Alvarez Arrieta & Diaz-Silveira LLP
1001 Brickell Bay Dr Ste 2110
Miami, FL 33131-4940
Phone: (305) 740-1960
Email: cgrady@aadslaw.com

Henry M. Greenberg, Esq.
PRESIDENT-ELECT, CHAIR-HOD & DELEGATE-ABA HOUSE OF DELEGATES
Counsel
Greenberg Traurig, LLP
54 State Street
Albany, NY 12207
Phone: (518) 689-1492 FAX: (518) 689-1499
Email: greenbergh@gtlaw.com

Judith D. Grimaldi, Esq.
DELEGATE-ELDER LAW AND SPECIAL NEEDS SECTION
Grimaldi & Yeung, LLP
9201 4th Ave., 6th Fl
546 Fifth Avenue, 6th Floor, NY, NY
Brooklyn, NY 11209-7006
Phone: (718) 238-6960 FAX: (718) 238-3091
Email: Jgrimaldi@gylawny.com

Elizabeth Janas Grogan, Esq.
DELEGATE-ALBANY COUNTY BAR ASSOCIATION
Wilson Elser Moskowitz Edelman & Dicker LLP
200 Great Oaks Blvd.
Suite 228
Albany, NY 12203
Phone: (518) 449-8893 FAX: (518) 465-2548
Email: elizabeth.grogan@wilsonelser.com

Sylvia Goldschmidt, Esq.
DELEGATE-FAMILY LAW SECTION
Goldschmidt & Genovese
81 Main Street
Suite 405
White Plains, NY 10601-1719
Phone: (914) 681-6006 FAX: (914) 681-8728
Email: sgdmg@goldgenmatlaw.com

Taa R. Grays, Esq.
VICE-PRESIDENT, FIRST JUDICIAL DISTRICT
MetLife Inc.
200 Park Avenue
4th Floor, 4N.337
New York, NY 10166
Phone: (212) 578-1143 FAX: (212) 743-0634
Email: tgrays@metlife.com

Matthew J. Griesemer, Esq.
DELEGATE-COLUMBIA COUNTY BAR ASSOCIATION
Freeman Howard, PC
PO Box 1328
Hudson, NY 12534
Phone: (518) 828-2021 FAX: (518) 828-2420
Email: Griesemer@freemanhoward.com

Noreen Dewire Grimmick, Esq.
DELEGATE-TRIAL LAWYERS SECTION
Partner
Noreen Grimmick Attorney At Law
13 Dawson Lane
Clifton Park, NY 12065
Phone: (518) 248-3873 FAX: (518) 877-5265
Email: ngrimmick@gmail.com

Claire P. Gutekunst, Esq.
FORMER PRESIDENT & DELEGATE TO ABA HOUSE OF DELEGATES
369 Park Hill Avenue
Yonkers, NY 10705
Phone: (917) 734-5458
Email: cgutekunst@gutekunstad.com
Kristin E. Gutenberger Grossman, Esq.
DELEGATE-TOMPKINS COUNTY BAR ASSOCIATION
Cornell University Real Estate Department
15 Thornwood Drive
Ithaca, NY 14850
Phone: (607) 266-7872  FAX: (607) 266-7876
Email: keg7@cornell.edu

Richard M. Gutierrez, Esq.
MEMBER-AT-LARGE, EXECUTIVE COMMITTEE
Richard Gutierrez Law
118-35 Queens Blvd.
Suite 1500
Forest Hills, NY 11375-7205
Phone: (718) 520-0663  FAX: (718) 520-8306
Email: richlaw101@aol.com

Jay L. Hack, Esq.
DELEGATE-BUSINESS LAW SECTION
Gallet Dreyer & Berkey, LLP
845 Third Avenue
New York, NY 10022
Phone: (212) 935-3131  FAX: (212) 935-4514
Email: jlh@gdblaw.com

James E. Hacker, Esq.
DELEGATE-ALBANY COUNTY BAR ASSOCIATION
E. Stewart Jones Hacker Murphy LLP
28 Second Street
Troy, NY 12180
Phone: (518) 783-3843  FAX: (518) 783-8101
Email: jhacker@joneshacker.com

Joseph K. Hage, III, Esq.
DELEGATE-ONEIDA COUNTY BAR ASSOCIATION
Hage & Hage, LLC
283 Genesee Street
Utica, NY 13501-3805
Phone: (315) 797-9850  FAX: (315) 797-1721
Email: jk@hagelaw.com

Robert L. Haig, Esq.
DELEGATE-NEW YORK COUNTY LAWYERS’ ASSOCIATION
Kelley Drye & Warren LLP
30th Floor
101 Park Avenue
New York, NY 10178-0001
Phone: (212) 808-7715  FAX: (212) 808-7897
Email: rhaig@kelleydrye.com

Peter C. Harvey, Esq.
ELECTED DELEGATE, FIRST JUDICIAL DISTRICT
Patterson Belknap Webb & Tyler LLP
1133 Avenue Of The Americas
New York, NY 10036-6710
Phone: (212) 336-2810  FAX: (212) 336-2222
Email: pchavey@pbwt.com

Hon. Helena Heath
PRESIDENTIAL APPOINTEE, THIRD DEPARTMENT
Albany City Court - Civil Division
Albany City Hall, Room 209
24 Eagle Street
Albany, NY 12207
Phone: (518) 453-4640  FAX: (518) 453-8679
Email: hheathroland@gmail.com

Meredith Stacy Heller, Esq.
DELEGATE-THE NEW YORK CITY BAR
Law Office of Meredith S. Heller PLLC
99 Park Avenue
Penthouse Suite
New York, NY 10016
Phone: (646) 661-1808  FAX: (347) 412-0092
Email: msheller@mshellerlaw.com

Martin Hersh, Esq.
DELEGATE-ELDER LAW AND SPECIAL NEEDS SECTION
Law Offices of Martin Hersh, Esq.
PO Box 567
Liberty, NY 12754
Phone: (845) 292-9345  FAX: (845) 292-9349
Email: elder.law@verizon.net
Erica M. Hines, Esq.
MEMBER-AT-LARGE, EXECUTIVE
COMMITTEE
Heslin Rothenberg Farley & Mesiti PC
5 Columbia Circle
Albany, NY 12203
Phone: (518) 452-5600
Email: Erica.Hines@hrfmlaw.com

Stephen D. Hoffman, Esq.
DELEGATE-NEW YORK COUNTY LAWYERS’ ASSOCIATION
Hoffman & Kessler LLP
45 Rockefeller Plaza
Suite 1900
New York, NY 10111
Phone: (212) 651-3902
Email: shoffman@hoffmankessler.com

Daniel Joseph Hurteau, Esq.
DELEGATE-ALBANY COUNTY BAR ASSOCIATION
Nixon Peabody LLP
677 Broadway
10th Floor
Albany, NY 12207
Phone: (518) 427-2652 FAX: (518) 427-2666
Email: dhuunteau@nixonpeabody.com

James L. Hyer, Esq.
DELEGATE-WESTCHESTER COUNTY BAR ASSOCIATION
Bashian & Farber, LLP
235 Main Street
6th Floor
White Plains, NY 10601-2418
Phone: (914) 946-5100
Email: jhyer@bashianfarberlaw.com

LaMarr J. Jackson, Esq.
ELECTED DELEGATE-SEVENTH JUDICIAL DISTRICT
23 Overland Trail
West Henrietta, NY 14586-9733
Phone: (585) 747-2261
Email: jacksonlaw2440@gmail.com

Drew Jaglom
MEMBER-AT-LARGE, EXECUTIVE COMMITTEE
Tannenbaum Helpern Syracuse & Hirschtritt LLP
900 Third Avenue
12th Floor
New York, NY 10022-4728
Phone: (212) 508-6740 FAX: (646) 390-7042
Email: jaglom@thsh.com

Seymour W. James, Jr., Esq.
FORMER PRESIDENT & DELEGATE TO ABA HOUSE OF DELEGATES
The Legal Aid Society
199 Water Street
6th Floor
New York, NY 10038
Phone: (212) 577-3646 FAX: (646) 616-4646
Email: swjames@legal-aid.org

Hon. Barry Kamins
DELEGATE-BROOKLYN BAR ASSOCIATION
Aidala, Bertuna & Kamins P.C.
546 5th Avenue
6th Floor
New York, NY 10036
Phone: (212) 750-9700 FAX: (212) 750-8297
Email: judgekamins@aidalalaw.com

Scott M. Karson, Esq.
TREASURER
Lamb & Barnosky LLP
534 Broadhollow Road
Suite 210 P.O. Box 9034
Melville, NY 11747-9034
Phone: (631) 694-2300 FAX: (631) 694-2309
Email: smk@lambbarnosky.com

Mitchell J. Katz, Esq.
DELEGATE-COMMERCIAL AND FEDERAL LITIGATION SECTION
Menter, Rudin & Trivelpiece, P.C.
308 Maltbie Street
Suite 200
Syracuse, NY 13204-1498
Phone: (315) 474-7541 FAX: (315) 474-4040
Email: mkatz@menterlaw.com
Elena DeFio Kean, Esq.
ELECTED DELEGATE-THIRD JUDICIAL DISTRICT
DeFio Kean
125 Wolf Road
Suite 509
Albany, NY  12205
Phone: (518) 650-7070  FAX: (518) 213-2122
Email: Edk@defiokeanlaw.com

Peter R. Kehoe, Esq.
DELEGATE-RENSSELAER COUNTY BAR ASSOCIATION
18 Hawthorne Avenue
Troy, NY  12180
Phone: (518) 432-4318  FAX: (518) 434-9093
Email: pkehoe@nysheriffs.org

Amy K. Kendall, Esq.
DELEGATE-ENVIRONMENTAL AND ENERGY LAW SECTION
Knauf Shaw, LLP
1400 Crossroads Bldg., 2 State Street
Rochester, NY  14614
Phone: (585) 546-8430  FAX: (585) 325-7570
Email: akendall@nyenvlaw.com

Henry L. King, Esq.
FORMER PRESIDENT
115 East 67th Street
Apt. 4B
New York, NY  10065
Phone: (212) 450-4284  FAX: (212) 450-5545
Email: hking@davispolk.com

James B. Kobak, Jr., Esq.
DELEGATE-THE NEW YORK CITY BAR
Hughes Hubbard & Reed LLP
One Battery Park Plaza
New York, NY  10004-1405
Phone: (212) 837-6757  FAX: (212) 422-4726
Email: james.kobak@hugheshubbard.com

Deborah S. Kearns
DELEGATE-TRUSTS AND ESTATES LAW SECTION
Chief Clerk
15 Tamarack Drive
Delmar, NY  12054-3030
Phone: (518) 285-8586  FAX: (518) 285-8237
Email: dkearns@nycourts.gov

Kevin Thomas Kelly, Esq.
DELEGATE-CRIMINAL JUSTICE SECTION
835 Taughannock Blvd. Apt. C
Ithaca, NY  14850
Phone: (607) 273-3667  FAX: (607) 273-5521
Email: kevinkellyesq@outlook.com

Leonard Kessler, Esq.
DELEGATE-ORANGE COUNTY BAR ASSOCIATION
Kessler Law Offices
PO Box 294
163 William Lain Road
Westtown, NY  10998
Phone: (845) 355-2020  FAX: (845) 374-3030
Email: kesslerlaw2020@gmail.com

Dawn Kirby, Esq.
DELEGATE-WESTCHESTER COUNTY BAR ASSOCIATION
DeiBello Donnellan Weingarten Wise & Wiederkehr, LLP
One North Lexington Ave 11th Floor
White Plains, NY  10601
Phone: (914) 681-0200  FAX: (914) 684-0288
Email: dkirby@ddw-law.com

James B. Kobak, Jr., Esq.
ELECTED DELEGATE, FIRST JUDICIAL DISTRICT
Hughes Hubbard & Reed LLP
One Battery Park Plaza
New York, NY  10004-1405
Phone: (212) 837-6757  FAX: (212) 422-4726
Email: james.kobak@hugheshubbard.com
New York State Bar Association

Members of the House of Delegates

Ann Louise LaBarbera
DELEGATE-YOUNG LAWYERS SECTION
43 West 43rd Street
Suite 10
New York, NY 10036
Phone: (917) 704-9759 FAX: (315) 714-4111
Email: annelabarbera@gmail.com

Anthony J. Lamberti, Esq.
DELEGATE-BROOKLYN BAR ASSOCIATION
Armstrong & Lamberti, PLLC
900 South Avenue
Suite 401
Staten Island, NY 10314-3429
Phone: (718) 477-7700
Email: ajl@nyelderlaw.net

Stephen B. Land
DELEGATE-TAX SECTION
Duval & Stachenfeld LLP
555 Madison Avenue
New York, NY 10022
Phone: (212) 692-5991 FAX: (212) 883-8883
Email: sland@dsllp.com

Dawn Joyce Lanouette, Esq.
DELEGATE-BROOME COUNTY BAR ASSOCIATION
Hinman Howard & Kattell, LLP
700 Security Mutual Building
80 Exchange St. P.O. Box 5250
Binghamton, NY 13902-2723
Phone: (607) 723-5341 FAX: (607) 723-6605
Email: dlanouette@hhk.com

Glenn Lau-Kee
Fellow
FORMER PRESIDENT & DELEGATE TO ABA HOUSE OF DELEGATES
Lau-Kee Law Group, PLLC
354 Broome Street
Suite 1
New York, NY 10013
Phone: (212) 625-0300 X110 FAX: (212) 625-1812
Email: glaukeelaukeelaw.com

C. Bruce Lawrence, Esq.
Fellow
DELEGATE-SENIOR LAWYERS SECTION
Boylan Code LLP
145 Culver Road
Suite 100
Rochester, NY 14620
Phone: (585) 232-5300 X256
Email: cblawrence@boylancode.com

Bernice K. Leber, Esq.
Fellow
FORMER PRESIDENT
Arent Fox LLP
1675 Broadway
New York, NY 10019
Phone: (212) 484-3930 FAX: (212) 484-3990
Email: bernice.leber@arentfox.com

Stephen Charles Lessard, Esq.
Fellow
DELEGATE-NEW YORK COUNTY LAWYERS’ ASSOCIATION
Orrick, Herrington & Sutcliffe LLP
51 West 52nd Street
New York, NY 10019
Phone: (212) 506-5137 FAX: (212) 506-5100
Email: slessential@orrick.com

Sherry Levin Wallach, Esq.
Fellow
SECRETARY
Bashian & Farber, LLP
235 Main Street
White Plains, NY 10601
Phone: (914) 946-5100 FAX: (914) 946-5111
Email: swallach@bashianfarberlaw.com

A. Thomas Levin, Esq.
Fellow
FORMER PRESIDENT
Meyer, Suozzi, English & Klein P.C.
990 Stewart Avenue, Suite 300
P.O. Box 9194
Garden City, NY 11530-9194
Phone: (516) 592-5704 FAX: (516) 741-6706
Email: atlevin@msek.com
New York State Bar Association

Members of the House of Delegates

as of Sunday, June 3, 2018

Peter H. Levy, Esq.
Fellow
VICE-PRESIDENT, TENTH JUDICIAL DISTRICT
366 North Broadway
Suite LW1
Jericho, NY 11753
Phone: (516) 822-5800  FAX: (516) 822-5848
Email: phlatty.1@juno.com

Richard C. Lewis, Esq.
Fellow
VICE-PRESIDENT, SIXTH JUDICIAL DISTRICT
Hinman Howard & Kattell, LLP
80 Exchange Street
PO Box 5250
Binghamton, NY 13901-3400
Phone: (607) 231-6891  FAX: (607) 723-6605
Email: RlewS@HHK.com

Susan B. Lindenauer, Esq.
Fellow
DELEGATE-NEW YORK COUNTY LAWYERS’ ASSOCIATION
45 Gramercy Park North
New York, NY 10010
Phone: (212) 982-0298  FAX: (212) 477-6728
Email: alindenauer@nyc.rr.com

Betty Lugo, Esq.
Fellow
DELEGATE-TRIAL LAWYERS SECTION
Pacheco & Lugo, PLLC
340 Atlantic Avenue
Brooklyn, NY 11201-5870
Phone: (718) 855-3000  FAX: (718) 855-6565
Email: blugo@pachecolugo.com

Ian W. MacLean
DELEGATE-TRUSTS AND ESTATES LAW SECTION
The MacLean Law Firm, P.C.
60 East 42nd Street
40th Floor
New York, NY 10165
Phone: (212) 682-1555  FAX: (212) 485-9877
Email: ianwmaclean@mfpc.com

Hon. Joan Anne Madden
Fellow
DELEGATE-NEW YORK COUNTY LAWYERS’ ASSOCIATION
Supreme Court Of The State Of New York
60 Centre Street
New York, NY 10007-1402
Phone: (646) 386-3190  FAX: (646) 386-3576
Email: jmadden@nycourts.gov

Kathryn Grant Madigan, Esq.
Fellow
FORMER PRESIDENT & DELEGATE TO ABA HOUSE OF DELEGATES
Levene Gouldin & Thompson, LLP
P.O. Box F-1706
Binghamton, NY 13902-0106
Phone: (607) 763-9200  FAX: (607) 763-9211
Email: kmadigan@lgtlegal.com

Roger Juan Maldonado, Esq.
Fellow
DELEGATE-THE NEW YORK CITY BAR
Smith, Gambrell & Russell LLP
1301 Avenue of the Americas
21st Floor
New York, NY 10019
Phone: (212) 907-9741
Email: Rmaldonado@sgrlaw.com

Peter J. Mancuso, Esq.
Fellow
ELECTED DELEGATE-TENTH JUDICIAL DISTRICT
917 Oakland Court
Bellmore, NY 11710-1017
Phone: (516) 571-3343  FAX: (516) 783-8214
Email: mancuso917@aol.com

Andrew Mandell, Esq.
DELEGATE-THE NEW YORK CITY BAR
NYC Human Resources Administration
4 World Trade Center
35th Floor
New York, NY 10007-5211
Phone: (929) 221-6804
Email: mandella@hra.nyc.gov
<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Address</th>
</tr>
</thead>
<tbody>
<tr>
<td>Linda U. Margolin</td>
<td>Delegate-Suffolk County Bar</td>
<td>1050 Old Nichols Road, Islandia, NY 11749 Phone: (631) 234-8585 FAX: (631) 234-8702 Email: <a href="mailto:lmargolin@margolinbesunder.com">lmargolin@margolinbesunder.com</a></td>
</tr>
<tr>
<td>Michael A. Marinaccio</td>
<td>Elected Delegate-Twelfth Judicial District</td>
<td>245 Main Street, Suite 420, White Plains, NY 10601-2411 Phone: (914) 761-0707 FAX: (914) 761-0795 Email: <a href="mailto:michael@maminacciolaw.com">michael@maminacciolaw.com</a></td>
</tr>
<tr>
<td>Thomas J. Maroney</td>
<td>Delegate-Torts, Insurance and Compensation Law Section</td>
<td>11 Broadway, Suite 831, New York, NY 10004 Phone: (212) 509-2009 x101 FAX: (212) 504-2754 Email: <a href="mailto:tmaroney@maroneyoconnorllp.com">tmaroney@maroneyoconnorllp.com</a></td>
</tr>
<tr>
<td>Edwina Frances Martin</td>
<td>Elected Delegate-Thirteenth Judicial District</td>
<td>966K Clove Road, Staten Island, NY 10301 Phone: (646) 221-9145 Email: <a href="mailto:edwinamartin@hotmail.com">edwinamartin@hotmail.com</a></td>
</tr>
<tr>
<td>Maria Matos</td>
<td>Presidential Appointee, Second Department</td>
<td>38 Chateau Lane, Hawthorne, NY 10532 Phone: (646) 386-5893 Email: <a href="mailto:mmatoslaw@aol.com">mmatoslaw@aol.com</a></td>
</tr>
<tr>
<td>Michael R. May</td>
<td>Elected Delegate-Sixth Judicial District</td>
<td>121 East Buffalo Street, Ithaca, NY 14850 Phone: (607) 272-3442 FAX: (607) 272-4514 Email: <a href="mailto:mmay@lgtlegal.com">mmay@lgtlegal.com</a></td>
</tr>
</tbody>
</table>
John T. McCann
DELEGATE-ONONDAGA COUNTY BAR ASSOCIATION
Hancock Estabrook, LLP
1500 AXA Tower I
100 Madison Street
Syracuse, NY  13202
Phone: (315) 565-4500  FAX: (315) 471-3167
Email: jmccann@hancocklaw.com

Pamela McDevitt, Esq.
MAILING PURPOSES ONLY
New York State Bar Association
One Elk St.
Albany, NY  12207-1002
Phone: (518) 487-5555
Email: pmcdevitt@nysba.org

Elizabeth J. McDonald, Esq.
DELEGATE-SENIOR LAWYERS SECTION
Rochester City Court
6 Hall Of Justice
Rochester, NY  14614
Phone: (585) 371-3342  FAX: (585) 371-3423
Email: bethmcd@att.net

Sheila T. McGinn, Esq.
DELEGATE-RICHMOND COUNTY BAR ASSOCIATION
Sheila T. McGinn
1860 Clove Road
Staten Island, NY  10304
Phone: (917) 887-0686
Email: smcginn6@gmail.com

Mary Elizabeth McGowan, Esq.
DELEGATE-HERKIMER, JEFFERSON, LEWIS & OSWEGO COUNTY BAR ASSOCIATIONS
Reynolds & McGowan, PLLC
138 West Fourth Street
Oswego, NY  13126-2768
Phone: (315) 343-2451
Email: mary.mcgowan@oswego.edu

Michael J. McNamara, Esq.
DELEGATE-NEW YORK COUNTY LAWYERS' ASSOCIATION
Seward & Kissel LLP
One Battery Park Plaza
New York, NY  10004
Phone: (212) 574-1581  FAX: (212) 480-8421
Email: mcnamara@sewkis.com

Patricia M. Meisenheimer, Esq.
DELEGATE-SUFFOLK COUNTY BAR ASSOCIATION
7 Settlers Way
East Setauket, NY  11733-1415
Phone: (631) 234-8585  FAX: (631) 234-8702
Email: pmeisenheimer@bmblawllp.com

Harry G. Meyer
DELEGATE-REAL PROPERTY LAW SECTION
4591 Brantford Ct.
Rockledge, FL  32955
Phone: (716) 848-1417  FAX: (716) 819-4632
Email: hgmeyer96@gmail.com

Claire C. Miller, Esq.
ELECTED DELEGATE-THIRTEENTH JUDICIAL DISTRICT
One Edgewater Plaza
Suite 701
Staten Island, NY  10305-4900
Phone: (718) 815-2003 x2  FAX: (718) 815-2012
Email: Claire@clairecmiller.com
Henry G. Miller, Esq.  
FORMER PRESIDENT  
Clark, Gagliardi & Miller, P.C.  
99 Court Street  
White Plains, NY 10601  
Phone: (914) 946-8900 FAX: (914) 946-8960  
Email: hmiller@cgmlaw.com

Michael Miller, Esq.  
PRESIDENT & DELEGATE, ABA HOUSE OF DELEGATES  
Law Office of Michael Miller  
666 Fifth Avenue  
Suite 1717  
New York, NY 10103-0001  
Phone: (212) 545-7000 FAX: (212) 532-8800  
Email: mm@michaelmilleresq.com

Rachel Ellen Miller, Esq.  
DELEGATE-BROOME COUNTY BAR ASSOCIATION  
Aswad & Ingraham  
46 Front Street  
Binghamton, NY 13905  
Phone: (607) 724-8456  
Email: rachel.miller@ailaw.com

Eileen D. Millett  
DELEGATE-OUT-OF-STATE  
Phillips Nizer LLP  
485 Lexington Avenue  
14th Floor  
New York, NY 10017  
Phone: (212) 841-0529 FAX: (201) 262-5152  
Email: emillett@phillipsnizer.com

Steven E. Millon, Esq.  
VICE-PRESIDENT, TWELFTH JUDICIAL DISTRICT  
675 Third Avenue  
Suite 3005  
New York, NY 10017  
Phone: (212) 779-9100 FAX: (212) 684-4923  
Email: smillon@jeffshapirolaw.com

Ronald C. Minkoff, Esq.  
DELEGATE-NEW YORK COUNTY LAWYERS' ASSOCIATION  
Frankfurt Kurnit Klein & Selz PC  
488 Madison Avenue  
10th Floor  
New York, NY 10022  
Phone: (212) 980-0120 FAX: (212) 593-9175  
Email: rminkoff@fkks.com

David P. Miranda, Esq.  
FORMER PRESIDENT & DELEGATE TO ABA HOUSE OF DELEGATES  
Heslin Rothenberg Farley & Mesiti, PC  
5 Columbia Circle  
Albany, NY 12203  
Phone: (518) 452-5600 FAX: (518) 452-5579  
Email: dpm@hrfmlaw.com

Hon. Michael M. Mohun  
ELECTED DELEGATE-EIGHTH JUDICIAL DISTRICT  
County/Family/Surrogate Judge  
Wyoming County Court Judge  
147 N. Main Street  
Warsaw, NY 14569  
Phone: 585-786-148 126 FAX: (585) 937-8988  
Email: mmohun@nycourts.gov

James C. Moore, Esq.  
FORMER PRESIDENT  
19 Oakfield Way  
Pittsford, NY 14534  
Phone: (585) 231-1124 FAX: (585) 232-2152  
Email: jcmoore1939@gmail.com

Mark J. Moretti, Esq.  
DELEGATE-MONROE COUNTY BAR ASSOCIATION  
Phillips Lytle LLP  
28 East Main Street  
Rochester, NY 14614-1909  
Phone: (585) 238-2004 FAX: (585) 232-3141  
Email: mmoretti@phillipslytle.com
Hon. Karla Moskowitz  
DELEGATE-NEW YORK COUNTY LAWYERS’ ASSOCIATION  
171 West 12th Street  
Apt. 4C  
New York, NY 10011  
Phone: 917-734-9177  
Email: Judgekarla@gmail.com  

Hon. James P. Murphy  
DELEGATE-ONONDAGA COUNTY BAR ASSOCIATION  
3875 Jordan Road  
Skeaneateles, NY 13152  
Phone: (315) 671-1109 FAX: (315) 671-1186  
Email: jmurphy@nycourts.gov

Domenick Napoletano, Esq.  
DELEGATE-BROOKLYN BAR ASSOCIATION  
351 Court Street  
Brooklyn, NY 11231-4384  
Phone: (718) 522-1377 FAX: (718) 596-6137  
Email: domenick@napoletanolaw.com

Leah R. Nowotarski  
DELEGATE-CRIMINAL JUSTICE SECTION  
Wyoming County Public Defender  
18 Linwood Avenue  
Warsaw, NY 14569  
Phone: (585) 786-8450 FAX: (585) 786-8478  
Email: lnowotarski.attlegal@yahoo.com

Carolyn G. Nussbaum, Esq.  
DELEGATE-MONROE COUNTY BAR ASSOCIATION  
Nixon Peabody LLP  
1300 Clinton Square  
Rochester, NY 14604  
Phone: (585) 263-1000 FAX: (585) 263-1600  
Email: cnussbaum@nixonpeabody.com

Robert L. O’Donnell  
FORMER PRESIDENT  
Ostertag O'Leary Barrett & Faulkner  
301 Manchester Road  
Suite 201  
Poughkeepsie, NY 12603  
Phone: (845) 486-4300 FAX: (845) 486-4080  
Email: b.ostertag55@gmail.com

Marne L. Onderdonk, Esq.  
ELECTED DELEGATE-FOURTH JUDICIAL DISTRICT  
Albany County Family Court  
30 Clinton Avenue  
Albany, NY 12207  
Phone: (518) 285-8627 FAX: (518) 462-4236  
Email: monderdo@nycourts.gov

Anthony Robert Palermo, Esq.  
FORMER PRESIDENT  
Woods Oviatt Gilman LLP  
700 Crossroads Building  
2 State Street  
Rochester, NY 14614  
Phone: (585) 987-2882 FAX: (585) 987-2982  
Email: apalermo@woodsoviatt.com

John Owens, Jr., Esq.  
DELEGATE-GENERAL PRACTICE SECTION  
New York State Unified Court System  
111 Centre Street  
New York, NY 10013  
Phone: (646) 386-3026 FAX: (212) 520-6856  
Email: jojesq@gmail.com

Christopher Palermo, Esq.  
DELEGATE-FOOD, DRUG AND COSMETIC LAW SECTION  
Bleakley Platt & Schmidt, LLP  
One North Lexington Avenue  
White Plains, NY 10601-1712  
Phone: (914) 287-6120  
Email: cpalermo@bpslaw.com

Robert L. Ostertag, Esq.  
DELEGATE-BAR ASSOCIATION OF NIAGARA COUNTY  
City of Niagara Falls Law Department  
745 Main Street  
PO Box 69  
Niagara Falls, NY 14302  
Phone: (716) 286-4409 FAX: (716) 286-4424  
Email: thomas.odonnell@niagarafallsny.gov

John A. Pappalardo, Esq.  
DELEGATE-WESTCHESTER COUNTY BAR ASSOCIATION  
Farber Pappalardo & Carbonari  
200 East Post Rd.  
White Plains, NY 10601  
Phone: (914) 761-9400 FAX: 914-761-0747  
Email: johnp@pappalardoesq.com
David B. Perlman, Esq.
DELEGATE-CORPORATE COUNSEL
SECTION
Citizen Watch Company Of America, Inc.
1120 Avenue of the Americas, 10th Floor
New York, NY  10036
Phone: (646) 438-8106
Email: dperlman@citizenwatch.com

Hon. Elizabeth D. Pessala
DELEGATE-BAR ASSOCIATION OF NASSAU COUNTY
Village of Westbury
235 Lincoln Place
Westbury, NY  11590
Phone: (516) 334-1700 ext 116
Email: edpessala@gmail.com

Maxwell S. Pfeifer, Esq.
FORMER PRESIDENT
2727 Palisade Avenue
Suite 8 F
Bronx, NY  10463
Phone: (718) 325-5000  FAX: (718) 324-0333
Email: mspfeifer@aol.com

Thomas M. Pitegoff
DELEGATE-BUSINESS LAW SECTION
LeClairRyan
885 Third Avenue
16th Floor
New York, NY  10022
Phone: (212) 634-5032  FAX: (212) 634-5004
Email: tom.pitegoff@leclairryan.com

Tara Anne Pleat, Esq.
DELEGATE-ELDER LAW AND SPECIAL NEEDS SECTION
Wilcenski & Pleat PLLC
5 Emma Lane
Clifton Park, NY  12065
Phone: (518) 881-1621  FAX: (518) 881-1622
Email: TPlate@WPLawNY.com

Lynn D. Poster-Zimmerman, Esq.
DELEGATE-SUFFOLK COUNTY BAR ASSOCIATION
Lynn Poster-zimmerman Esq.
775 Park Avenue
Suite 335
Huntington, NY  11743-7563
Phone: (631) 673-6905  FAX: (631) 673-6905
Email: lynn pzim@aol.com

Joshua M. Pruzansky, Esq.
FORMER PRESIDENT
160 West 86th St
Apt.6 B
New York, NY  10024-4071
Phone: (631) 374-1393  FAX: (631) 751-3163
Email: jmp@pruzlaw.com

Neil A. Quartaro, Esq.
DELEGATE-INTERNATIONAL SECTION
Watson Farley & Williams LLP
250 West 55th Street
New York, NY  10019
Phone: (212) 922-2214  FAX: (212) 922-1512
Email: nquartaro@wfw.com

Courtney S. Radick, Esq.
ELECTED DELEGATE-FIFTH JUDICIAL DISTRICT
Amdursky, Pelky, Fennell and Wallen, PC
26 East Oneida Street
Oswego, NY  13126
Phone: (315) 343-6363  FAX: (315) 343-0134
Email: cradick@apfwlaw.com

Richard L. Ravin, Esq.
DELEGATE-INTELLECTUAL PROPERTY LAW SECTION
Hartman & Winnicki, PC
74 Passaic Street
Ridgewood, NJ  07450-4310
Phone: (201) 967-8040  FAX: (201) 967-0590
Email: rick@ravin.com

Thomas O. Rice, Esq.
FORMER PRESIDENT
Albanese & Albanese LLP
1050 Franklin Avenue
Garden City, NY  11530
Phone: (516) 248-7000 x203  FAX: (516) 747-7777
Email: trice@albaneselegal.com

M. Catherine Richardson, Esq.
FORMER PRESIDENT
233 Delhi Street
Syracuse, NY  13203-2621
Phone: (315) 218-8230  FAX: (315) 218-8100
Email: crichardson@bsk.com
<table>
<thead>
<tr>
<th>Name</th>
<th>Office</th>
<th>Address</th>
<th>Phone</th>
<th>Fax</th>
<th>Email</th>
</tr>
</thead>
<tbody>
<tr>
<td>Steven H. Richman, Esq.</td>
<td>Delegate-Entertainment, Arts and Sports Law</td>
<td>32 Broadway, 7th Floor, New York, NY 10004-1609</td>
<td>(212) 487-5338</td>
<td>(212) 487-5342</td>
<td><a href="mailto:srichman@boe.nyc.ny.us">srichman@boe.nyc.ny.us</a></td>
</tr>
<tr>
<td>Aimee L. Richter, Esq.</td>
<td>Vice-President, Second Judicial District</td>
<td>99 Madison Ave, 8th Floor, New York, NY 10016</td>
<td>(212) 271-0664</td>
<td>(212) 271-0665</td>
<td><a href="mailto:aimeerichter@lacwkrr.com">aimeerichter@lacwkrr.com</a></td>
</tr>
<tr>
<td>Patricia L. R. Rodriguez</td>
<td>Elected Delegate-Fourth Judicial District</td>
<td>1338 Union Street, Schenectady, NY 12308</td>
<td>(518) 346-3993</td>
<td>(518) 992-3046</td>
<td><a href="mailto:plrrlawoffice@gmail.com">plrrlawoffice@gmail.com</a></td>
</tr>
<tr>
<td>Seth Rosner, Esq.</td>
<td>Delegate-The New York City Bar</td>
<td>17 Collins Terrace, Saratoga Springs, NY 12866-1028</td>
<td>(518) 587-4802</td>
<td>(518) 587-4802</td>
<td><a href="mailto:sethosner@nycaprr.com">sethosner@nycaprr.com</a></td>
</tr>
<tr>
<td>William T. Russell, Jr., Esq.</td>
<td>Member-at-Large, Executive Committee</td>
<td>425 Lexington Avenue, New York, NY 10017-3954</td>
<td>(212) 455-3979</td>
<td>(212) 455-2502</td>
<td><a href="mailto:wrussell@stblaw.com">wrussell@stblaw.com</a></td>
</tr>
<tr>
<td>Hon. Christina L. Ryba</td>
<td>Presidential Appointee, Third Department</td>
<td>197 Lenox Avenue, Albany, NY 12208-1405</td>
<td>(518) 471-4833</td>
<td></td>
<td><a href="mailto:cryba@nycourts.gov">cryba@nycourts.gov</a></td>
</tr>
<tr>
<td>Jay G. Safer, Esq.</td>
<td>Delegate-The New York City Bar</td>
<td>500 5th Avenue, New York, NY 10110</td>
<td>(212) 382-3300</td>
<td>(212) 382-0050</td>
<td><a href="mailto:JSafer@WMD-LAW.com">JSafer@WMD-LAW.com</a></td>
</tr>
<tr>
<td>Anjana Samant, Esq.</td>
<td>Delegate-The New York City Bar</td>
<td>415 St. Johns Place, Apt. 1B, Brooklyn, NY 11238</td>
<td></td>
<td></td>
<td><a href="mailto:a_samant@yahoo.com">a_samant@yahoo.com</a></td>
</tr>
<tr>
<td>Hon. Alan D. Scheinkman</td>
<td>Delegate-New York County Lawyers' Association</td>
<td>10 Puritan Road, Rye, NY 10580</td>
<td>(718) 722-6307</td>
<td></td>
<td><a href="mailto:ascheink@nycourts.gov">ascheink@nycourts.gov</a></td>
</tr>
<tr>
<td>David J. Saleh, Esq.</td>
<td>Delegate-Allegany, Cattaraugus, Genesee, Orleans &amp; Wyoming</td>
<td>9645 Wehrle Drive, Clarence, NY 14031</td>
<td>(716) 759-7750</td>
<td>(716) 759-7751</td>
<td><a href="mailto:dsaleh@inlighten.net">dsaleh@inlighten.net</a></td>
</tr>
<tr>
<td>Mirna M. Santiago, Esq.</td>
<td>Presidential Appointee, Second Department</td>
<td>300 East 175th Street, Bronx, NY 10457</td>
<td>(347) 649-3249</td>
<td>(347) 649-3301</td>
<td><a href="mailto:mirsantiago@acaciann.org">mirsantiago@acaciann.org</a></td>
</tr>
</tbody>
</table>
Robert T. Schofield, IV, Esq.  
Fellow  
VICE-PRESIDENT, THIRD JUDICIAL DISTRICT  
Whiteman Osterman & Hanna LLP  
One Commerce Plaza  
19th Floor  
Albany, NY 12260  
Phone: (518) 487-7616  FAX: (518) 487-7777  
Email: rschofield@woh.com

David M. Schraver, Esq.  
Fellow  
FORMER PRESIDENT  
Nixon Peabody LLP  
1300 Clinton Square  
Rochester, NY 14604  
Phone: (585) 263-1341  
Email: dschraver@nixonpeabody.com

Andrew P. Schriever, Esq.  
ELECTED DELEGATE-NINTH JUDICIAL DISTRICT  
Cuddy & Feder LLP  
445 Hamilton Avenue  
14th Floor  
White Plains, NY 10601  
Phone: (914) 761-1300  
Email: aschriever@cuddyfeder.com

Benjamin E. Schub  
DELEGATE-FAMILY LAW SECTION  
Bodnar & Milone LLP  
140 Grand Street  
Suite 401  
White Plains, NY 10601  
Phone: (914) 997-2500  FAX: (914) 997-8155  
Email: bschub@bodnarmilone.com

Eric C. Schwenker, Esq.  
DELEGATE-WARREN COUNTY BAR ASSOCIATION  
7 Ashley Place  
Queensbury, NY 12804-2502  
Phone: (518) 792-1174  
Email: eschwenker@mfcllp.com

Nancy Sciocchetti, Esq.  
Fellow  
DELEGATE-SARATOGA COUNTY BAR ASSOCIATION  
194 Washington Avenue  
Suite 420  
Albany, NY 12210-2314

Kathleen A. Scott, Esq.  
DELEGATE-BUSINESS LAW SECTION  
Norton Rose Fulbright US LLP  
1301 Avenue of the Americas  
New York, NY 10019  
Phone: (212) 318-3084  FAX: (212) 318-3400  
Email: Kathleen.scott@nortonrosefulbright.com

Diana S Sen, Esq.  
Fellow  
PRESIDENTIAL APPOINTEE, SECOND DEPARTMENT  
Office of Federal Contract Compliance Programs  
201 Varick St  
Room 750  
New York, NY 10014  
Phone: (646) 320-8240  
Email: dsen29@gmail.com

Robert M. Shafer, Esq.  
ELECTED DELEGATE-SIXTH JUDICIAL DISTRICT  
Riehlman Shafer & Shafer  
PO Box 430  
397 Route 281  
Tully, NY 13159-0430  
Phone: (315) 696-8918  FAX: (315) 671-1217  
Email: mshafer@rsandslaw.com

Rona G. Shamoon, Esq.  
MEMBER-AT-LARGE, EXECUTIVE COMMITTEE  
RonaShamoonADR  
48 Edgewood Road  
Scarsdale, NY 10583-6421  
Phone: (914) 723-2416  FAX: (914) 723-7544  
Email: rona.shamoon@ronashamoonadr.com
New York State Bar Association

Members of the House of Delegates

as of Sunday, June 3, 2018

Elizabeth J. Shampnoi, Esq.
DELEGATE-CORPORATE COUNSEL SECTION
NYC Commission on Human Rights
22 Reade Street
2nd Floor
New York, NY 10007
Phone: (212) 416-0228
Email: elizabeth@shampnoiadr.com

Lauren E. Sharkey
DELEGATE-YOUNG LAWYERS SECTION
Cioffi Slezak Wildgrube PC
1473 Erie Boulevard
1st Floor
Schenectady, NY 12305
Phone: (518) 377-6700  FAX: (518) 377-6110
Email: LSharkey@cslawfirm.com

Lauren E. Sharkey
DELEGATE-SCHENECTADY COUNTY BAR ASSOCIATION
Cioffi Slezak Wildgrube PC
1473 Erie Boulevard
1st Floor
Schenectady, NY 12305
Phone: (518) 377-6700  FAX: (518) 377-6110
Email: LSharkey@cslawfirm.com

Paul T. Shoemaker, Esq.
DELEGATE-GENERAL PRACTICE SECTION
Greenfield Stein & Senior LLP
600 Third Avenue
11th Floor
New York, NY 10016
Phone: (212) 818-9600  FAX: (212) 818-1264
Email: pshoemaker@gss-law.com

Alena Shautsova, Esq.
YOUNG LAWYER DELEGATE ABA HOUSE OF DELEGATES
Law Office Of Alena Shautsova
2908a Emmons Avenue
Brooklyn, NY 11235
Phone: (917) 885-2261  FAX: (347) 561-9008
Email: st30001981ar@yahoo.com

Carol Ann Sigmond, Esq.
VICE-PRESIDENT, FIRST JUDICIAL DISTRICT
Cohen, Seglias, Pallas, Greenhall & Furman, P.C.
55 Broadway
Suite 901
New York, NY 10006
Phone: (212) 871-7046  FAX: (212) 981-2928
Email: csigmond@cohenseglias.com

James R. Silkenat
ABA FORMER PRESIDENT
James R. Silkenat
260 W. 52nd Street
7A
New York, NY 10019
Phone: (212) 245-5815
Email: jrsilkenat@gmail.com

Hon. Conrad D. Singer
DELEGATE-JUDICIAL SECTION
22 Park Place
Apt. 3E
Great Neck, NY 11021
Phone: (516) 493-3865  FAX: (516) 571-9392
Email: csinger@nycourts.gov

David R. Sicular, Esq.
DELEGATE-TAX SECTION
Paul, Weiss, Rifkind, Wharton & Garrison LLP
1285 Avenue of the Americas
New York, NY 10019-6064
Phone: (212) 373-3082  FAX: (212) 757-3990
Email: dsicular@paulweiss.com

David C. Singer, Esq.
DELEGATE-DISPUTE RESOLUTION SECTION
165 West End Ave.
Apt. E
New York, NY 10023
Phone: (212) 415-9262  FAX: (212) 953-7201
Email: dsinger@singeradr.com
New York State Bar Association

Members of the House of Delegates

as of Sunday, June 3, 2018

Barry Skidelsky, Esq.
DELEGATE-ENTERTAINMENT, ARTS AND SPORTS LAW SECTION
185 East 85th Street
Apt. 23 D
New York, NY 10028
Phone: (212) 832-4800
Email: bskidelsky@mindspring.com

Barton L. Slavin, Esq.
ELECTED DELEGATE-SECOND JUDICIAL DISTRICT
170 Morris Avenue
Rockville Centre, NY 11570-4241
Phone: (212) 233-1010  FAX: (646) 257-2206
Email: barton@nycattorneys.com

Ira S. Slavit, Esq.
DELEGATE-BAR ASSOCIATION OF NASSAU COUNTY
Levine & Slavit
60 East 42nd Street
Suite 2101
New York, NY 10165-6233
Phone: (212) 687-2777  FAX: (212) 983-4637
Email: islavit@newyorkinjuries.com

Asha Saran Smith, Esq.
PRESIDENTIAL APPOINTEE, FIRST DEPARTMENT
337 West 14th Street
Apt. 21
New York, NY 10014
Email: asha.smith@gmail.com

Laren E. Spirer, Esq.
DELEGATE-THE NEW YORK CITY BAR
Columbia Law School
435 W 116th St
New York, NY 10027
Phone: (212) 854-1448
Email: laren.spirer@law.columbia.edu

Alexander Leon Stabinski, Esq.
DELEGATE-CLINT., ESSEX, FRANK., FULTON, HAMIL., MONTG., ST. LAWR., WASHINGTON
Maynard, O'Connor, Smith & Catalinotto LLP
6 Tower Place
Albany, NY 12203
Phone: (518) 465-3553  FAX: (518) 465-5845
Email: stabinski@moscllp.com

Tucker C. Stanclift, Esq.
MEMBER-AT-LARGE, EXECUTIVE COMMITTEE
Stanclift Law PLLC
704 Upper Glen St
PO Box 4595
Queensbury, NY 12804
Phone: (518) 745-4343  FAX: (518) 745-4344
Email: tcs@stancliftlaw.com

Steven Stieglitz, Esq.
ELECTED DELEGATE-NINTH JUDICIAL DISTRICT
4 Rosewood Rd
White Plains, NY 10605
Email: stieglitz@bashianfarberlaw.com

Kenneth G. Standard, Esq.
FORMER PRESIDENT & DELEGATE TO ABA HOUSE OF DELEGATES
Epstein Becker & Green, P.C.
250 Park Avenue
New York, NY 10177
Phone: (212) 351-4670  FAX: (212) 661-0989
Email: kstandard@ebglaw.com

Hon. Elizabeth S. Stong
DELEGATE-THE NEW YORK CITY BAR
US Bankruptcy Court: EDNY
271 Cadman Plaza East
Suite 1595
Brooklyn, NY 11201
Phone: (347) 394-1862  FAX: (347) 394-1865
Email: elizabeth_stong@nyeb.uscourts.gov
Sanford Strenger, Esq.
DELEGATE-BAR ASSOCIATION OF NASSAU COUNTY
Salamon Gruber Blaymore & Strenger PC
97 Powerhouse Road
Roslyn Heights, NY 11577
Phone: (516) 625-1700  FAX: (516) 625-1795
Email: sstrenger@sgnblaw.com

Kathleen Marie Sweet, Esq.
ELECTED DELEGATE-EIGHTH JUDICIAL DISTRICT
Gibson McAskill & Crosby LLP
69 Delaware Avenue
Buffalo, NY 14202
Phone: (716) 856-4200  FAX: (716) 856-4013
Email: ksweet@gmclaw.com

Terrence Lee Tarver, Esq.
DELEGATE-YOUNG LAWYERS SECTION
Tarver Law Firm, P.C.
1140 Franklin Avenue
Suite 200
Garden City, NY 11530
Phone: (516) 506-7187  FAX: (929) 999-1633
Email: Tarver@TarverLawFirm.com

Zenith T. Taylor, Esq.
DELEGATE-QUEENS COUNTY BAR ASSOCIATION
Law Offices of Zenith T. Taylor
118-35 Queens Boulevard
Suite 1240
Forest Hills, NY 11375
Phone: (718) 268-1300  FAX: (347) 474-6774
Email: zenith@zenithtaylor.net

David H. Tennant, Esq.
VICE-PRESIDENT, SEVENTH JUDICIAL DISTRICT
Nixon Peabody LLP
1300 Clinton Square
Rochester, NY 14604
Phone: (585) 263-1021  FAX: (866) 947-0755
Email: dtennant@nixonpeabody.com

Lewis F. Tesser, Esq.
DELEGATE-NEW YORK COUNTY LAWYERS' ASSOCIATION
Tesser, Ryan & Rochman, LLP
509 Madison Avenue
New York, NY 10022
Phone: (212) 754-9000  FAX: (212) 754-5906
Email: ltesser@tesserryan.com

Nancy M. Thevenin, Esq.
DELEGATE-INTERNATIONAL SECTION
87-37 164th Street
No. 2
Jamaica, NY 11432
Phone: 212-703-5047  FAX: (917) 475-9468
Email: nancy.thevenin@theveninarbitration.com

Jonah Triebwasser
ELECTED DELEGATE-NINTH JUDICIAL DISTRICT
Town and Village Courts of Red Hook
Town & Village of Red Hook Courts
7467 South Broadway
Red Hook, NY 12571-1750
Phone: (845) 758-4113  FAX: (845) 758-1695
Email: jtriebwasser@nycourts.gov

Virginia K. Trunkes
DELEGATE-THE NEW YORK CITY BAR
Delbello Donnellan Weingarten Wise & Wiederkehr, LLP
One North Lexington Avenue
11th Floor
White Plains, NY 10601
Phone: (914) 607-3219
Email: gtrunkes@yahoo.com

Rosemarie Tully, Esq.
ELECTED DELEGATE-TENTH JUDICIAL DISTRICT
Rosemarie Tully, PC
PO Box 1054
Huntington, NY 11743
Phone: (631) 234-2376  FAX: (631) 234-8876
Email: roosemarie@tullylaw.com
New York State Bar Association

Members of the House of Delegates

as of Sunday, June 3, 2018

Jeffrey A. Udell, Esq.
DELEGATE-THE NEW YORK CITY BAR
Walden Macht & Haran LLP
1 Battery Park Plaza
34th Floor
New York, NY 10004-1007
Phone: (212) 335-2045
Email: judell@wmhlaw.com

Robin A. van der Meulen, Esq.
DELEGATE-ANTITRUST LAW SECTION
Labaton Sucharow LLP
140 Broadway
34th Floor
New York, NY 10005
Phone: (212) 907-0754 FAX: (212) 883-7004
Email: rvandermeulen@labaton.com

Lourdes M. Ventura
ELECTED DELEGATE-ELEVENTH JUDICIAL DISTRICT
Ahmuty, Demers & McManus
200 I.U. Willets Road
Albertson, NY 11507
Phone: (516) 294-5433
Email: lmvesq@gmail.com

Justin L. Vigdor
Fellow
FORMER PRESIDENT
Bond, Schoeneck & King PLLC
350 Linden Oaks
3rd Floor
Rochester, NY 14625-2825
Phone: (585) 362-4786 FAX: (585) 362-4763
Email: jvigdor@bsk.com

Guy R. Vitacco, Jr., Esq.
ELECTED DELEGATE-ELEVENTH JUDICIAL DISTRICT
Vitacco & Vitacco
87-10 Queens Boulevard
Elmhurst, NY 11373-4419
Phone: (718) 898-5060 FAX: (718) 898-5110
Email: jvitacco@optonline.net

Joseph M. Walsh, Esq.
DELEGATE-REAL PROPERTY LAW SECTION
Walsh & Walsh, LLP
42 Long Alley
Saratoga Springs, NY 12866-2116
Phone: (518) 583-0171 FAX: (518) 583-1025
Email: joewalsh@spalaw2.com

Wendy M. Weathers
DELEGATE-WESTCHESTER COUNTY BAR ASSOCIATION
Cabanillas & Associates, P.C.
120 Bloomingdale Road
Suite 400
White Plains, NY 10605-1540
Phone: (914) 418-2018 FAX: (914) 206-4447
Email: wweathers@cabanillaslaw.com

Mira B. Weiss, Esq.
DELEGATE-THE NEW YORK CITY BAR
200 East 71st
Apt. 19 A
New York, NY 10021
Phone: (646) 395-3851 FAX: (877) 616-9303
Email: mweiss@weisslawgroup.com

Jean Marie Westlake, Esq.
Fellow
VICE-PRESIDENT, FIFTH JUDICIAL DISTRICT
DeFrancisco & Falgiatano, LLP
6739 Myers Rd.
East Syracuse, NY 13057
Phone: (315) 479-9000 FAX: (315) 479-9000
Email: jeanmarie@defranciscolaw.com

Hon. Michelle Weston
PRESIDENTIAL APPOINTEE, SECOND DEPARTMENT
Associate Justice Of The Appellate Term
320 Jay Street
Brooklyn, NY 11201-3712
Phone: (347) 296-1848 FAX: (347) 296-1351
Email: mweston@nycourts.gov
New York State Bar Association

Members of the House of Delegates

as of Sunday, June 3, 2018

Judith Whiting, General Counsel
DELEGATE-THE NEW YORK CITY BAR
Community Service Society of New York
633 3rd Ave
Floor 10
New York, NY 10017
Phone: (212) 614-5323 FAX: (212) 260-6218
Email: jwhiting@cssny.org

Kaylin L. Whittingham, Esq.
PRESIDENTIAL APPOINTEE, FIRST DEPARTMENT
Whittingham Law
1185 Avenue of the Americas
3rd Floor
New York, NY 10036
Phone: (212) 951-1505
Email: klw@whittinghamlaw.com

James M. Wicks, Esq.
DELEGATE-COMMERCIAL AND FEDERAL LITIGATION SECTION
Farrell Fritz, P.C.
1320 RXR Plaza
Uniondale, NY 11556-1320
Phone: (516) 227-0617 FAX: (516) 336-2204
Email: jwicks@farrellfritz.com

Steven Wimpfheimer, Esq.
ELECTED DELEGATE-ELEVENTH JUDICIAL DISTRICT
16625 Powells Cove Blvd
Apt. 16F
Whitestone, NY 11357-1522
Phone: (347) 732-9524 FAX: (347) 732-9529
Email: wimpf1@gmail.com

John J. Yanas, Esq.
FORMER PRESIDENT
10 Hamlet Court
Apt 102
Slingerlands, NY 12159
Phone: (518) 462-5300 FAX: (518) 436-0210
Email: firm@degraff-foy.com

Total Records: 273
REQUESTED ACTION: None, as the report is informational.

Attached is a proposed amendment to the NYSBA 2015 Standards for Providing Mandated Representation, a set of standards designed to apply to providers of mandated representation to ensure quality counsel to those who cannot afford representation. The standards originally were adopted by the House in 2005 and most recently amended in 2015. The Committee on Mandated Representation is proposing an amendment to the standards, as set forth in the attached memorandum. Due to the timing of the submission of this amendment, it is being presented to you on an informational basis at this meeting; it will be posted in the Reports Community and scheduled for debate and vote at the November 2018 House meeting.

A representative of the Committee on Mandated Representation will present the report at the June meeting.
The Committee on Mandated Representation urges the New York State Bar Association to adopt a Resolution revising Section B-1(a) of the NYSBA 2015 Revised Standards for Providing Mandated Representation to provide: “Effective representation includes representation during both the pre- and post-petition stages of a Family Court case, including, but not limited to representation in emergency removal hearings and advocacy for the provision of social work, counseling, mental health, and other services”.

The objective of the Standards for Providing Mandated Representation issued by the NYSBA Committee on Mandated Representation is to ensure quality representation in both criminal and family court cases. Quality of legal representation at the pre-petition stage of child welfare cases is critical for the protection of the fundamental and due process rights of families. During the pre-petition period, life-altering decisions are made that can result in the traumatic separation of a child from his or her parent and possibly the permanent destruction of the parent-child relationship.

Research has shown a direct connection between such enhanced representation of parents and improved results leading to permanency for children. When parents' attorneys provide representation early in the case, they are able to work closely with the family and the social services agency to identify and access appropriate services. Under such circumstances, parents have a better chance for keeping their children out of foster care by maintaining them safely in their care at home. In many New York State jurisdictions, millions in foster care costs can be saved by preserving the family.

The proposed revision seeks to provide the same emphasis on the importance of pre-petition representation of parents in child welfare cases as the NYS Office of Indigent Legal Services Standards for Parental Representation in State Intervention Matters and thereby lend much needed support to practitioners who routinely face vigorous opposition and even hostility when defending family rights.

For all of the reasons given above, the Committee on Mandated Representation enthusiastically supports this Resolution, respectfully requesting a revision of the New York State Bar Association’s 2015 Revised Standards For Providing Mandated Representation providing for the pre-petition representation of parents to preserve the fundamental and due process rights of New York State parents.