

Annual Report for Columbia County Capital Resource Corporation

Fiscal Year Ending: 12/31/2018

 Run Date: 03/04/2019
 Status: UNSUBMITTED
 Certified Date: N/A

Governance Information (Authority-Related)

| Question | Response | URL (if Applicable) |
|--|----------|---|
| 1. Has the Authority prepared its annual report on operations and accomplishments for the reporting period as required by section 2800 of PAL? | Yes | https://www.columbiaedc.com/wp-content/uploads/2019/02/2018-CRC-Operations-and-Accomplishments-1.pdf |
| 2. As required by section 2800(9) of PAL, did the Authority prepare an assessment of the effectiveness of its internal controls? | Yes | https://www.columbiaedc.com/wp-content/uploads/2019/02/CRC-Statement-of-Internal-Controls.pdf |
| 3. Has the lead audit partner for the independent audit firm changed in the last five years in accordance with section 2802(4) of PAL? | Yes | N/A |
| 4. Does the independent auditor provide non-audit services to the Authority? | No | N/A |
| 5. Does the Authority have an organization chart? | Yes | https://www.columbiaedc.com/wp-content/uploads/2012/11/CRC-Organizational-Chart.pdf |
| 6. Are any Authority staff also employed by another government agency? | No | |
| 7. Has the Authority posted their mission statement to their website? | Yes | https://www.columbiaedc.com/wp-content/uploads/2019/02/CRC-Mission-Statement- reaffirmed-2019.pdf |
| 8. Has the Authority's mission statement been revised and adopted during the reporting period? | No | N/A |
| 9. Attach the Authority's measurement report, as required by section 2824-a of PAL and provide the URL. | No | https://www.columbiaedc.com/wp-content/uploads/2019/02/CRC-2018-Performance-Measures-Report-1.pdf |

Governance Information (Board-Related)

| Question | Response | URL (if Applicable) |
|---|--------------------------|---|
| 1. Has the Board established a Governance Committee in accordance with Section 2824(7) of PAL? | Yes | N/A |
| 2. Has the Board established an Audit Committee in accordance with Section 2824(4) of PAL? | Yes | N/A |
| 3. Has the Board established a Finance Committee in accordance with Section 2824(8) of PAL? | Yes | N/A |
| 4. Provide a URL link where a list of Board committees can be found (including the name of the committee and the date established): | | https://www.columbiaedc.com/about-ccedc/capital-resource-corporation/crc-board-of-directors/ |
| 5. Does the majority of the Board meet the independence requirements of Section 2825(2) of PAL? | Yes | N/A |
| 6. Provide a URL link to the minutes of the Board and committee meetings held during the covered fiscal year | | https://www.columbiaedc.com/about-ccedc/capital-resource-corporation/crc-abc-public-documents/#1544193617291-23a70d01-0274 |
| 7. Has the Board adopted bylaws and made them available to Board members and staff? | Yes | https://www.columbiaedc.com/wp-content/uploads/2012/04/CRC-Amended-by-laws.pdf |
| 8. Has the Board adopted a code of ethics for Board members and staff? | Yes | https://www.columbiaedc.com/wp-content/uploads/2012/04/CRC-Code-of-Ethics.pdf |
| 9. Does the Board review and monitor the Authority's implementation of financial and management controls? | Yes | N/A |
| 10. Does the Board execute direct oversight of the CEO and management in accordance with Section 2824(1) of PAL? | Yes | N/A |
| 11. Has the Board adopted policies for the following in accordance with Section 2824(1) of PAL? Salary and Compensation Time and Attendance Whistleblower Protection | Yes Yes Yes Yes | N/A N/A N/A N/A |
| 12. Has the Board adopted a policy prohibiting the extension of credit to Board members and staff in accordance with Section 2824(5) of PAL? | Yes | N/A |
| 13. Are the Authority's Board members, officers, and staff required to submit financial disclosure forms in accordance with Section 2825(3) of PAL? | Yes | N/A |
| 14. Was a performance evaluation of the board completed? | Yes | N/A |
| 15. Was compensation paid by the Authority made in accordance with employee or union contracts? | No | N/A |
| 16. Has the board adopted a conditional/additional compensation policy governing all employees? | No | N/A |

Board of Directors Listing

| | | | |
|--|-----------------------|---|-------|
| Name | Fingar-Smith, Nina | Nominated By | Local |
| Chair of the Board | No | Appointed By | Local |
| If yes, Chair Designated by | | Confirmed by Senate? | N/A |
| Term Start Date | 7/11/2018 | Has the Board Member/Designee Signed the Acknowledgement of Fiduciary Duty? | Yes |
| Term Expiration Date | Pleasure of Authority | Complied with Training Requirement of Section 2824? | No |
| Title | | Does the Board Member/Designee also Hold an Elected or Appointed State Government Position? | No |
| Has the Board Member Appointed a Designee? | | Does the Board Member/Designee also Hold an Elected or Appointed Municipal Government Position? | No |
| Designee Name | | Ex-Officio | |

| | | | |
|--|-----------------------|---|-------|
| Name | Galluscio, Robert | Nominated By | Local |
| Chair of the Board | No | Appointed By | Local |
| If yes, Chair Designated by | | Confirmed by Senate? | N/A |
| Term Start Date | 9/10/2009 | Has the Board Member/Designee Signed the Acknowledgement of Fiduciary Duty? | Yes |
| Term Expiration Date | Pleasure of Authority | Complied with Training Requirement of Section 2824? | Yes |
| Title | | Does the Board Member/Designee also Hold an Elected or Appointed State Government Position? | No |
| Has the Board Member Appointed a Designee? | | Does the Board Member/Designee also Hold an Elected or Appointed Municipal Government Position? | No |
| Designee Name | | Ex-Officio | |

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| | | | |
|--|-----------------------|---|-------|
| Name | Gerlach, William | Nominated By | Local |
| Chair of the Board | No | Appointed By | Local |
| If yes, Chair Designated by | | Confirmed by Senate? | N/A |
| Term Start Date | 1/13/2016 | Has the Board Member/Designee Signed the Acknowledgement of Fiduciary Duty? | Yes |
| Term Expiration Date | Pleasure of Authority | Complied with Training Requirement of Section 2824? | Yes |
| Title | | Does the Board Member/Designee also Hold an Elected or Appointed State Government Position? | No |
| Has the Board Member Appointed a Designee? | | Does the Board Member/Designee also Hold an Elected or Appointed Municipal Government Position? | No |
| Designee Name | | Ex-Officio | |

| | | | |
|--|-----------------------|---|-------|
| Name | Keeler, Brian | Nominated By | Local |
| Chair of the Board | No | Appointed By | Local |
| If yes, Chair Designated by | | Confirmed by Senate? | N/A |
| Term Start Date | 4/8/2015 | Has the Board Member/Designee Signed the Acknowledgement of Fiduciary Duty? | Yes |
| Term Expiration Date | Pleasure of Authority | Complied with Training Requirement of Section 2824? | Yes |
| Title | | Does the Board Member/Designee also Hold an Elected or Appointed State Government Position? | No |
| Has the Board Member Appointed a Designee? | | Does the Board Member/Designee also Hold an Elected or Appointed Municipal Government Position? | Yes |
| Designee Name | | Ex-Officio | |

| | | | |
|--|-----------------------|---|-------|
| Name | Pierro, Carmine | Nominated By | Local |
| Chair of the Board | Yes | Appointed By | Local |
| If yes, Chair Designated by | Elected by Board | Confirmed by Senate? | N/A |
| Term Start Date | 7/13/2016 | Has the Board Member/Designee Signed the Acknowledgement of Fiduciary Duty? | Yes |
| Term Expiration Date | Pleasure of Authority | Complied with Training Requirement of Section 2824? | Yes |
| Title | | Does the Board Member/Designee also Hold an Elected or Appointed State Government Position? | No |
| Has the Board Member Appointed a Designee? | | Does the Board Member/Designee also Hold an Elected or Appointed Municipal Government Position? | No |
| Designee Name | | Ex-Officio | |

| | | | |
|--|-----------------------|---|-------|
| Name | Richter, Sidney | Nominated By | Local |
| Chair of the Board | No | Appointed By | Local |
| If yes, Chair Designated by | | Confirmed by Senate? | N/A |
| Term Start Date | 9/10/2009 | Has the Board Member/Designee Signed the Acknowledgement of Fiduciary Duty? | Yes |
| Term Expiration Date | Pleasure of Authority | Complied with Training Requirement of Section 2824? | Yes |
| Title | | Does the Board Member/Designee also Hold an Elected or Appointed State Government Position? | No |
| Has the Board Member Appointed a Designee? | | Does the Board Member/Designee also Hold an Elected or Appointed Municipal Government Position? | No |
| Designee Name | | Ex-Officio | |

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| | | | |
|--|-----------------------|---|-------|
| Name | Sterling, Sarah | Nominated By | Local |
| Chair of the Board | No | Appointed By | Local |
| If yes, Chair Designated by | | Confirmed by Senate? | No |
| Term Start Date | 4/8/2015 | Has the Board Member/Designee Signed the Acknowledgement of Fiduciary Duty? | Yes |
| Term Expiration Date | Pleasure of Authority | Complied with Training Requirement of Section 2824? | Yes |
| Title | | Does the Board Member/Designee also Hold an Elected or Appointed State Government Position? | No |
| Has the Board Member Appointed a Designee? | | Does the Board Member/Designee also Hold an Elected or Appointed Municipal Government Position? | Yes |
| Designee Name | | Ex-Officio | |

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Staff Listing

| Name | Title | Group | Department/ Subsidiary | Union Name | Bargaining Unit | Full Time/ Part Time | Exempt | Base Annualized Salary | Actual salary paid to the Individual | Overtime paid by Authority | Performance Bonus | Extra Pay | Other Compensati on/Allowanc es/Adjustme nts | Total Compensati on paid by Authority | Individual also paid by another entity to perform the work of the local government | If yes, Is the payment made by a State or local governme nt |
|--------------------|---------------------------------------|--------------------------------|---------------------------|---------------|--------------------|-------------------------|--------|------------------------------|---|----------------------------------|----------------------|-----------|--|---|---|--|
| Doty, Brandon | Project Manager | Professional | | | | FT | Yes | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 | Yes | No |
| Drahushuk, Lisa | Administrative Assistant | Administrative and Clerical | | | | FT | Yes | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 | Yes | No |
| Durtz, Kayla | Intern | Administrative and Clerical | | | | PT | No | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 | Yes | No |
| Lane, Martha | Business Development Specialist | Professional | | | | FT | Yes | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 | Yes | No |
| McNary, Erin | Chief Financial Officer | Administrative and Clerical | | | | FT | Yes | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 | Yes | No |
| Stiffler, Ed | Economic Developer | Professional | | | | PT | Yes | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 | Yes | No |
| Wilber, Carol | Director of Marketing | Professional | | | | FT | Yes | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 | Yes | No |

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Benefit Information

| | | |
|---|--|----|
| During the fiscal year, did the Authority continue to pay for any of the above mentioned benefits for former staff or individuals affiliated With the Authority after those individuals left the Authority? | | No |
|---|--|----|

Board Members

| Name | Title | Severance Package | Payment for Unused Leave | Club Memberships | Use of Corporate Credit Cards | Personal Loans | Auto | Transportation | Housing Allowance | Spousal / Dependent Life Insurance | Tuition Assistance | Multi-Year Employment | None of these Benefits | Other |
|--------------------|--------------------|-------------------|--------------------------|------------------|-------------------------------|----------------|------|----------------|-------------------|------------------------------------|--------------------|-----------------------|------------------------|-------|
| Fingar-Smith, Nina | Board of Directors | | | | | | | | | | | | X | |
| Galluccio, Robert | Board of Directors | | | | | | | | | | | | X | |
| Gerlach, William | Board of Directors | | | | | | | | | | | | X | |
| Keeler, Brian | Board of Directors | | | | | | | | | | | | X | |
| Pierro, Carmine | Board of Directors | | | | | | | | | | | | X | |
| Richter, Sidney | Board of Directors | | | | | | | | | | | | X | |
| Sterling, Sarah | Board of Directors | | | | | | | | | | | | X | |

Staff

| Name | Title | Severance Package | Payment for Unused Leave | Club Memberships | Use of Corporate Credit Cards | Personal Loans | Auto | Transportation | Housing Allowance | Spousal / Dependent Life Insurance | Tuition Assistance | Multi-Year Employment | None of these Benefits | Other |
|------|-------|-------------------|--------------------------|------------------|-------------------------------|----------------|------|----------------|-------------------|------------------------------------|--------------------|-----------------------|------------------------|-------|
|------|-------|-------------------|--------------------------|------------------|-------------------------------|----------------|------|----------------|-------------------|------------------------------------|--------------------|-----------------------|------------------------|-------|

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Subsidiary/Component Unit Verification

| | |
|--|-----|
| Is the list of subsidiaries, as assembled by the Office of the State Comptroller, correct? | Yes |
| Are there other subsidiaries or component units of the Authority that are active, not included in the PARIS reports submitted by this Authority and not independently filing reports in PARIS? | No |

| | |
|-----------------------------------|--------|
| Name of Subsidiary/Component Unit | Status |
|-----------------------------------|--------|

Request Subsidiary/Component Unit Change

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

Request Add Subsidiaries/Component Units

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

Request Delete Subsidiaries/Component Units

| | | | |
|-----------------------------------|------------------|------------------------|------------------------------------|
| Name of Subsidiary/Component Unit | Termination Date | Reason for Termination | Proof of Termination Document Name |
|-----------------------------------|------------------|------------------------|------------------------------------|

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Summary Financial Information
SUMMARY STATEMENT OF NET ASSETS

| | | Amount |
|-------------------------------|---|-------------------|
| Assets | | |
| Current Assets | | |
| | Cash and cash equivalents | \$1,735.00 |
| | Investments | \$0.00 |
| | Receivables, net | \$0.00 |
| | Other assets | \$0.00 |
| | Total Current Assets | \$1,735.00 |
| Noncurrent Assets | | |
| | Restricted cash and investments | \$0.00 |
| | Long-term receivables, net | \$0.00 |
| | Other assets | \$0.00 |
| | Capital Assets | |
| | | \$0.00 |
| | Land and other nondepreciable property | \$0.00 |
| | Buildings and equipment | \$0.00 |
| | Infrastructure | \$0.00 |
| | Accumulated depreciation | \$0.00 |
| | Net Capital Assets | \$0.00 |
| | Total Noncurrent Assets | \$0.00 |
| Total Assets | | \$1,735.00 |
| Liabilities | | |
| Current Liabilities | | |
| | Accounts payable | \$0.00 |
| | Pension contribution payable | \$0.00 |
| | Other post-employment benefits | \$0.00 |
| | Accrued liabilities | \$0.00 |
| | Deferred revenues | \$0.00 |
| | Bonds and notes payable | \$0.00 |
| | Other long-term obligations due within one year | \$0.00 |
| | Total Current Liabilities | \$0.00 |
| Noncurrent Liabilities | | |

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| | | |
|----------------------------|---|------------|
| | Pension contribution payable | \$0.00 |
| | Other post-employment benefits | \$0.00 |
| | Bonds and notes payable | \$0.00 |
| | Long Term Leases | \$0.00 |
| | Other long-term obligations | \$0.00 |
| | Total Noncurrent Liabilities | \$0.00 |
| Total Liabilities | | \$0.00 |
| Net Asset (Deficit) | | |
| Net Assets | | |
| | Invested in capital assets, net of related debt | \$0.00 |
| | Restricted | \$0.00 |
| | Unrestricted | \$1,735.00 |
| | Total Net Assets | \$1,735.00 |

SUMMARY STATEMENT OF REVENUE, EXPENSES AND CHANGES IN NET ASSETS

| | Amount | |
|--------------------------------|---------------------------------|--------------|
| Operating Revenues | | |
| | Charges for services | \$0.00 |
| | Rental & financing income | \$0.00 |
| | Other operating revenues | \$0.00 |
| | Total Operating Revenue | \$0.00 |
| Operating Expenses | | |
| | Salaries and wages | \$0.00 |
| | Other employee benefits | \$0.00 |
| | Professional services contracts | \$2,599.00 |
| | Supplies and materials | \$144.00 |
| | Depreciation & amortization | \$0.00 |
| | Other operating expenses | \$1,695.00 |
| | Total Operating Expenses | \$4,438.00 |
| | | (\$4,438.00) |
| Operating Income (Loss) | | |
| Nonoperating Revenues | | |
| | Investment earnings | \$0.00 |
| | State subsidies/grants | \$0.00 |
| | Federal subsidies/grants | \$0.00 |
| | Municipal subsidies/grants | \$0.00 |
| | Public authority subsidies | \$0.00 |

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| | |
|--|-------------------|
| Other nonoperating revenues | \$0.00 |
| Total Nonoperating Revenue | \$0.00 |
| Nonoperating Expenses | |
| Interest and other financing charges | \$0.00 |
| Subsidies to other public authorities | \$0.00 |
| Grants and donations | \$0.00 |
| Other nonoperating expenses | \$0.00 |
| Total Nonoperating Expenses | \$0.00 |
| Income (Loss) Before Contributions | (\$4,438.00) |
| Capital Contributions | \$0.00 |
| Change in net assets | (\$4,438.00) |
| Net assets (deficit) beginning of year | \$6,173.00 |
| Other net assets changes | \$0.00 |
| Net assets (deficit) at end of year | \$1,735.00 |

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Current Debt

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

New Debt Issuances

Schedule of Authority Debt

| Type of Debt | Statutory Authorization(\$) | Outstanding Start of Fiscal Year(\$) | New Debt Issuances(\$) | Debt Retired (\$) | Outstanding End of Fiscal Year(\$) |
|-------------------------------------|-----------------------------|--------------------------------------|------------------------|-------------------|------------------------------------|
| State Obligation | | | | | |
| State Obligation | | | | | |
| State Obligation | | | | | |
| State Obligation | | | | | |
| Other State-Funded | | | | | |
| Authority Debt - General Obligation | | | | | |
| Authority Debt - Revenue | | | | | |
| Authority Debt - Other | | | | | |
| Conduit | 0.00 | 6,545,000.00 | 0.00 | 970,000.00 | 5,575,000.00 |
| Conduit | | | | | |
| TOTALS | 0.00 | 6,545,000.00 | 0.00 | 970,000.00 | 5,575,000.00 |

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Real Property Acquisition/Disposal List

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

Personal Property

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

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Property Documents

| Question | Response | URL (if Applicable) |
|--|----------|---|
| 1. In accordance with Section 2896(3) of PAL, the Authority is required to prepare a report at least annually of all real property of the Authority. Has this report been prepared? | Yes | https://www.columbiaedc.com/wp-content/uploads/2018/02/CRC-2018-owned-Property.pdf |
| 2. Has the Authority prepared policies, procedures, or guidelines regarding the use, awarding, monitoring, and reporting of contracts for the acquisition and disposal of property? | Yes | https://www.columbiaedc.com/about-cedc/capital-resource-corporation/crc-abo-public-documents/#1510422324420-575e18af-a3e3 |
| 3. In accordance with Section 2896(1) of PAL, has the Authority named a contracting officer who shall be responsible for the Authority's compliance with and enforcement of such guidelines? | Yes | N/A |

Grant Information

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

Loan Information

This Authority has indicated that it did not have any outstanding loans during the reporting period.

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| Bond Information | | Bond Interest Rate | 12 |
|------------------------------------|----------------------------|---|---|
| Name of Recipient of Bond Proceeds | Columbia Memorial Hospital | Last Year Bonds Expected to be Retired | 2035 |
| Address Line1 | 71 Prospect Ave | Amount of Bond Principal Retired during the Reporting Year | 970000 |
| Address Line2 | | Amount of Bond Principal Retired Prior to Reporting Year | 6400000 |
| City | HUDSON | Current Amount of Bonds Outstanding | \$5,575,000.00 |
| State | NY | Purpose of Project Requiring the Bond Issuance | Commercial Property Construction/Acquisition/Revitalization/Improvement |
| Postal Code | 12534 | Was the Bond Issuance Expected to Result in New Jobs Being Created? | No |
| Plus4 | | If yes, How Many Jobs Were Planned to be Created? | |
| Province/Region | | If yes, How Many Jobs Have Been Created to Date? | |
| Country | United States | Have the Bonds Been Fully Retired? | No |
| Amount of Bonds Issued | \$12,945,000.00 | | |
| Date Bonds Issued | 3/3/2010 | | |

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Certified Date: N/A

Additional Comments

Investment Report for Columbia County Capital Resource Corporation
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Run Date : 03/04/2019
Status: UNSUBMITTED
Certified Date: N/A

Investment Information

| Question | Response | URL (If Applicable) |
|--|----------|---|
| 1. Has the Authority prepared an Annual Investment Report for the reporting period as required by Section 2925(6) of PAL? | Yes | https://www.columbiaedc.com/wp-content/uploads/2019/02/CRC-2018-Investment-Report.pdf |
| 2. Are the Authority's investment guidelines reviewed and approved annually? | Yes | |
| 3. Did the Authority have an independent audit of investments as required by Section 2925(3)(f) of PAL? | No | |
| 4. Has the Authority's independent auditor issued a management letter to the Authority in connection with its annual audit of investments? | No | |

Additional Comments

Procurement Report for Columbia County Capital Resource Corporation

Fiscal Year Ending: 12/31/2018

Run Date: 03/05/2019
Status: UNSUBMITTED
Certified Date: N/A

Procurement Information:

| Question | Response | URL (if Applicable) |
|--|----------|---|
| 1. Does the Authority have procurement guidelines? | Yes | https://www.columbiaedc.com/wp-content/uploads/2012/04/CRC-updated-Procurement-Policy.pdf |
| 2. Are the procurement guidelines reviewed annually, amended if needed, and approved by the Board? | Yes | |
| 3. Does the Authority allow for exceptions to the procurement guidelines? | No | |
| 4. Does the Authority assign credit cards to employees for travel and/or business purchases? | No | |
| 5. Does the Authority require prospective bidders to sign a non-collusion agreement? | Yes | |
| 6. Does the Authority incorporate a summary of its procurement policies and prohibitions in its solicitation of proposals, bid documents, or specifications for procurement contracts? | Yes | |
| 7. Did the Authority designate a person or persons to serve as the authorized contact on a specific procurement, in accordance with Section 139-j(2)(a) of the State Finance Law, "The Procurement Lobbying Act"? | No | |
| 8. Did the Authority determine that a vendor had impermissible contact during a procurement or attempted to influence the procurement during the reporting period, in accordance with Section 139-j(10) of the State Finance Law? | No | |
| 8a. If Yes, was a record made of this impermissible contact? | | |
| 9. Does the Authority have a process to review and investigate allegations of impermissible contact during a procurement, and to impose sanctions in instances where violations have occurred, in accordance with Section 139-j(9) of the State Finance Law? | No | |

Procurement Report for Columbia County Capital Resource Corporation

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Status: UNSUBMITTED
Certified Date : N/A

Procurement Transactions Listing:

The Authority has indicated that it had no procurement transactions during the reporting period.

Additional Comments