

STATE OF NEW YORK

JUDICIARY

—REQUEST FOR BID—

(This is not an order)
**BID MUST BE MADE ON THIS SHEET
OR AS OTHERWISE SPECIFIED**

NYS OFFICE OF COURT ADMINISTRATION
Contract & Procurement Unit
25 Beaver Street, R-850
New York, NY 10004

(Agency Name and Address)

Direct Inquiries to: Marie-Claude Ceppi
E-mails: mceppi@nycourts.gov

Bid Number: OCA/AS-227	Commodity Group:
Opening Date: 01/04/2017 Time: 3:00 pm Issue Date: 12/08/2016	Commodity Name: Printing and Mailing of Attorney Registration Notices

Price to include delivery to (describe exact location and method of delivery) All prices to be net and inclusive of all services specified herein unless otherwise specified.

OFFICE OF GENERAL SERVICES "GENERAL SPECIFICATIONS" (DECEMBER 1998) ARE FULLY INCORPORATED HEREIN.

Agency's Specification of item(s) Required (include quantities)	Bidder's Quotation and Specific Description of Item Offered
UCS ATTACHMENT I, III, and IV ATTACHED & INCORPORATED HEREIN.	ALL BID RESPONSES <u>MUST</u> BE ENTERED ON THE ENCLOSED BID RESPONSE FORM UNLESS SPECIFIED OTHERWISE HEREIN.

NOTICE TO BIDDERS

Pursuant to the Rules and Regulations of the Chief Administrator for the Courts, sealed bids for furnishing the item(s) in this Request for Bid will be received at the above address. When submitting a bid, you must:

1. Complete this form in its entirety using ink or typewriter and return with all other documents.
2. Explain any deviations or qualifications if your bid deviates from the specifications. If necessary, attach a separate sheet setting forth such explanations.

3. Sign the bid. The bid must be completed in the name of the bidder (corporate or other) and must be fully and properly executed by an authorized person.

4. INDICATE THE BID NUMBER, THE BID OPENING DATE AND TIME ON THE ENVELOPE CONTAINING THE SEALED BID.

5. Mail the bid to the above agency address in sufficient time for it to be received before the specified bid opening. **LATE BIDS WILL BE REJECTED.**

BIDDER HEREBY CERTIFIES THAT THE ABOVE QUOTED (OR OTHERWISE NOTED) PRICES ARE APPLICABLE TO ALL CUSTOMERS FOR COMPARABLE QUANTITIES, QUALITY, STYLES OR SERVICES.

BIDS MUST BE SIGNED

Bidder's Firm Name:		Employer's Federal Identification Number:	
		NYS Vendor ID Number:	
Address Street	City	State	Zip
Bidder's Signature		Official Title	
Printed or Typed Copy of Signature		Area Code/ Telephone Number E-mail:	

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DOCUMENT ENCLOSURE CHECKLIST (2 pages)

_____ Pricing Sheet: Pricing Sheet **must be fully executed and included** in bidder's proposal. Failure to do so will immediately disqualify bidder's response.

The following forms must be fully executed and included in bidder's proposal. Failure to do so may disqualify bidder's response:

- _____ UCS Request for Bid/Proposal Form (rfb1.frm) and complete bid response with original signature
- _____ Attachment I - Standard Request for Bid Clauses & Forms
 - p.3 - Non-Collusive Bidding Certificate
 - p.4 - Corporate Acknowledgment
- _____ Attachment II - Not Applicable
- _____ Attachment III - Vendor Responsibility Questionnaire
 - Questionnaire filed online via OSC VendRep System and certified within 6 months of the bid opening due date, **or**
 - Paper questionnaire
- _____ Attachment IV - Procurement Lobbying forms
 - Disclosure of Prior Non-Responsibility Determination (UCS 420)
 - Affirmation of Understanding and Agreement (UCS 421)
- _____ Certificates of NYS Worker's Compensation and NYS Disability Benefits Insurance, or Certificate of Attestation of Exemption. Please see paragraph "Insurance Requirements" for a list of accepted forms.
- _____ Copies of bidder's certificate(s) of insurance or other adequate proof evidencing the insurance coverages required by the bid specifications

The following documents and information must be included in bidder's proposal. Failure to do so may disqualify bidder's response:

- _____ Three (3) complete copies of original bid response
- _____ List of references
- _____ Bidder's contact name
- _____ Description of bidder's ongoing experience providing the services required in this RFB
- _____ Description of bidder's confidentiality and security procedures for electronic files
- _____ Statement describing bidder's procedures to ensure complete confidentiality or records
- _____ Signed Document Enclosure Checklist
- _____ Proprietary information in separate folder from bid response, if applicable

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IMPORTANT:

1. All documents requiring an original signature must bear the BLUE INK signature of the same authorized individual. Signatory notarization must be that of the person whose signature is affixed to all required documents.
2. Exhibit A/Pricing Sheet and the other forms listed above must all have the SAME COMPANY NAME AND TAX ID NUMBER in order for a purchase order or contract to be approved by the NYS Comptroller.
3. Do not alter this solicitation in any manner. Any changes, deletions, or additions to this RFB, including Exhibit A/Pricing Sheet, will result in the rejection of this offer as non-responsive.
4. Please note that the terms and conditions of this RFB will form the basis of the contract with the awarded vendor.
- 5. Please verify that all required documents are included before signing.**

COMPANY NAME:

AUTHORIZED OFFICER'S NAME AND TITLE:

SIGNATURE: _____ DATE: _____

I. PURPOSE AND SCOPE

The New York State Unified Court System (hereafter “UCS”) Office of Court Administration (hereafter “OCA”) is soliciting sealed bids to establish a single, estimated quantity term contract for the printing and mailing of attorney registration forms.

Background

UCS/OCA sends several biennial registration notices as described in the paragraph below (hereafter the “Notice” or “Notices”) to each of the approximately 250,000 duly admitted New York attorneys. The Notices are mailed to the attorneys on a biennial schedule corresponding to the individual’s date of birth. This is an ongoing mailing and is done on a rolling basis each month.

All attorneys are provided with a **Registration Notice**, which is mailed to their home address on file. Attorneys who fail to respond to this first notice are mailed a **Second Notice**, to the business address on file, at a later date. Attorneys who do not respond to the first two (2) notices are mailed a **Final Notice**, to the home address on file. Attorneys who fail to respond to any of the first three (3) Notices are eventually sent a **Delinquency Notice**. Periodically during the year, **Special Notices** may be mailed to particular attorneys who may not have received one of the other categories of notices. **Replacement Notices** will also be required to be mailed on a weekly basis outside of scheduled monthly printing runs.

Each Notice also includes a *pro bono* form (“Pro Bono Form”) insert and a separate return envelope. This program is in its early stages and it is subject to termination at any time by UCS/OCA.

Estimated volume of each type of Notice and the Pro Bono Form during the initial three (3) year term of the award is provided in the specifications. The names and other relevant data to be printed on the Notice to each attorney for each category of Notices will be provided to the vendor monthly by DOT in electronic format. A sample data format is contained in the Data Files portion of this bid. The Pro Bono Form will not contain any individualized information.

The awarded vendor (“Vendor”) will be required to print, prepare as per the specifications and mail the Notices monthly, **within ten (10) business days after receipt of a data file from UCS/OCA**. The Registration Notice is expected to be an 8-page document with variable text on three (3) or four (4) pages and fixed text on all pages. UCS/OCA may require the fixed text to be revised at any time in its sole discretion. The most up-to-date Notice forms must be used for each month’s mailings.

On the first page of the Registration Notice, the variable data is only that data above the solid line halfway down the page and the text found below the state seal; it includes the address and

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variable notice information and text.

The Pro Bono Form is a one-page form, printed front and back.

After the attorney Notices are printed, each Notice must be triple-folded and inserted into a window envelope together with two (2) pre-printed reply envelopes, the Pro Bono Form and any other insert(s) (see samples in Exhibit D) provided by UCS/OCA. Vendor must submit the completed packages for mailing to the US Postal Service. There shall be no additional charge for this service. The UCS/OCA will reimburse the vendor for all postal costs which are not to be included in bidder's costs (See paragraph "Pricing.")

Please note that the term "Shells" refers to any Registration Notice or Pro Bono Form that does not contain any printed, personal data.

II. BID RESPONSE SUBMISSION

Bidder's Contact Name and Required Information

Bidder shall designate, in its bid response, a staff member as primary contact for all questions UCS/OCA may have regarding bidder's bid response. Bidder shall include in its bid response all forms, documents and information listed on the Document Enclosure Checklist.

Packaging, Identifying and Delivering of Bids/Proposals

Bids/Proposals must be clearly addressed and submitted to:

Marie-Claude Ceppi
Management Analyst
NYS Office of Court Administration
25 Beaver Street, R-850
New York, NY 10004

All envelopes/cartons must also be labeled with the following information on two sides:

Deliver immediately to Marie-Claude Ceppi R-850
Sealed bid - Do not open
RFB# OCA/AS-227 due Wednesday, January 4, 2017 at 3:00 p.m.

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Failure to seal and mark the bid/proposal as prescribed may result in non-delivery and/or rejection of the bid/proposal. Please note that bids/proposals must be received by the above-named OCA-designated person by Wednesday, January 4, 2017 at 3:00 pm at the latest or bids will be declared late bids and they will be disqualified. It is recommended that bidders allow several extra days for shipping in order to meet the deadline.

Do not bind or staple your bid response in any manner. Clips and rubber bands are the only acceptable methods of securing bid responses.

No-Bids

Bidders are requested to send a no-bid letter to OCA, Attn: Marie-Claude Ceppi, at the above address, should they decide not to answer this solicitation. The envelope shall be clearly marked in the lower left corner as follows: RFB# OCA/AS -227. No-bid letters may be sent by email to mceppi@nycourts.gov. Please indicate in "Subject" field: RFB# OCA/AS-227 – No-Bid.

III. AWARD

Term of Award

A single contract will be awarded for an initial term of three (3) years (“Initial Term”) effective on or around March 1, 2017. The UCS/OCA shall have the option to renew the contract for two (2) additional one (1) year terms (each, a “Renewal Term”) upon the same terms and conditions except unit pricing, which for each renewal period, shall be determined in accordance with the paragraph below entitled, “Price Adjustments.” The UCS/OCA also reserves the right to extend the contract for a maximum of six (6) months upon the same terms and conditions, including pricing, as of the expiration date of the Initial Term, or the first Renewal Term of the contract, as the case may be. The maximum term of the contract will be five (5) years. The initial contract, renewals and extension are subject to the approval of the NYS Attorney General and the NYS Comptroller.

Method of Award

A single contract shall be awarded to the responsible bidder, determined to be in compliance with this RFP/RFB and specifications, who submits the lowest Grand Total 3-Year Cost as indicated in the Pricing Sheet.

Site Visits

For purposes of bid evaluation, bidder's facilities shall be available for inspection by OCA during normal business hours. Subsequent to award, Vendor's facilities shall likewise be made available for periodic inspection. In all instances, notification will be communicated by appropriate OCA personnel.

IV. DETAILED SPECIFICATIONS

Mandatory Pre-Bid Conference

A mandatory pre-bid conference will be conducted at **11:00 AM** on Wednesday, December 21, 2016, at the Office of Court Administration, 25 Beaver Street, [Room 1106], New York, NY 10004. Bidders will be required to sign-in. Failure to attend will disqualify bidders' responses.

Questions

Any and all questions bidders may have in connection with this solicitation are to be directed by email only to:

Marie Claude Ceppi
mceppi@nycourts.gov

Please indicate in "Subject" field: RFB# OCA/AS-227 - Question(s)

The deadline to submit questions is Friday, December 16, 2016 before 5:00 pm. No questions will be entertained after this deadline, until the pre-bid conference. A written Questions & Answers (Q&A) listing all the questions received and their answers will be posted on the UCS website at www.nycourts.gov/admin/bids under RFB# OCA/AS-227, sent to the bidders list, and it will be distributed at the pre-bid conference. A revised Q&A reflecting the questions and answers from the pre-bid conference will be emailed only to the bidders who attended the mandatory pre-bid conference promptly after the pre-bid conference.

IMPORTANT: All questions regarding this solicitation must be in writing by email and directed solely to the attention of the above designated person. Contact by any prospective bidder, or any representative thereof, with any other personnel of the UCS in connection with this RFB/RFP may violate the Procurement Lobbying Act of 2005 (see Attachment IV), will jeopardize the

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respective bidder's standing and may cause rejection of its proposal.

Samples

UCS/OCA will provide sample Notices and Pro Bono Forms for examination at the mandatory pre-bid conference. Bidders will not be permitted to copy or remove samples.

See also Exhibit A - Sample blank Registration Notice and window and white reply envelopes, Exhibit B - Attorney Registration File Layout, and Exhibit C – Pro Bono Form and blue reply envelope.

Subcontracting

Subcontracting and any other transfer of any duties or obligation to be performed hereunder will be permitted only with the prior written consent of UCS to the proposed subcontractors. In the event that bidder proposes to use one or more subcontractors, the specific subcontractors and the services proposed to be performed by such subcontractors, must be listed in bidder's proposal. If a bidder that proposes to use one or more subcontractors in awarded the contract, the award will constitute the prior written approval of UCS to the subcontractors named in the bidder's proposal.

Vendor will be the prime contractor and will be responsible for all services required by this RFB/RFP. The UCS will communicate only with Vendor and Vendor shall remain wholly liable for the performance by and payment to any such subcontractors, their employees, agents, consultants or representatives.

Data Security and Confidentiality

Bidders and Vendor are hereby advised that any and all information, records, files, documents or reports generated by, or contained in, any media format (e.g. print, electronic) provided to contractor by an individual or component of the UCS, or otherwise obtained by contractor in the performance of contractual services, shall be considered confidential and shall be treated and maintained accordingly at all times. Neither the contractor nor any of its employees, agents, subcontractors, representatives, interns or volunteers shall at any time be permitted to utilize any such information for any purpose outside the scope of awarded contract without the express written authorization of UCS/OCA. Further, any and all material and documents, records and any other data or information developed by contractor, or any person or entity acting on behalf of contractor, remains the sole property of the UCS/OCA. Vendor, or subcontractors, may not make use of such data or information for any purpose outside the scope of awarded contract without the express knowledge and written consent of the UCS/OCA.

Vendor will also be prohibited from maintaining files and records provided to or generated by

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Vendor in a mobile or portable device. In addition, Vendor will be required to comply with the data security and confidentiality requirements of other government agencies that supply data to UCS/OCA.

Bidder must provide a complete statement describing in detail the procedures and steps bidder will follow to assure the complete confidentiality of the records. This description shall include the names and/or titles of the authorized officers within the company who will have access to these records and indicate how the computer records and physical media will be safeguarded. Failure to submit such statement shall disqualify bidder’s proposal.

V. SCOPE OF SERVICES/MATERIALS SPECIFICATIONS

A. Estimated Quantities

The following are the estimated number of Notices, Pro Bono Forms and envelopes, and additional inserts for the initial three-year term of the award.

Please note that all numbers are rounded.

NOTICES:	Year 1	Year 2	Year 3	Total 3 years
PRINTING OF BLANK NOTICES/“SHELLS”	150,000	150,000	123,330	423,330
NOTICES: PRINTING OF DATA ON NOTICES				
Registration Notices	87,000	124,400	79,800	291,200
Second notices	18,000	21,400	22,600	62,000
Final Notices	10,000	8,900	11,600	30,500
Delinquency Notices	8,400	13,100	8,700	30,200
Special Notices	600	400	630	1,630
Replacement Notices (approx. 50 per week)	2,600	2,500	2,700	7,800
Total Notices printed and inserted annually	126,600	170,700	126,030	423,330
Notices printed and inserted monthly	10,550	14,225	10,503	35,278

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PRINTING PRO BONO FORMS (No data)	126,600	170,700	126,030	423,330
Total Pro Bono Forms printed and mailed annually	126,600	170,700	126,030	423,330
Total Pro Bono Forms printed and mailed monthly	10,500	14,225	10,503	
ENVELOPES: SUPPLYING AND PRINTING				
#10 Window envelope with OCA return address printed in upper left corner	126,600	170,700	126,030	423,330
#9 White reply envelopes with return Address1	126,600	170,700	126,030	423,330
#9 Blue reply envelopes with return Address2	126,600	170,700	126,030	423,330
ADDITIONAL INSERTS:				
2 pre-printed inserts provided by UCS	253,200	341,400	252,060	846,660
Pro Bono Forms	126,600	170,700	126,030	423,330

B. Materials Specifications

Awarded Contractor will be required to supply, print and prepare Notices, Pro Bono Forms, envelopes and related documents for mailing as specified below:

1. Notices

- a. Notices - (See Exhibit A) Two 11" x 17" sheets folded to 8 ½" x 11" and then refolded to 3 ½" x 8 ½" for insertion into a Window Envelope (Standard # 10 or alternate size recommended by vendor). Inner sheet will be perforated as detailed below. No staples are required.
- b. Registration Notices (all Notices) After printing by Vendor, Vendor must collate (nest) and triple-fold both sheets and insert into window envelope, with the attorney's full name and complete address (including USPS bar code as appropriate) showing through window to ensure lowest possible mailing cost per piece.
- c. Registration Notices (all Notices) must be printed on the following stock: Shell/roll Paper: 60# Cascade Roll and Opaque Recycled Text - 50% Post Consumer.
- d. Perforation - Registration Notices - one vertical perforation on the fold of the inner 11" x 17" sheet (See Sample), one 8½" horizontal perforation from the right outside edge of the fold to allow removal of pages 3 & 4 to be returned as a response device.

2. Pro Bono Form

One 8 ½" x 11" sheet, printed front and back. The Pro Bono Form does not contain any personal information. UCS will send it camera-ready. The form will be triple-folded. (See Exhibit C.)

3. Envelopes

- a. Mailing Envelopes: Standard #10 (or alternate size recommended by vendor) as required to fit the Registration Notice and a reply envelope (See Exhibit A). Window size and location must be adequate to show the attorney's complete name and address information including the USPS bar code contained on each notice. Window patches must be securely fastened to prevent snagging of inserted materials. Envelope and window must conform to all current USPS standards and be able to be read and sorted by the USPS automated equipment, to ensure lowest possible mailing cost per piece. The OCA return address shall be printed in the upper left corner.

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b. Reply Envelopes –

- i. Standard #9 – Two (2) return address envelopes, one white and one blue, must be enclosed with each Notice and Pro Bono Form (See Exhibit A and C). These envelopes must comply with all current USPS standards and the size must be sufficient to fit inside of the mailing #10 window envelope without folding and be able to fit the return of up to three 8 ½" x 11" triple-folded sheets. The OCA return addresses (see below, Address 1 and Address 2) shall be printed in the deliver-to area.

White standard /#9 reply envelope - Address 1:

NYS Office of Court Administration
Attorney Registration Unit
General Post Office
P.O. Box 29327
New York, NY 10087-9327

Blue standard /#9 reply envelope – Address 2:

NYS Office of Court Administration
Attorney (Anonymous) Pro Bono Reporting
P.O. Box 5058
White Plains, NY 10602-5058

c. Envelope Stock shall be:

- i. #10 Envelope: Sub 24# #10 Over-size Window envelope
4-1/8" x 9-1/2" - White wove -Regular Gum - Poly Window
Window: 1-1/2" x 4-1/2"
Left 7/8", Bottom ½"
- ii. #9 Envelope: Sub 24# #9 CRE
3-7/8" x 8-7/8" - White Wove - Regular Gum - Closed Face, and
Blue Wove – Regular Gum – Closed Face.

d. Any envelope design must meet USPS regulations.

Please see samples of envelopes in Exhibits A and C.

4. Press work and Colors to be applied to Notices, Pro Bono Forms and Envelopes

- a. Notices are a 4-color process with 2 PMS Ink 194 and black.
- b. Registration Notice - Print 2 colors - 2 sides (and possible screens of color)
- c. Pro Bono Form – Print 2 colors – 2 sides.
- d. Envelopes - Print 1 color - 1 side
 - i. The # 9 and # 10 envelope shall have no safety tint on the inside.

9 White reply envelope - Address 1: OCA return address in black ink;
Top left corner: UCS seal as a watermark and 3 horizontal lines, black ink for sender's name and address.
 - ii. #9 Blue reply envelope – Address 2: OCA return address in black ink;
Top left corner: UCS seal as a watermark and PRO BONO REPORTING printed in capital letters and black ink across the seal.

5. Ink

PMS color to be specified for pre-printed portions of both the Registration Notices and envelopes. Black print for the variable information.

6. Vendor's/Manufacturer's Logo

No trade mark (other than a union designation), name, logo other identifying information of the Vendor or manufacturer of the Notices, Pro Bono Forms and envelopes specified herein may appear on any visible part of these documents.

C. Preparatory Materials

Note: All disks, mechanicals, magnetic tapes, plates and/or negatives used by the Vendor for the performance of services the awarded contract are, and shall remain, the property of the UCS and,

at OCA's request, they shall be returned to the UCS/OCA at no cost upon expiration or earlier termination of the awarded contract.

1. Copy

Camera ready files in electronic format (Quark Xpress or compatible) will be provided by OCA for the fixed text portion of the registration notice. **NOTE:** Upon written request, such files will be provided to Vendor for review in PDF or EPS format.

2. Data Files

1. A test data file and camera ready design will be provided to the Vendor. A sample file definition (Exhibit B-Attorney Registration File Layout) is attached, which **DOES NOT** constitute a final production definition. OCA shall provide this test data file in ASCII text format via e-mail directly to Vendor's e-mail account which shall be provided by Vendor, or by CD, floppy or tape, as determined by OCA.

2. Within three (3) weeks from receipt of test data file and design layout, Vendor shall supply a sample of each of the six (6) types of Registration Notice utilizing the sample data and incorporating a sample registration statement from the design layout.

OCA shall review the preliminary sample Registration Notice, and OCA shall provide any necessary corrections in writing. OCA may provide additional test data files in the format described above and/or design layouts to Vendor. Vendor shall then provide additional, or corrected, sample Registration Notices as needed for review and approval by OCA within one (1) week from receipt of such corrections or additional test data.

3. Additional testing and sample runs (in addition to E. Test Runs on p.17) may be required by OCA prior to actual monthly production runs to ensure that all necessary elements are included in a final production electronic data file, that all systems are working for delivery and acceptance, and that such files meet comply with all specifications. Vendor shall comply with such testing and provide sample runs within one (1) week from receipt of any such request by OCA. At the completion of this testing a final production data file and file definition will be determined by OCA. A final version of all six (6) types of Registration Notices and the Pro Bono Form must be approved by OCA in writing prior to production.

4. The method of delivery of the production data from OCA to Vendor **must be via FTP protocol**. Awarded contractor shall be required to maintain at its sole cost and expense up-to-date technology sufficient receive such **FTP protocol** transmissions to assure the security and integrity of the data file, ensure that all production data transmitted is received and

acknowledged by Vendor and include an audit check that all records are in fact printed and distributed.

5. Vendor may request that monthly data provided by OCA/DOT be sorted or unsorted. OCA shall endeavor to comply with reasonable requests regarding the sorting of data, but will approve such requests in its sole discretion. In the absence of a request by Vendor, data will be sorted as determined by OCA/DOT.

D. Orders, Proof(s), Communications

Orders: Any and all orders will be by issuance of a purchase order directly to the Vendor; provided, the terms and conditions of the awarded contract shall be controlling over any additional or conflicting terms and conditions contained in a purchase order issued to the Vendor.

Proofs: Vendor shall be required to produce and deliver a first proof of all Notices, the Pro Bono Form and all envelopes within ten (10) business days of receipt of purchase order. OCA shall have the right to make such corrections as it deems necessary. Vendor shall then produce a second proof of Notices, the Pro Bono Form and all envelopes for final approval by OCA within seven (7) business days of receipt of a corrected first proof.

All proofs shall be submitted to the attention of Sam Younger at the address set forth below in "Billing" or such other person or address as UCS/OCA shall designate.

Communications:

Any and all order changes, proof corrections, text changes, clarifications or other communications between OCA and the Vendor concerning the production of Notices, the Pro Bono Form and all envelopes **must be addressed in writing** (or via electronic transmission, upon agreement of UCS/OCA) to Sam Younger, Deputy Director of Administrative Services or such other person or address as UCS/OCA shall designate. Vendor shall likewise designate a person and address for receipt of such communications from OCA. Under no circumstances shall vendor act on verbal communications.

E. Test Runs

For purposes of verifying data interface and other operational necessities, one or more test runs of the forms may be required to be performed by Vendor, at the request of OCA. Vendor must

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provide a reasonable quantity of finished test Notices, Pro Bono Forms and envelopes (as determined by OCA) There shall be no separate or additional charge to OCA for such testing or the provision of Notices, Pro Bono Forms and envelopes.

F. Mailings

1. Frequency of Mailings

	Monthly	Weekly
Registration Notices	X	X
Second Notices	X	X
Final Notices	X	X
Delinquency Notices	X	X
Special Notices	X	X
Replacement Notices	X	X
Pro Bono Forms	X	X
2 pre-printed inserts provided by UCS	As needed	As needed

2. Mailing and Shipping

The Vendor shall be required to mail all registration notices and Pro Bono Forms in full compliance with all USPS regulations, and to submit items in the appropriate format and sorting to ensure that the documents are deliverable and qualify for maximum postal discounts for both domestic and foreign mail. A New York State postmark for mail affixed with first class postage, or New York State permit indicia for bulk mailings, is preferred but not required. Vendor shall be required to maintain a valid USPS bulk mailing permit during the term of the awarded contract.

3. Monthly Notice Mailings

Vendor must deposit monthly Registration Notice and Pro Bono Forms mailings with the U.S. Postal Service no later than the last business day of the month in which monthly mailing data have been delivered to Vendor; or if monthly data has been delivered less than 10 business days before the end of the month, within 10 business days of such delivery. The monthly data file will generally be provided to the Vendor on approximately the 15th of each month.

4. Weekly notice mailings

OCA will transmit a separate weekly data file for weekly Notice mailings, which may include Replacement Notices, Second Notices, Final Notices, Delinquency Notices, Special Notices. Vendor must deposit weekly mailings with the U.S. Postal Service no later than 7 days from the delivery to Vendor of weekly data. Where feasible, within specified time frames, Vendor will be expected to bulk mail weekly mailings together with the monthly Registration Notice mailings; where not feasible within specified time frames, Vendor mail separately and shall affix first class postage to such mailings. Weekly mailings will include Notices and the Pro Bono Form.

There shall be no additional charge for transport and delivery of mailings to the U.S. Postal Service.

5. Bar Coding

- a. **POSTNET bar codes** - USPS compliant bar codes must be derived by the vendor from the address data that will be supplied by the OCA. Notices must have delivery addresses in all 50 states, the District of Columbia, as well as foreign countries. The vendor must print the **postnet** bar code or equivalent in one of two places: 1) the address block on the notice form - p.1, or 2) on the outside of the envelope.
- b. **Tracking bar code** - an internal OCA bar code for tracking notice forms in OCA systems will also be required to be printed on p.3 of the registration notices, below the attorney's registration number. The elements included in this bar code will be determined by OCA in the final design of the notice.

6. Pulls of Notices

Certain Notices may be required by OCA to be removed from a monthly or weekly mailing following the printing and insertion. Such Notices shall be forwarded directly to the OCA office. Requests for these pulls shall be made in the manner provided in the "Communications" provision above. Vendor will make such pulls without additional charge. Pulls may be an individual Notice or insert for a specific individual(s) and not mailed, instead re-directed at UCS/OCA discretion.

7. Other Pre-Printed Inserts

OCA shall have the option to submit pre-printed enclosures in addition to Notices and Pro Bono Forms, which Vendor shall insert into mailings. Vendor may charge an additional fee for such service. (See Pricing Sheet.) Additional postage costs, if any, resulting from these inserts will be included in postage cost reimbursements.

VI. PRICING AND BILLING

Pricing

Except as otherwise expressly set forth herein, pricing shall net f.o.b. destination and include all costs for the performance of the services described herein, including plates and negatives. Additionally, pricing shall be submitted only on, and in the format prescribed by the Pricing Sheet. Unless specified otherwise herein, all prices shall remain unchanged throughout the Initial Term of the awarded contract.

OCA will pay a reasonable editing fee for corrections made to a previously approved proof; provided, corrections due to Vendor error are to be without charge. Bidder must indicate editing charges, if any, for corrections/fixed text modifications, where provided on the Pricing Sheet; such corrections/fixed text modifications have represented an average of sixty (60) hours of work over the last three years.

Bidder shall quote pricing on a per thousand basis (“unit price”) for each of the categories indicated in the Pricing Sheet.

Pricing shall include all mailing services to be performed and delivery to the US Post Office for mailing, but not postal costs. UCS will reimburse Vendor for postal costs (see also Billing).

Price Adjustments

Pricing shall remain unchanged for the initial three (3) year term of the contract. Pricing shall be subject to increase as of the commencement date of each Renewal Term by the percentage equal to the lesser of: (i) the increase, if any, in the Consumer Price Index for All Urban Consumers (CPI-U); U.S. Cities Average; All items; not seasonally adjusted, 1982-1984 = 100 reference base (“CPI”) as of the third month prior to the commencement date of each such Renewal Term, over the CPI as of the third month prior to the commencement date of the immediately prior term of the Agreement, or (ii) five percent (5%). Pricing shall thereafter remain unchanged for the

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balance of each such term, and shall further remain unchanged during any extension term of the Agreement.

Billing

Vendor shall submit true and accurate invoices on a monthly basis to: “OCA Attorney Registration, Attn: Sam Younger, Deputy Director of Administrative Services, 25 Beaver Street, R-854, New York, NY 10004”, or such other person or address as UCS/OCA shall designate. Invoices must separately identify the month’s production quantity and postage amounts. Postage amounts must be supported with sufficient documentation issued by the US Postal Service - PS3600-R or equivalent. Payment shall be made monthly in arrears and shall be made within thirty (30) days of submission by Vendor and approval by UCS of invoices satisfactory to UCS and OSC.

PRICING SHEET (3 pages)

Note: Bidders must enter all pricing required by the specifications on this form. In case of bidders' miscalculation, unit price will prevail. No pricing for postal reimbursements is required.

Please note that all numbers are rounded and are estimated quantities

	Unit price:		
NOTICES:	Price per thousand	X Initial 3-year quantities	= Total 3-Year Cost
PRINTING OF BLANK NOTICES ("SHELLS")	\$ _____	423,330	\$ _____
NOTICES: PRINTING OF DATA ON NOTICES			
Registration Notices	\$ _____	291,200	\$ _____
Second notices	\$ _____	62,000	\$ _____
Final Notices	\$ _____	30,500	\$ _____
Delinquency Notices	\$ _____	30,200	\$ _____
Special Notices	\$ _____	1,630	\$ _____
Replacement Notices (approx. 50 per week)	\$ _____	7,800	\$ _____
Total Notices printed and inserted – 3 years		423,330	
Total 3-Year Cost			\$ _____

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	Price per thousand	X Initial 3-year quantities	= Total 3-Year Cost
PRINTING PRO BONO FORMS (No data) Total PB forms printed and mailed	\$ _____	423,330	\$ _____
ENVELOPES: SUPPLYING AND PRINTING			
#10 Window envelope with OCA return address printed in upper left corner	\$ _____	423,330	\$ _____
#9 White reply envelopes with return Address1	\$ _____	423,330	\$ _____
#9 Blue reply envelopes with return Address2	\$ _____	423,330	\$ _____
Total 3-Year Cost			\$ _____
ADDITIONAL INSERTS:			
2 pre-printed inserts provided by UCS	\$ _____	846,660	\$ _____
Pro Bono forms	\$ _____	423,330	\$ _____
Total 3-Year Cost			\$ _____
MISCELLANEOUS			
Fixed text modifications per hour editing cost	\$ _____/hour	X 60 hours	= \$ _____
GRAND TOTAL, 3-YEAR COST			\$ _____

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PRICING SHEET (Cont.)

Name of Firm

Authorized Signature

Date

Name in print

Title

VII. EXHIBITS

Exhibit A Samples
NYS Attorney Registration Notice/Form
#10 Window Envelope
#9 White Reply Envelope – Address 1

Exhibit B
Attorney Registration File Layout

Exhibit C
Pro Bono Form
#9 Blue Reply Envelope – Address 2

Exhibit D
Sample of Pre-Printed Inserts

VIII. The RFB/RFP PROCESS: GENERAL SPECIFICATIONS

Note to Bidders

1. Attachment I - Standard Request for Bid Clauses & Forms and Attachment IV - Procurement Lobbying Law required forms

In addition to such other specifications and criteria as are presented herein, the NYS Unified Court System Attachment I - Standard Request for Bid Clauses & Forms , and Attachment IV - Disclosure of Prior Non-Responsibility Determination (UCS 420) and Affirmation of Understanding and Agreement (UCS 421) pursuant to the Procurement Lobbying Act, which must be downloaded or printed from the UCS Contract & Procurement website under “Addenda” for the appropriate solicitation, are incorporated and made a part of this solicitation.

2. Attachment III - Vendor Responsibility Questionnaire

The NYS Unified Court System (UCS) is required to conduct a review of a prospective contractor to provide reasonable assurances that the vendor is responsible. The required Vendor Responsibility Questionnaire is designed to provide information to assist UCS in assessing a vendor’s responsibility prior to entering into a contract with the vendor. Vendor responsibility is

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determined by a review of each prospective contractor's legal authority to do business in New York State, business integrity, financial and organizational resources, and performance history (including references).

The UCS recommends that vendors file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. However, vendors may choose to complete a paper questionnaire and submit it with their proposal.

Online Questionnaire: To enroll in and use the New York State VendRep System, see the VendRep System Instructions available at <http://www.osc.state.ny.us/vendrep/index.htm> or go directly to the VendRep System online at <https://portal.osc.state.ny.us/Enrollment/login>. Vendors must provide their New York State Vendor Identification Number when enrolling (see paragraph headed 'New York State Vendor File Registration' for instructions on obtaining a Vendor Identification Number.) For VendRep System assistance, contact the Office of the State Comptroller's Help Desk at 866-370-4672 or 518-408-4672 or by email at ITServiceDesk@osc.state.ny.us.

Bidders who file the Vendor Responsibility Questionnaire online via the OSC VendRep System are requested to checkmark the appropriate box on the Document Enclosure Checklist. Please note that online submissions must be certified and dated/updated not more than six (6) months prior to the bid opening date of this RFB/RFP. Bidders' authorized signature of the RFB/RFP form will serve as confirmation that bidders have knowingly filed their questionnaire online if the paper questionnaire is not included with the bidder's submission.

Paper Questionnaire: Vendors opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the VendRep website www.osc.state.ny.us/vendrep/forms_vendor.htm or may contact the UCS or the Office of the State Comptroller's Help Desk for a copy of the paper form.

3. New York State Vendor File Registration

Prior to being awarded a contract pursuant to this solicitation, the bidder(s) must be registered in the New York State Vendor File (Vendor File) administered by the OSC. This is a central registry for all vendors who do business with New York State agencies and the registration must be initiated by a State agency. Following the initial registration, a unique New York State ten-digit vendor identification number (Vendor ID) will be assigned to vendors for usage on all future transactions with New York State. Additionally, the Vendor File enables vendors to use the Vendor Self-Service application to manage certain vendor information in one central location for all transactions related to the State of New York.

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If the bidder is already registered in the Vendor File, the vendor must enter the vendor's ten-digit Vendor ID on the first page of this bid document.

If the bidder is not currently registered in the Vendor File, upon award of a contract the Bidder must complete the OSC Substitute W-9 Form (http://www.osc.state.ny.us/vendors/forms/ac3237s_fe.pdf) and submit the form to UCS. **The UCS will initiate the vendor registration process** for the awarded contractor. Once the process is initiated, awarded contractor will receive an e-mail identifying their unique ten-digit Vendor ID and instructions on how to enroll in the online Vendor Self-Service application. For more information on the Vendor File please visit the following website: http://www.osc.state.ny.us/vendor_management/.

Online RFB/RFP Package: Disclaimer

Bidders accessing any UCS/UCS/OCA solicitations and related documents from the New York State UCS website www.nycourts.gov/admin/bids under "Current Solicitations" shall remain solely and wholly responsible for reviewing the respective solicitation & bid documents on the internet regularly, up to the scheduled date and time of the bid/proposal due date, to ensure their knowledge of any amendments, addenda, modifications or other information affecting the solicitation or bid documents in question.

Bid Response/Proposal: Original and Copies

Bidders shall submit all the following required **original RFB/RFP documents**: Bid/Proposal; Executed RFB/RFP Form; Attachment I - pages 3, 4, of 10; Attachment III - Vendor Responsibility Questionnaire (questionnaire may be filed electronically with OSC); Attachment IV - Disclosure of Prior Non-Responsibility Determinations UCS 420 and Affirmation of Understanding and Agreement UCS 421; proof of Workers' Compensation and Disability Benefits insurance coverage (See "Insurance Requirements"); and any other required documentation, brochures, etc. listed on the Document Enclosure Checklist. Complete the paperwork on the forms provided with this solicitation unless otherwise requested. Do not retype or amend any portion of this solicitation. Failure to provide all original documents and the requested number of copies may result in disqualification of a bidder's response.

NYS OGS General Specifications

New York State Office of General Services (NYSOGS) General Specifications (May 2015) are incorporated herein by reference, except to the extent any provision thereof is not applicable to UCS. Any reference in the NYSOGS General Specifications to ‘Commissioner’ shall be deemed to refer to the Chief Administrator of the Courts or the designee of the Chief Administrator. In the event of any conflict or express or implied ambiguity between this solicitation document, including attachments hereto, and the NYSOGS General Specifications, this solicitation document shall take precedence. The NYSOGS General Specifications are available at: <http://www.ogs.ny.gov/purchase/spg/pdfdocs/CL815.pdf>.

Binding Nature of Bid/Proposal on Bidders

All bids/proposals shall remain binding on bidders until such time as UCS/OCA provides written notification of its intent to award the contract to a specific bidder or until the bidder withdraws its bid/proposal in writing, whichever occurs first.

Estimated Quantities

Any quantities specified in this solicitation constitute estimates only, and accordingly no commitment or guarantee to reach any specified volume of business is made or implied.

Compliance with Laws

Awarded contractor(s) must comply with all applicable federal, state and local laws, rules and regulations, including but not limited to, fire, health and safety codes, prior to and during the provision of all services under the contract resulting from this RFB/RFP.

Independent Contractor Status

It is expressly understood and agreed that the awarded contractor's status shall be that of an independent provider of services and that no officer, employee, servant or subcontractor of the contractor is an employee of the UCS, OCA or State of New York. The awarded contractor shall be solely responsible for the work, assignment, compensation, benefits and personal conduct and standards of all such persons assigned to the provision of services. Nothing herein shall be construed to impose any liability or duty on the UCS, OCA or State of New York to persons, firms, consultants or corporations employed or engaged by the awarded contractor either directly or indirectly in any capacity whatsoever, nor shall the UCS, OCA or State of New York be liable for any acts, omissions, liabilities, obligations or taxes of any nature including,

but not limited to, unemployment and Workers' Compensation insurance of the awarded contractor or any of its employees or subcontractors.

Rejected and Unacceptable Bids/Proposals

UCS reserves the right to reject any and all proposals or bids submitted in response to this solicitation. In addition, UCS may reject any bids/proposals from any bidders who are in arrears to the State of New York upon any debt or performance of any contract; or who have previously defaulted on any contractual obligations, (as contracting party, surety or otherwise), or on any obligation to the State of New York; or who have been declared not responsible or disqualified by any agency of the State of New York, who have any proceeding pending against them relating to the responsibility or qualification of the bidders to receive public contracts, whose proposal is incomplete or otherwise non-responsive in any material respect, or who are found to be non-responsible based on any of the criteria specified in the section headed 'Responsible Bidder'.

UCS also reserves the right to reject any bidder: (i) whose facilities and/or resources are, in the opinion of OCA, inadequate, too remote from the UCS locations to render services in a timely manner in accordance with all requirements of this solicitation; (ii) who does not provide references in accordance with the bid specifications, or whose references report significant failure to comply with specifications; or (iii) who are otherwise, in the opinion of OCA, unable to meet specifications.

Responsible Bidder

A bidder shall be defined as "responsible" in accordance with, but not limited to, references, past performance history, financial stability, the criteria set forth in paragraph 2 of the General Specifications (Attachment III-Vendor Responsibility Questionnaire), and the criteria set forth in the paragraph headed "Rejected and Unacceptable Bids/Proposals" as well as any other criteria necessary and reasonable to establish the bidder's responsibility.

Clarification/Correction of Bids/Proposals

In addition to any rights articulated elsewhere in this solicitation, UCS reserves the right to require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of a bidder's proposal and/or to determine a bidder's compliance with the requirements of this solicitation. This clarifying information, if required in writing by UCS, must be submitted by the bidder, in accordance with formats as prescribed by UCS at the time said information is

requested and, if received by the due date set forth in UCS's request for clarification, shall be included as a formal part of the bidder's proposal. Clarifying information, if any, whether provided orally, visually or in writing will be considered in the evaluation process. Failure to provide required information by its associated due date may result in rejection of the bidder's proposal. Nothing in the foregoing shall mean or imply that it is obligatory upon UCS to seek or allow clarifications or corrections as provided for herein.

References

Each bidder must provide at least three (3) references, other than UCS, including the company/agency name, complete address, contact name, title, telephone number and email address, for whom the bidder has provided similar services at any time during the past three (3) years.

Indemnity

Awarded contractor shall indemnify, defend and hold harmless UCS, its officers and employees from and against any and all claims, causes of action, damages, costs, liabilities and expenses of any kind (including reasonable attorney's fees and the cost of legal defense) which UCS may incur by reason of: (i) awarded contractor's breach of any term, provision, covenant, representation or warranty contained in the contract awarded as a result of this bid; (ii) any act, omission, negligence or intentional misconduct of awarded contractor or its employees, subcontractors, agents, volunteers or of other persons under its direction and control; (iii) awarded contractor's performance or failure to perform under the contract; and (iv) enforcement by UCS of the awarded contract or any provisions thereof.

Unified Court System Self-Insurance

UCS, a New York State governmental entity, is self-retained for risk of loss and liability.

Insurance Requirements

Awarded contractor shall be required to maintain during the term of the contract, including any renewal terms, at their own cost and expense:

1. Workers' compensation and disability benefit insurance coverage as required under NYS law. **Each vendor must provide with its proposal proof of such workers' compensation**

and disability benefits insurance coverage or, if it is legally exempt from such coverage, proof of exemption. Vendor must obtain the appropriate Workers Compensation Board forms from its insurance carrier or licensed agent, or must follow the procedures set forth by the Workers' Compensation Board for obtaining an exemption from coverage. See Workers' Compensation Board website at <http://www.wcb.ny.gov> under "Forms" for a manual listing required forms and procedures. Any questions regarding workers' compensation coverage requirements or debarments should be directed to:

Workers' Compensation Board
Bureau of Compliance
(518) 462-8882
(866) 298-7830

Only the following forms will be accepted:

Proof of Workers' Compensation Coverage

- **Form C-105.2** - Certificate of Workers' Compensation Insurance issued by private insurance carriers; or
- **Form U-26.3** issued by the State Insurance Fund; or
- **Form SI-12** - Certificate of Workers' Compensation Self-Insurance; or
- **Form GSI-105.2** - Certificate of Participation in Workers' Compensation Group Self-Insurance; or
- **Form CE-200** - Certificate of Attestation of Exemption from NYS Workers' Compensation and/or Disability Benefits Coverage.

Proof of Disability Benefits Coverage

- **Form DB-120.1** - Certificate of Disability Benefits Insurance, or
- **Form DB-155** - Certificate of Disability Benefits Self-Insurance; or
- **Form CE-200** - Certificate of Attestation of Exemption from NYS Workers' Compensation and/or Disability Benefits Coverage.

On forms that have a space for a certificate holder to be listed, the carrier must enter:

NYS Unified Court System
Office of Court Administration
25 Beaver Street, Room 850
New York, NY 10004

The insurance carrier will notify the certificate holder if a policy is canceled. Please note: An ACORD Certificate of Insurance is not acceptable proof of NYS workers' compensation or disability benefits insurance coverage.

For additional information regarding worker's compensation and disability benefits

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requirements, please refer to the New York State Workers' Compensation Board website at: <http://www.wcb.ny.gov> under "Employers/Businesses."

2. Commercial General Liability Insurance (bodily injury and property damage on an occurrence basis), contractual and products/completed operations liability coverage, and auto liability with minimum limits as follows:

Bodily Injury and Property Damage	\$1 million, per occurrence, \$2million, aggregate
Personal Injury and Advertising:	\$1 million aggregate
Contractual and Products/ Completed Operations	\$2 million aggregate
Auto Liability, Combined single limits	\$1 million

Commercial General Liability insurance coverage shall be obtained from commercial insurance carriers licensed to do business in the State of New York.

Confidentiality

Bidder acknowledges that any and all information, records, files, documents or reports contained in any media format provided to the bidder by the court, or which may be otherwise encountered by bidder shall be considered extremely confidential and shall be handled accordingly at all times. Neither the bidder nor any of its employees, servants, Contractors, agents or volunteers shall at any time be permitted to utilize such confidential information for any purpose outside the scope of any resulting agreement without the express prior written authorization of UCS. Any breach of this confidentiality by the bidder or by any of its employees, servants, subcontractors, agents, or volunteers may result in the immediate termination of any resulting agreement by UCS and may subject the bidder to further penalties.

Awarded Contractor shall use, and require its employees and authorized agents to use, at least the degree of care a reasonably prudent person would use to protect and prevent improper access to the records.

Confidential/Proprietary Information

If applicable, bidders should specifically identify those portions of the proposal deemed to contain confidential or proprietary information or trade secrets, and must provide justification why such material, upon request, should not be disclosed to parties other than UCS. Bidders are advised that any material deemed confidential by bidder may still be subject to disclosure in connection with any governmental or judicial proceeding or inquiry or as may be required by applicable law, including but not limited to Article 6 of the New York Public Officers Law (Freedom of Information Law). Such confidential/proprietary information must be easily separable from the non-confidential sections of the proposal.

Financial Stability

Upon request by UCS, bidder shall provide its audited financial statements prepared in accordance with GAAP-Generally Accepted Accounting Principles for the past three (3) consecutive years and a copy of its last three (3) annual reports.

Termination

Early termination of the contract for cause may result in, among other consequences, all remedies available to UCS and New York State, the awarded contractor both being declared non-responsible by the UCS/UCS/OCA, pursuant to the UCS and Office of the State Comptroller's guidelines on vendor responsibility and in the contractor's removal from the UCS/UCS/OCA's bidders list for future solicitations.

Implied Requirements

Products and services that are not specifically requested in this solicitation, but which are necessary to provide the functional capabilities proposed by the bidder, shall be included in the offer except as specified herein.

Silence of the Specifications

The apparent silence of the specifications contained as part of this package as to any detail or to the apparent omission of a detailed description concerning any point, shall be regarded as meaning that only the best commercial practices are to prevail. All interpretations of these specifications shall be made on the basis of this statement.

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New York State ATTORNEY REGISTRATION

NYS attorneys now have the option to file their biennial registration electronically – you may register online by going to WWW.NYCOURTS.GOV/ATTORNEYS

L43293-002519

Reg.# 1234567

JOHN Q. SAMPLE
800 E 56th Street - Apt 2406
NEW YORK, NY 10009-2425



REGISTRATION NOTICE

Enclosed is your ATTORNEY REGISTRATION FORM for the following biennial period: 2016-2017

Your registration is due within 30 days after your birthday this year.

*** If you are an attorney on active military duty, the time to file your registration will be extended. Military Law, §308-b. Please contact, or have someone on your behalf contact, the Attorney Registration office.**

Section 468-a of the Judiciary Law and 22 NYCRR Part 118 of the Rules of the Chief Administrator of the Courts require the biennial registration of all attorneys admitted in the State of New York, whether they are resident or nonresident, active or retired, or practicing law in New York or anywhere else. All attorneys are required to renew their attorney registration every two years, within 30 days after the attorney's birthday. The fee for this registration is \$375.00 (of which \$60.00 is deposited in the Lawyers' Fund for Client Protection, \$50.00 in the Indigent Legal Services Fund, \$25.00 in the Legal Services Assistance Fund, and the remainder in the Attorney Licensing Fund). No fee is required from an attorney who certifies that he or she is retired from the practice of law as defined in 22 NYCRR 118.1(g). Please review the instructions for Section B to determine if you may claim the exemption to the fee.

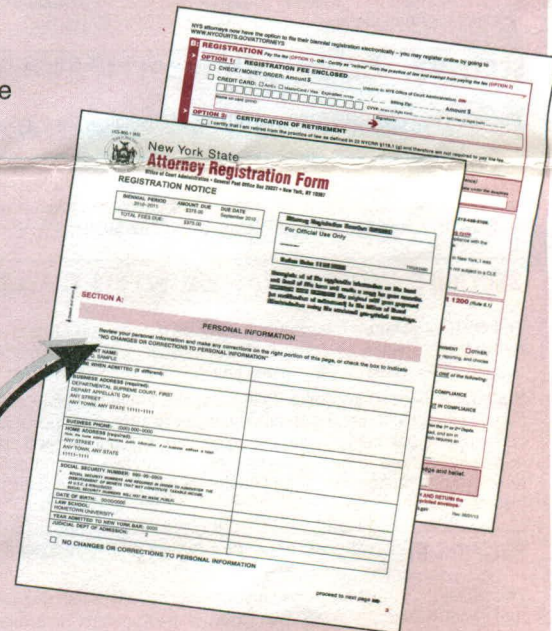
All attorneys admitted in New York are required to file the biennial registration form, either with payment of the registration fee or with a certification of retirement.

To re-register, you must complete the following sections of the registration form:

- SECTION A: Personal Information
- SECTION B: Payment or Certification of Retirement
- SECTION C: Mandatory Continuing Legal Education
- SECTION D: Anonymous Report of Voluntary *Pro Bono* Services and Contributions (Separate filing - see instructions)
- SECTION E: Compliance with Child Support Obligations
- SECTION F: Affirmation of Compliance with Part 1200 (Rule 1.15)
- SECTION G: Verification
- SECTION H: Demographic Information (Optional)

Detach and return the form to:

NYS Office of Court Administration, Attorney Registration Unit
General Post Office, PO Box 29327, New York, NY 10087-9327



SECTION A: PERSONAL INFORMATION

Your personal information currently on file with the Attorney Registration office is shown in Section A. Review that information carefully and make any corrections or address changes in the appropriate area on the form.

Name changes: (other than correction of misspellings) must be authorized by the Appellate Division in which you were admitted. The Attorney Registration Unit will accept name changes only upon written order from an Appellate Division. Contact the appropriate Appellate Division to obtain instructions for changing your name officially in the roll of attorneys.

First Department (646) 386-5893
Second Department (718) 875-1300

Third Department (518) 471-4778
Fourth Department (585) 530-3100

Addresses and phone number: If your address or any other information changes during the biennial registration period, you are required to notify the Office of Court Administration (in writing) within 30 days. §118.1(f). Note that if no business address is provided, the home address becomes public information. §118.2(b)(1).

E-mail address (Optional): Note: if provided, the e-mail address will be made public.

Social Security number: Social Security numbers are required in order to administer the collection of revenue obtained from attorney registration fees. 42 U.S.C. §405 (c) (2)(C)(i). Social Security numbers will not be made public.

SECTION B: PAYMENT OR CERTIFICATION OF RETIREMENT

The biennial registration fee is \$375.00. Indicate your method of payment and include the payment with the registration form - **OR** - sign the Certification of Retirement, if appropriate.

Payment must be made in US dollars. Acceptable methods of payment are:

Check drawn on a US bank

Money order

Bank draft drawn on a US bank

Credit card (Visa, MasterCard or AmEx only)

Traveler's check

Any bank service charges incurred in this transaction are your responsibility; your payment may be returned to you if the final balance submitted to our office is less than \$375.00. Include your name and seven-digit Attorney Registration Number (located on the enclosed form) on your check, bank draft, traveler's check or money order.

Certification of Retirement: The Certification of Retirement may be signed if you meet the requirements for being "retired from the practice of law" as defined in §118.1(g) of the Rules of the Chief Administrator. An attorney who signs this certification does not have to pay the \$375.00 biennial registration fee. New York does not have an inactive status for attorneys. §118.1(g) defines "practice of law," and it provides:

"An attorney is 'retired' from the practice of law when, other than the performance of legal services without compensation, he or she does not practice law in any respect and does not intend ever to engage in acts that constitute the practice of law."

Attorney Emeritus: Eligible attorneys (55 years of age or older and with 10 years of experience) may opt to participate in the Attorney Emeritus program by signing in the space provided.

SECTION C: MANDATORY CONTINUING LEGAL EDUCATION

You must report your CLE activity since your last attorney registration (the "CLE reporting cycle"), which should generally be the prior two years. For newly admitted attorneys the time period may be shorter or longer than two years. See, 22 NYCRR §118.1(c). **All members of the NY Bar are presumed to be practicing law in New York unless otherwise shown.**

CERTIFICATION OPTIONS:

Certification 1- complete if you practiced law in New York during all or part of the CLE reporting cycle and are in full compliance with the credit requirements for that cycle. Report the number of CLE credit hours completed during the CLE reporting cycle.

Certification 2- complete if you are exempt from the CLE requirement for the CLE reporting cycle because you: did not practice law in New York (the practice of law does not include the performance of judicial or quasi-judicial functions), were "retired" from the practice of law (as defined in section 118.1(g)), or were a full-time member of the military on active duty. See 22 NYCRR §1500.5(b).

Certification 3- complete if you cannot attest to either your full compliance with or exemption from the CLE requirement for the CLE reporting cycle. You must apply to the CLE Board for an extension of time in which to complete your CLE credits hours or, if applicable, for a waiver or modification of the requirement. See 22 NYCRR §1500.5(a).

CREDIT REQUIREMENTS:

Experienced Attorneys: (Attorneys admitted to the NY Bar more than two years). Experienced attorneys must complete twenty-four (24) CLE credit hours for each CLE reporting cycle, of which at least four (4) must be in Ethics and Professionalism. A maximum of six (6) of these hours may be carried over from the last reporting cycle.

Newly Admitted Attorneys: (Attorneys admitted to the NY Bar two years or less). Newly admitted attorneys must complete sixteen (16) transitional CLE credit hours in each of the first two years following admission. The 16 hours must be in these categories: three (3) hours of Ethics and Professionalism, six (6) hours of Skills, and seven (7) hours of Law Practice Management and/or Areas of Professional Practice. If this registration is due less than two years after your admission to the Bar, you may certify that you are in full compliance if you completed at least 16 CLE credit hours in the proper categories during your first year of admission; **you must complete the remaining 16 CLE credit hours during the remainder of your second year of admission.** If this registration is due more than two years after your admission to the Bar, you may certify that you are in full compliance if you completed the 16 CLE credit hours required for each of your first two years of admission to the Bar.

Information on New York's CLE program, including the rules, regulations and guidelines, frequently asked questions and application forms, available at: www.nycourts.gov/attorneys/cle. You may also contact the CLE office at (212) 428-2105 or at CLE@nycourts.gov.

SECTION D: COMPLIANCE WITH ANONYMOUS PRO BONO REPORTING OBLIGATION

Pursuant to 22 NYCRR §118 you **MUST** anonymously file a report of *pro bono* services and contributions as defined in Rule 6.1 of the Attorney Rules of Professional Conduct, and may voluntarily report additional *pro bono* service and charitable contributions. These reports are filed on a separate **Anonymous Report of Voluntary Pro Bono Services and Contributions**, and should be mailed in the separate (blue) envelope included with this registration packet to: **OCA, P.O. Box 5058, White Plains, NY 10602-5058.**

Detailed instructions about the filing process are contained in the form, and may also be found at www.nycourts.gov/attorneys/probono.

Once you have filed the **Anonymous Report**, you must also sign and date the Attorney Registration Form attesting that fact in section D. A failure to sign and date this section will render the Registration Form incomplete and deficient.

SECTION E: COMPLIANCE WITH CHILD SUPPORT OBLIGATIONS

The NYS Legislature has required that, as a condition of renewal of professional license registration, applicants verify their compliance with outstanding obligations to pay child support. See, General Obligations Law §3-503.

Statement 2- You may check if either (1) you are in compliance with any such obligation; or (2) you are not four months or more in payment arrears of child support; or (3) you are making child support payments by income execution, by court agreed payment or repayment plan, or by plan agreed to by the parties; or (4) the child support obligation is the subject of a pending court proceeding; or (5) you are receiving public assistance or supplemental security income.

Statement 3- Must be checked if you are four months or more in arrears of a child support payment obligation, and do not meet condition (3), or (4), or (5) *supra*.

Persons who are four months or more in arrears in child support or who have failed to comply with a summons, subpoena or warrant relating to a paternity or child support proceeding may be subject to suspension of their business, professional, drivers and/or recreational licenses and permits including, but not limited to, licenses issued pursuant to Environmental Conservation Law § 11-0713. The intentional submission of false written statements for the purpose of frustrating or defeating the lawful enforcement of child support obligations is punishable pursuant to Penal Law §175.35.

SECTION F: AFFIRMATION OF COMPLIANCE

This affirmation must be signed if your practice falls within the jurisdiction of either the First or Second Judicial Departments. See 22 NYCRR §§603.1(a) and 691.1(a). You should review Part 1200 (Rule 1.15) of the Joint Rules of the Appellate Divisions, as well as 22 NYCRR §603.15 (First Department) and §691.12 (Second Department).

SECTION G: VERIFICATION

Sign and date the registration form, affirming that all of the statements made are true, and return it (with your payment) to the Office of Court Administration in the pre-printed envelope.




New York State Attorney Registration Form

Office of Court Administration • General Post Office Box 29327 • New York, NY 10087

REGISTRATION NOTICE

BIENNIAL PERIOD	AMOUNT DUE	DUE DATE
2016-2017	\$375.00	November 2016
TOTAL FEES DUE:		\$375.00

Attorney Registration Number: <u>1234567</u>
For Official Use Only

* 5 0 2 6 1 9 0 2 0 1 6 2 0 1 7 *
1136915461
Notice Date: 10/01/2016

Complete all of the applicable information on the front and back of this form and make a copy for your records. DETACH AND RETURN the original with your payment (or certification of retirement) to the Office of Court Administration using the enclosed pre-printed envelope.

SECTION A:

PERSONAL INFORMATION

Review your personal information and make any corrections on the right portion of this page, or check the box to indicate "NO CHANGES OR CORRECTIONS TO PERSONAL INFORMATION"

PERSONAL INFORMATION

PRINT CHANGES OR CORRECTIONS BELOW

CURRENT NAME:	
NAME WHEN ADMITTED (if different):	
BUSINESS ADDRESS: <i>FIRM NAME STREET ADDRESS CITY, STATE ZIP</i>	
BUSINESS PHONE:	
E-MAIL ADDRESS (optional): <i>Note: if provided, the e-mail address will be made public.</i>	
HOME ADDRESS (required): <i>Note: the home address becomes public information if no business address is listed.</i> <i>STREET ADDRESS CITY, STATE ZIP</i>	
SOCIAL SECURITY NUMBER: <i>XXX-XX-1234</i> <i>Social Security numbers are required in order to administer the collection of revenue from attorney registration fees. 42 U.S.C. § 405(c)(2)(C)(i). Social Security numbers will not be made public. The first 5 digits of your Social Security Number have been concealed to protect your confidentiality.</i>	
DATE OF BIRTH:	
LAW SCHOOL:	
YEAR ADMITTED TO NEW YORK BAR:	
JUDICIAL DEPT OF ADMISSION:	

NO CHANGES OR CORRECTIONS TO PERSONAL INFORMATION

proceed to next page 

SECTION H: DEMOGRAPHIC INFORMATION

ID#- 12A3BC5D

The following information is optional. It is being obtained for statistical purposes only and will not be made public. **If completed, please return with your registration form.**

GENDER - select one

- Female
 Male

RACE - select one or more

- American Indian or Alaska Native
 Asian
 Black or African American
 Native Hawaiian or Other Pacific Islander
 White/Caucasian

ETHNICITY - select one

- Hispanic or Latino
 Not Hispanic or Latino

CURRENT EMPLOYMENT CATEGORY - select one or more

- Attorney in Private Practice
 Corporate Counsel
 Government Lawyer
 Judge
 Law School Faculty/Administrator
 Non-Legal Occupation
 Public-Interest Lawyer
 Retired
 Not Currently Employed
 Other

ATTORNEY EMERITUS PROGRAM

The Unified Court System, in cooperation with the organized bar, legal services providers and other members of the legal community, has established the "Attorney Emeritus" Program to encourage experienced attorneys to volunteer their legal skills on a pro bono basis to assist low-income New Yorkers who cannot afford an attorney.

To be eligible as an "Attorney Emeritus" you must be an attorney in good standing who is **at least 55 years of age and has practiced law for a minimum of 10 years**. By enrolling as an Attorney Emeritus you indicate your willingness to volunteer a minimum of 30 hours of pro bono legal services each year under the auspices of a qualified legal services organization in New York. If you meet the above criteria, you may enroll as an Attorney Emeritus (or continue your enrollment) by signing your name in the Attorney Emeritus Enrollment Section of the form.

Attorneys who sign Option 2 and are retired from the practice of law will derive the following benefits:

- Exemption from paying the biennial attorney registration fee.
- Malpractice insurance coverage afforded by the organization for which they provide legal services, as well as access to the offices and staff of the sponsoring organization.
- Exemption from mandatory CLE requirements, with any necessary training provided free of charge by the sponsoring organization.
- Special recognition and acknowledgment of appreciation from the Chief Judge and State Bar President upon completion of the pro bono hours.

Attorneys who sign Option 1 and are not retired from the practice of law must continue to pay the attorney registration fee and comply with mandatory CLE requirements.

You may begin your service as an Attorney Emeritus immediately by contacting one of the many organizations in need of volunteers. Please visit our website at www.nycourts.gov and follow the links for "Volunteer Attorney Programs" and "Attorney Emeritus Program" to find the descriptions and contact information for dozens of organizations that need volunteer attorneys. If you would like someone to assist you with this process, please contact us at: **877-800-0396** or AEP@nycourts.gov.

If you are an experienced attorney, we hope that you will consider volunteering your time and legal skills to help low-income New Yorkers in need of legal assistance.

Your
**Attorney
 Registration
 Form
 CHECKLIST**

Have you
 completed
 the following?

Remember to make
 checks payable to:
**NYS Office of
 Court Administration.**

Please check the following information:

- ✓ **SECTION A: PERSONAL INFORMATION**
- ✓ **SECTION B: PAYMENT OR CERTIFICATION OF RETIREMENT**
- ✓ **SECTION C: MANDATORY CONTINUING LEGAL EDUCATION**
- ✓ **SECTION D: ANONYMOUS REPORT OF VOLUNTARY PRO BONO SERVICES AND CONTRIBUTIONS (Separate filing – see instructions)**
- ✓ **SECTION E: COMPLIANCE WITH CHILD SUPPORT OBLIGATIONS**
- ✓ **SECTION F: AFFIRMATION OF COMPLIANCE**
- ✓ **SECTION G: VERIFICATION**
- ✓ **SECTION H: DEMOGRAPHIC INFORMATION (Optional)** Return with your form.
- ✓ **ATTORNEY EMERITUS PROGRAM** Have you considered enrolling in this program?
- ✓ Have you made a copy of the **ATTORNEY REGISTRATION FORM** (front and back) for your records?
- ✓ Have you placed a stamp on the **RETURN ENVELOPE?**

Please use the pre-addressed envelope to return your ATTORNEY REGISTRATION FORM (with payment, if applicable) to the NEW YORK STATE OFFICE OF COURT ADMINISTRATION.

REGISTRATION OF ATTORNEYS PART 118 RULES OF THE CHIEF ADMINISTRATOR

§ 118.1 Filing requirement.

- (a) Every attorney admitted to practice in New York State on or before January 1, 1982, whether resident or nonresident, and whether or not in good standing; shall file a registration statement with the Chief Administrator of the Courts no later than March 1, 1982, and during each alternate year thereafter, within 30 days after the attorney's birthday, for as long as the attorney remains duly admitted to the New York bar.
- (b) Every attorney admitted to practice in New York State after January 1, 1982, and on or before January 1, 1986, whether resident or nonresident, and whether or not in good standing, shall file a registration statement within 60 days of the date of such admission and during each alternate year thereafter, within 30 days after the attorney's birthday, for as long as the attorney remains duly admitted to the New York bar.
- (c) Every attorney admitted to practice in New York State after January 1, 1986, whether resident or nonresident, and whether or not in good standing, shall file a registration statement prior to taking the constitutional oath of office, and during each alternate year thereafter, within 30 days after the attorney's birthday, for as long as the attorney remains duly admitted to the New York bar.
- (d) The registration statement shall be filed in person at the Office of Court Administration, 25 Beaver Street, 8th Floor, in the City of New York, or by means of an online program implemented by the Chief Administrator, or by ordinary mail addressed to Office of Court Administration, General Post Office, PO Box 29327, New York, N.Y. 10087-9327. The report of pro bono services and charitable contributions described in section 118.1(e) (14) shall be filed in the manner directed by the Chief Administrator of the Courts.
- (e) The registration statement shall be on a form provided by the Chief Administrator and shall include the following information, attested to by affirmation:
 - (1) name of attorney; (2) date of birth; (3) name when admitted to the bar; (4) law school from which degree granted; (5) year admitted to the bar; (6) judicial department of admission to the bar; (7) office addresses (including department); (8) home address; (9) business telephone number; (10) social security number; (11) e-mail address (optional); (12) race, gender, ethnicity and employment category (optional); (13) compliance with child support obligations; (14) in a separate statement, filed anonymously in a manner directed by the Chief Administrator, (a) a mandatory report of pro bono services and contributions, as defined in Rule 6.1 of the attorney Rules of Professional Conduct, performed or contributed by the attorney in the previous two calendar years, and (b) a report of such other pro bono service and contributions over the same period as the attorney may choose to describe.
- (f) In the event of a change in the name of attorney, office addresses, home address, business telephone number, or e-mail address reported pursuant to subdivision (e) of this section, the attorney shall file an amended statement within 30 days of such change.
- (g) Each registration statement filed pursuant to this section shall be accompanied by a registration fee of \$375. No fee shall be required from an attorney who certifies that he or she has retired from the practice of law. For purposes of this section, the "practice of law" shall mean the giving of legal advice or counsel to, or providing legal representation for,

a particular body or individual in a particular situation in either the public or private sector in the State of New York or elsewhere; it shall include the appearance as an attorney before any court or administrative agency. An attorney is "retired" from the practice of law when, other than the performance of legal services without compensation, he or she does not practice law in any respect and does not intend ever to engage in acts that constitute the practice of law. For purposes of section 468-a of the Judiciary Law, a full-time judge or justice of the Unified Court System of the State of New York, or of a court of any other state or of a Federal court, shall be deemed "retired" from the practice of law. An attorney in good standing, at least 55 years old and with at least 10 years experience, who participates without compensation in an approved pro bono legal services program, may enroll as an "attorney emeritus."

- (h) Failure by any attorney to comply with the provisions of this section shall result in referral for disciplinary action by the Appellate Division of the Supreme Court pursuant to section 90 of the Judiciary Law.

§ 118.2 Public access to attorney registration information.

- (a) Except as otherwise provided in this section, the information contained in the registration statement filed pursuant to section 118.1 of this Part shall be made available to the public upon submission of a written request and the payment of a charge for production, pursuant to the following schedule:
 - (1) Information for individual registered attorney by name: (i) no charge for single inquiry; (ii) \$2.50 for each additional name.
 - (2) Names and business addresses of registered attorneys by geographical area: (i) \$25.00 for 100 or fewer names; (ii) \$1.00 for each additional 100 names; (iii) \$100 for list of all registered attorneys.

Other requests may entail additional fees as circumstances warrant. Fees may be waived for requests by government agencies. Written requests for information shall be made to the Attorney Registration Unit, Office of Court Administration, 25 Beaver Street, 8th Floor, New York, N.Y. 10004.

- (b)
 - (1) The home address of an attorney shall be made available to the public only in the following circumstances: (i) where no office is listed, the home address will be made public; (ii) where an office address is listed, but a request for information alleges that the attorney cannot be located at that address, the home address will be made public only if the Chief Administrator determines, by independent inquiry, that the attorney cannot be located at the listed office address.
 - (2) The date of birth, social security number, pro bono service and contribution information (other than aggregate statistical information), race, gender, ethnicity and employment category of the attorney shall not be made available to the public.
- (c) All information relating to a particular attorney will be provided to that attorney or, on the attorney's written request, to any person or agency.
- (d) All information, other than anonymous pro bono data, will be available at all times to the attorney discipline committees of the Appellate Divisions.
- (e) Upon a showing of good cause in individual cases, a Presiding Justice of the Appellate Division may direct the non-disclosure of information otherwise available pursuant to this section.

Rev. June 1, 2015

RULES OF PROFESSIONAL CONDUCT PART 1200 JOINT RULES OF THE APPELLATE DIVISIONS

Rule 1.15 [former section 1200.46]: Preserving Identity of Funds and Property of Others; Fiduciary Responsibility; Commingling and Misappropriation of Client Funds or Property; Maintenance of Bank Accounts; Record Keeping; Examination of Records.

- (a) **Prohibition Against Commingling and Misappropriation of Client Funds or Property.** A lawyer in possession of any funds or other property belonging to another person, where such possession is incident to his or her practice of law, is a fiduciary, and must not misappropriate such funds or property or commingle such funds or property with his or her own.
- (b) **Separate Accounts.**
 - (1) A lawyer who is in possession of funds belonging to another person incident to the lawyer's practice of law shall maintain such funds in a banking institution within New York State that agrees to provide dishonored check reports in accordance with the provisions of 22 N.Y.C.R.R. Part 1300. "Banking institution" means a state or national

bank, trust company, savings bank, savings and loan association or credit union. Such funds shall be maintained, in the lawyer's own name, or in the name of a firm of lawyers of which the lawyer is a member, or in the name of the lawyer or firm of lawyers by whom the lawyer is employed, in a special account or accounts, separate from any business or personal accounts of the lawyer or lawyer's firm, and separate from any accounts that the lawyer may maintain as executor, guardian, trustee or receiver, or in any other fiduciary capacity; into such special account or accounts all funds held in escrow or otherwise entrusted to the lawyer or firm shall be deposited; provided, however, that such funds may be maintained in a banking institution located outside New York State if such banking institution complies with 22 N.Y.C.R.R. Part 1300 and the lawyer has obtained the prior written approval of the person to whom such funds belong specifying the name and address of the office or branch of the banking institution where such funds are to be maintained.

- (2) A lawyer or the lawyer's firm shall identify the special bank account or accounts required by Rule 1.15(b)(1) as an "Attorney Special Account," "Attorney Trust Account," or "Attorney Escrow Account," and shall obtain checks and deposit slips that bear such title. Such title may be accompanied by such other descriptive language as the lawyer may deem appropriate, provided that such additional language distinguishes such special account or accounts from other bank accounts that are maintained by the lawyer or the lawyer's firm.
- (3) Funds reasonably sufficient to maintain the account or to pay account charges may be deposited therein.
- (4) Funds belonging in part to a client or third person and in part currently or potentially to the lawyer or law firm shall be kept in such special account or accounts, but the portion belonging to the lawyer or law firm may be withdrawn when due unless the right of the lawyer or law firm to receive it is disputed by the client or third person, in which event the disputed portion shall not be withdrawn until the dispute is finally resolved.
- (c) **Notification of Receipt of Property; Safekeeping; Rendering Accounts; Payment or Delivery of Property.**
A lawyer shall:
- (1) promptly notify a client or third person of the receipt of funds, securities, or other properties in which the client or third person has an interest;
- (2) identify and label securities and properties of a client or third person promptly upon receipt and place them in a safe deposit box or other place of safekeeping as soon as practicable;
- (3) maintain complete records of all funds, securities, and other properties of a client or third person coming into the possession of the lawyer and render appropriate accounts to the client or third person regarding them; and
- (4) promptly pay or deliver to the client or third person as requested by the client or third person the funds, securities, or other properties in the possession of the lawyer that the client or third person is entitled to receive.
- (d) **Required Bookkeeping Records.**
- (1) A lawyer shall maintain for seven years after the events that they record:
- (i) the records of all deposits in and withdrawals from the accounts specified in Rule 1.15(b) and of any other bank account that concerns or affects the lawyer's practice of law; these records shall specifically identify the date, source and description of each item deposited, as well as the date, payee and purpose of each withdrawal or disbursement;
- (ii) a record for special accounts, showing the source of all funds deposited in such accounts, the names of all persons for whom the funds are or were held, the amount of such funds, the description and amounts, and the names of all persons to whom such funds were disbursed;
- (iii) copies of all retainer and compensation agreements with clients;
- (iv) copies of all statements to clients or other persons showing the disbursement of funds to them or on their behalf;
- (v) copies of all bills rendered to clients;
- (vi) copies of all records showing payments to lawyers, investigators or other persons, not in the lawyer's regular employ, for services rendered or performed;
- (vii) copies of all retainer and closing statements filed with the Office of Court Administration; and
- (viii) all checkbooks and check stubs, bank statements, prenumbered canceled checks and duplicate deposit slips.
- (2) Lawyers shall make accurate entries of all financial transactions in their records of receipts and disbursements, in their special accounts, in their ledger books or similar records, and in any other books of account kept by them in the regular course of their practice, which entries shall be made at or near the time of the act, condition or event recorded.
- (3) For purposes of Rule 1.15(d), a lawyer may satisfy the requirements of maintaining "copies" by maintaining any of the following items: original records, photocopies, microfilm, optical imaging, and any other medium that preserves an image of the document that cannot be altered without detection.
- (e) **Authorized Signatories.**
All special account withdrawals shall be made only to a named payee and not to cash. Such withdrawals shall be made by check or, with the prior written approval of the party entitled to the proceeds, by bank transfer. Only a lawyer admitted to practice law in New York State shall be an authorized signatory of a special account.
- (f) **Missing Clients.**
Whenever any sum of money is payable to a client and the lawyer is unable to locate the client, the lawyer shall apply to the court in which the action was brought if in the unified court system, or, if no action was commenced in the unified court system, to the Supreme Court in the county in which the lawyer maintains an office for the practice of law, for an order directing payment to the lawyer of any fees and disbursements that are owed by the client and the balance, if any, to the Lawyers' Fund for Client Protection for safeguarding and disbursement to persons who are entitled thereto.
- (g) **Designation of Successor Signatories.**
- (1) Upon the death of a lawyer who was the sole signatory on an attorney trust, escrow or special account, an application may be made to the Supreme Court for an order designating a successor signatory for such trust, escrow or special account, who shall be a member of the bar in good standing and admitted to the practice of law in New York State.
- (2) An application to designate a successor signatory shall be made to the Supreme Court in the judicial district in which the deceased lawyer maintained an office for the practice of law. The application may be made by the legal representative of the deceased lawyer's estate; a lawyer who was affiliated with the deceased lawyer in the practice of law; any person who has a beneficial interest in such trust, escrow or special account; an officer of a city or county bar association; or counsel for an attorney disciplinary committee. No lawyer may charge a legal fee for assisting with an application to designate a successor signatory pursuant to this Rule.
- (3) The Supreme Court may designate a successor signatory and may direct the safeguarding of funds from such trust, escrow or special account, and the disbursement of such funds to persons who are entitled thereto, and may order that funds in such account be deposited with the Lawyers' Fund for Client Protection for safeguarding and disbursement to persons who are entitled thereto.
- (h) **Dissolution of a Firm.**
Upon the dissolution of any firm of lawyers, the former partners or members shall make appropriate arrangements for the maintenance, by one of them or by a successor firm, of the records specified in Rule 1.15(d).
- (i) **Availability of Bookkeeping Records: Records Subject to Production in Disciplinary Investigations and Proceedings.**
The financial records required by this Rule shall be located, or made available, at the principal New York State office of the lawyers subject hereto, and any such records shall be produced in response to a notice or subpoena duces tecum issued in connection with a complaint before or any investigation by the appropriate grievance or departmental disciplinary committee, or shall be produced at the direction of the appropriate Appellate Division before any person designated by it. All books and records produced pursuant to this Rule shall be kept confidential, except for the purpose of the particular proceeding, and their contents shall not be disclosed by anyone in violation of the attorney-client privilege.
- (j) **Disciplinary Action.**
A lawyer who does not maintain and keep the accounts and records as specified and required by this Rule, or who does not produce any such records pursuant to this Rule, shall be deemed in violation of these Rules and shall be subject to disciplinary proceedings.

SUPREME COURT - APPELLATE DIVISION, 1ST DEPARTMENT
[22 NYCRR § 603.15]

§ 603.15 Random Review and Audit.

- (a) **Availability of Bookkeeping Records; Random Review and Audit.**
The financial records required to be maintained pursuant to Rule 1.15 of the Rules of Professional Conduct (22 N.Y.C.R.R. Part 1200 [Rule 1.15]), or by any other rule of this Court, shall be made available for inspection, copying and determination of compliance with court rules, to a duly authorized representative of the court pursuant to the issuance, on a randomly selected basis, of a notice or subpoena by the Departmental Disciplinary Committee.
- (b) **Confidentiality.**
All matters, records and proceedings relating to compliance with Rule 1.15 of the Rules of Professional Conduct (22 N.Y.C.R.R. Part 1200 [Rule 1.15]) and this section, including the selection of an attorney for review hereunder, shall be kept confidential in accordance with applicable law, as and to the extent required of matters relating to professional discipline.
- (c) **Regulations and Procedures for Random Review and Audit.**
Prior to the issuance of any notice or subpoena in connection with the

random review and audit program established by this section, the Departmental Disciplinary Committee shall propose regulations and procedures for the proper administration of the program. The court shall approve such of the regulations and procedures of the Departmental Disciplinary Committee as it may deem appropriate, and only such regulations and procedures as have been approved by the court shall become effective.

(d) **Biennial Affirmation of Compliance.**

Any attorney subject to this court's jurisdiction shall execute that portion of the biennial registration statement provided by the Office of Court Administration, affirming that the attorney has read and is in compliance with Rule 1.15 of the Rules of Professional Conduct (22 N.Y.C.R.R. Part 1200 [Rule 1.15]) and with this section. The affirmation shall be available at all times to the Departmental Disciplinary Committee.

No affirmation of compliance shall be required from a full-time judge or justice of the Unified Court System of the State of New York, or of a court of any other state, or of a federal court.

Amended June 23, 2009

SUPREME COURT - APPELLATE DIVISION, 2ND DEPARTMENT
[22 NYCRR § 691.12]

§ 691.12 Regulations and Procedures for Random Review and Audit and Biennial Affirmation of Compliance.

- (a) **Availability of bookkeeping records; random review and audit.**
The financial records required by Rule 1.15 of Part 1200 of this Title shall be available at the principal New York State office of the attorneys subject hereto, for inspection, copying and determination of compliance with said Rule 1.15, to a duly authorized representative of the court pursuant to the issuance, on a randomly selected basis, of a notice or subpoena by this court or the appropriate grievance committee.
- (b) **Confidentiality.**
All matters, records and proceedings relating to compliance with Rule 1.15 of Part 1200 of this Title, including the selection of an attorney for review hereunder, shall be kept confidential in accordance with applicable law, as and to the extent required of matters relating to professional discipline.

- (c) Prior to the issuance of any notice or subpoena in connection with the random review and audit program established by this section, the appropriate Grievance Committee shall propose regulations and procedures for the proper administration of the program. The Court shall approve such of the regulations and procedures of the Grievance Committee as it may deem appropriate, and only such regulations and procedures as have been approved by the Court shall become effective.

- (d) Any attorney subject to this court's jurisdiction shall execute that portion of the biennial registration statement provided by the Office of Court Administration affirming that the attorney has read and is in compliance with Rule 1.15 of Part 1200 of this Title. The affirmation shall be available at all times to the Grievance Committees. No affirmation of compliance shall be required from a full-time judge or justice of the Unified Court System of the State of New York or of a court of any other state, or of a Federal court.

Amended March 25, 2009



RULES OF PROFESSIONAL CONDUCT PART 1200 JOINT RULES OF THE APPELLATE DIVISIONS
Rule 6.1: Voluntary Pro Bono Services

Lawyers are strongly encouraged to provide *pro bono* legal services to benefit poor persons.

- (a) **Every lawyer should aspire to:**
- (1) provide at least 50 hours of *pro bono* legal services each year to poor persons; and
 - (2) contribute financially to organizations that provide legal services to poor persons. Lawyers should aspire to contribute annually in an amount at least equivalent to (i) the amount typically billed by the lawyer (or the firm with which the lawyer is associated) for one hour of time; or (ii) if the lawyer's work is performed on a contingency basis, the amount typically billed by lawyers in the community for one hour of time; or (iii) the amount typically paid by the organization employing the lawyer for one hour of the lawyer's time; or (iv) if the lawyer is underemployed, an amount not to exceed one-tenth of one percent of the lawyer's income.
- (b) **Pro bono legal services that meet this goal are:**
- (1) professional services rendered in civil matters, and in those criminal matters for which the government is not obliged to provide funds for legal representation, to persons who are financially unable to compensate counsel;
 - (2) activities related to improving the administration of justice by simplifying the legal process for, or increasing the availability and quality of legal services to, poor persons; and
 - (3) professional services to charitable, religious, civic and educational organizations in matters designed predominantly to address the needs of poor persons.
- (c) **Appropriate organizations for financial contributions are:**
- (1) organizations primarily engaged in the provision of legal services to the poor; and
 - (2) organizations substantially engaged in the provision of legal services to the poor, provided that the donated funds are to be used for the provision of such legal services.
- (d) **This Rule is not intended to be enforced through the disciplinary process, and the failure to fulfill the aspirational goals contained herein should be without legal consequences.**

PRO BONO

STATE OF NEW YORK
OFFICE OF COURT ADMINISTRATION
P.O. BOX 2806 CHURCH ST. STATION
NEW YORK, NY 10008

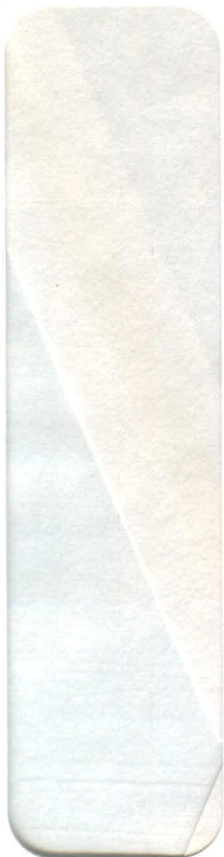


Exhibit A





PLACE
STAMP
HERE

NYS Office of Court Administration
Attorney Registration Unit
General Post Office
P.O. Box 29327
New York, NY 10087-9327



Exhibit A



Attorney Registration File Layout

Field# (on form)	Description	Field Name	Data Type	start	width	formatted in
		delim1		1	1	
1	Notice Date	correspondence_date	varchar(10)	2	10	mm/dd/yyyy
		delim12		12	1	
2	Attorney Registration Number	att_reg_id	numeric(10)	13	10	7 digits
		delim23		23	1	
3	start year	reg_period_start_year	int (yyyy)	24	4	yyyy
		delim28		28	1	
4	end year	reg_period_end_year	int (yyyy)	29	4	yyyy
		delim33		33	1	
5	Form Number	attorney_registration	numeric(10)	34	10	xxxxxxxxxx
		delim44		44	1	
6	Address: Work or Home	sent_to_description	char(4)	45	4	Newkirk will ignore
		delim49		49	1	
7	Current Name	fname delim79 mname delim100 lname delim130 seniority delim134 suffix	varchar(20) varchar(20) varchar(30) char(3) char(5)	50 70 71 91 92 122 123 126 127	20 1 20 1 30 1 3 1 5	mname - will send period if an initial is used lname - no comma after lname if seniority or suffix is not null seniority- no punctuation suffix - no punctuation

Field# (on form)	Description	Field Name	Data Type	start	width	formatted in
		delim131		131	1	
8	name when admitted	fname delim160 mname delim181 lname delim212 seniority delim216 suffix	varchar(20) varchar(20) varchar(30) char(5) char(5)	132 152 153 173 174 204 205 210 211	20 1 20 1 30 1 5 1 6	name when admitted, may be a space
		delim217		217	1	
9	mailing address	firm delim292 address_1 delim343 address_2 delim394 city delim445 state delim448 zip delim454 zip_plus4 delim459 country	varchar(70) varchar(50) varchar(50) varchar(50) char(2) char(5) char(4) varchar(50)	218 288 289 339 340 390 391 441 442 444 445 450 451 455 456	70 1 50 1 50 1 50 1 2 1 5 1 4 1 50	zip_plus4 will be null country provided only if outside of USA
		happy506		506	1	

Field# (on form)	Description	Field Name	Data Type	start	width	formatted in
10	business address	firm	varchar(70)	507	70	country provided only if outside of USA
		delim581		577	1	
		address_1	varchar(50)	578	50	
		delim632		628	1	
		address_2	varchar(50)	629	50	
		delim683		679	1	
		city	varchar(50)	680	50	
		delim734		730	1	
		state	char(2)	731	2	
		delim737		733	1	
		zip	char(5)	734	5	
delim743		739	1			
zip_plus4	char(4)	740	4			
delim748		744	1			
		country	varchar(50)	745	50	
		delim794		795	1	
11	home address	address_1	varchar(50)	796	50	country provided only if outside of USA
		delim921		846	1	
		address_2	varchar(50)	847	50	
		delim972		897	1	
		city	varchar(50)	898	50	
		delim1023		948	1	
		state	char(2)	949	2	
		delim1026		951	1	
		zip	char(5)	952	5	
		delim1032		957	1	
		zip_plus4	char(4)	958	4	
delim1037		962	1			
		country	varchar(50)	963	50	
		delim1013		1013	1	

Revised 1/13/10

Field# (on form)	Description	Field Name	Data Type	start	width	formatted in
12	Business phone	number	varchar(50)	1014	50	(xxx) xxx-xxxx
		delim1064		1064	1	
13	Social Security Number	tid	varchar(20)	1065	20	xxx-xx-xxxx
		delim1085		1085	1	
14	Law School	law_school_name	varchar(50)	1086	50	Newkirk will wrap text
		delim1136		1136	1	
15	Date of Birth	dob	datetime (mm/dd/yyyy)	1137	10	mm/dd/yyyy
		delim1147		1147	1	
16	Year Admitted to NYS Bar	year_admitted	int/yyyy)	1148	4	yyyy
		delim1152		1152	1	
17	NYS Judicial Dept. of Admission	judicial_department	smallint	1153	1	number
		delim1154		1154	1	
18	Fee amount for biennial period	fee_amount	numeric(9)	1155	9	\$x,xxx.00 (Newkirk will ignore)
		delim1164		1164	1	
19	Total of all fees (calculated field)	total fee	numeric(10)	1165	10	\$xx,xxx.00
		delim1175		1175	1	

Revised 1/13/10

Field# (on form)	Description	Field Name	Data Type	start	width	formatted in
20	Identifies the type of Notice: - REGISTRATION NOTICE - SECOND NOTICE - FINAL NOTICE - SPECIAL NOTICE - DELINQUENT NOTICE	description	varchar(50)	1176	50	all caps
		delim1226		1226	1	
21	Numeric equivalent of Registration Notice type	notice_type	smallint	1227	11	number
		delim1238		1238	1	

Revised 1/13/10

Field# (on form)	Description	Field Name	Data Type	start	width	formatted in
22	Notes for correspondence	correspondence message 1a	varchar(25)	1239-1263	25	string
		correspondence message 1b	varchar(25)	1264-1288	25	string
		correspondence message 1c	varchar(50)	1289-1338	50	string
		delim1339		1339	1	
		correspondence message 2a	varchar(25)	1340-1364	25	string
		correspondence message 2b	varchar(25)	1365-1389	25	string
		correspondence message 2c	varchar(50)	1390-1439	50	string
		delim1440		1440	1	
		correspondence message 3a	varchar(25)	1441-1465	25	string
		correspondence message 3b	varchar(25)	1466-1490	25	string
		correspondence message 3c	varchar(50)	1491-1540	50	string
		delim1541		1541	1	
		correspondence message 4a	varchar(25)	1542-1566	25	string
		correspondence message 4b	varchar(25)	1567-1591	25	string
		correspondence message 4c	varchar(50)	1592-1641	50	string
delim1642		1642	1			
correspondence message 5a	varchar(25)	1643-1667	25	string		
correspondence message 5b	varchar(25)	1668-1692	25	string		
correspondence message 5c	varchar(50)	1693-1742	50	string		
delim1743		1743	1			

Field# (on form)	Description	Field Name	Data Type	start	width	formatted in
22	Notes for correspondence	correspondence message 6a	varchar(25)	1744-1768	25	string
		correspondence message 6b	varchar(25)	1769-1793	25	string
		correspondence message 6c	varchar(50)	1794-1843	50	string
		delim1844		1844	1	
		correspondence message 7a	varchar(25)	1845-1869	25	string
		correspondence message 7b	varchar(25)	1870-1894	25	string
		correspondence message 7c	varchar(50)	1895-1944	50	string
		delim1945		1945	1	
		correspondence message 8a	varchar(25)	1946-1970	25	string
		correspondence message 8b	varchar(25)	1971-1995	25	string
		correspondence message 8c	varchar(50)	1996-2045	50	string
		delim2046		2046	1	
		correspondence message 9a	varchar(25)	2047-2071	25	string
		correspondence message 9b	varchar(25)	2072-2096	25	string
		correspondence message 9c	varchar(50)	2097-2146	50	string
delim2147		2147	1			
correspondence message 10a	varchar(25)	2148-2172	25	string		
correspondence message 10b	varchar(25)	2173-2197	25	string		
correspondence message 10c	varchar(50)	2198-2247	50	string		
delim2248		2248	1			

Field# (on form)	Description	Field Name	Data Type	start	width	formatted in
22	Notes for correspondence	correspondence message 11a	varchar(25)	2249-2273	25	string
		correspondence message 11b	varchar(25)	2274-2298	25	string
		correspondence message 11c	varchar(50)	2299-2348	50	string
		delim2349		2349	1	
		correspondence message 12a	varchar(25)	2350-2374	25	string
		correspondence message 12b	varchar(25)	2375-2399	25	string
		correspondence message 12c	varchar(50)	2400-2449	50	string
		delim2450		2450	1	
		correspondence message 13a	varchar(25)	2451-2475	25	string
		correspondence message 13b	varchar(25)	2476-2500	25	string
		correspondence message 13c	varchar(50)	2501-2550	50	string
		delim2551		2551	1	
		correspondence message 14a	varchar(25)	2552-2576	25	string
		correspondence message 14b	varchar(25)	2577-2601	25	string
		correspondence message 14c	varchar(50)	2602-2651	50	string
		delim2652		2652	1	

Field# (on form)	Description	Field Name	Data Type	start	width	formatted in
22	Notes for correspondence	correspondence message 15a	varchar(25)	2653-2677	25	string
		correspondence message 15b	varchar(25)	2678-2702	25	string
		correspondence message 15c	varchar(50)	2703-2752	50	string
		delim2753		2753	1	
		correspondence message 16a	varchar(25)	2754-2778	25	string
		correspondence message 16b	varchar(25)	2779-2803	25	string
		correspondence message 16c	varchar(50)	2804-2853	50	string
		delim2854		2854	1	
		correspondence message 17a	varchar(25)	2855-2879	25	string
correspondence message 17b	varchar(25)	2880-2904	25	string		
correspondence message 17c	varchar(50)	2905-2954	50	string		
delim2955		2955	1			
23	01/01/10 rule changes	demographic number	varchar(10)	2956-2975	20	Field# (on form)
		delim2966		2976	1	
		email address	varchar(50)	2977-3026		
delim3221		3027	1			

Revised 1/13/10

Attorney Registration File Layout

Field# (on form)	Description	Field Name	Data Type	start	width	formatted in
		delim1		1	1	
1	Notice Date	correspondence_date	varchar(10)	2	10	mm/dd/yyyy
		delim12		12	1	
2	Attorney Registration Number	att_reg_id	numeric(10)	13	10	7 digits
		delim23		23	1	
3	start year	reg_period_start_year	int (yyyy)	24	4	yyyy
		delim28		28	1	
4	end year	reg_period_end_year	int (yyyy)	29	4	yyyy
		delim33		33	1	
5	Form Number	attorney_registration	numeric(10)	34	10	xxxxxxxxxx
		delim44		44	1	
6	Address: Work or Home	sent_to_description	char(4)	45	4	Newkirk will ignore
		delim49		49	1	
7	Current Name	fname	varchar(20)	50	20	mname - will send period if an initial is used
		delim79		70	1	
		mname	varchar(20)	71	20	lname - no comma after lname if seniority or suffix is not null
		delim100		91	1	
		lname	varchar(30)	92	30	seniority- no punctuation
		delim130		122	1	
		seniority	char(3)	123	3	suffix - no punctuation
		delim134		126	1	
		suffix	char(5)	127	5	

Field# (on form)	Description	Field Name	Data Type	start	width	formatted in
		delim131		131	1	
8	name when admitted	fname delim160 mname delim181 lname delim212 seniority delim216 suffix	varchar(20) varchar(20) varchar(30) char(5) char(6)	132 152 153 173 174 204 205 210 211	20 1 20 1 30 1 5 1 6	name when admitted, may be a space
		delim217		217	1	
9	mailing address	firm delim292 address_1 delim343 address_2 delim394 city delim445 state delim448 zip delim454 zip_plus4 delim459 country	varchar(70) varchar(50) varchar(50) varchar(50) char(2) char(5) char(4) varchar(50)	218 288 289 339 340 390 391 441 442 444 445 450 451 455 456	70 1 50 1 50 1 50 1 2 1 5 1 4 1 50	zip_plus4 will be null country provided only if outside of USA
		happy506		506	1	

Field# (on form)	Description	Field Name	Data Type	start	width	formatted in
10	business address	firm	varchar(70)	507	70	country provided only if outside of USA
		delim581		577	1	
		address_1	varchar(50)	578	50	
		delim632		628	1	
		address_2	varchar(50)	629	50	
		delim683		679	1	
		city	varchar(50)	680	50	
		delim734		730	1	
		state	char(2)	731	2	
		delim737		733	1	
		zip	char(5)	734	5	
		delim743		739	1	
		zip_plus4	char(4)	740	4	
delim748		744	1			
		country	varchar(50)	745	50	
		delim794		795	1	
11	home address	address_1	varchar(50)	796	50	country provided only if outside of USA
		delim921		846	1	
		address_2	varchar(50)	847	50	
		delim972		897	1	
		city	varchar(50)	898	50	
		delim1023		948	1	
		state	char(2)	949	2	
		delim1026		951	1	
		zip	char(5)	952	5	
		delim1032		957	1	
		zip_plus4	char(4)	958	4	
		delim1037		962	1	
				country	varchar(50)	
		delim1013		1013	1	

Revised 1/13/10

Field# (on form)	Description	Field Name	Data Type	start	width	formatted in
12	Business phone	number	varchar(50)	1014	50	(xxx) xxx-xxxx
		delim1064		1064	1	
13	Social Security Number	tid	varchar(20)	1065	20	xxx-xx-xxxx
		delim1085		1085	1	
14	Law School	law_school_name	varchar(50)	1086	50	Newkirk will wrap text
		delim1136		1136	1	
15	Date of Birth	dob	datetime (mm/dd/yyyy)	1137	10	mm/dd/yyyy
		delim1147		1147	1	
16	Year Admitted to NYS Bar	year_admitted	int/yyyy)	1148	4	yyyy
		delim1152		1152	1	
17	NYS Judicial Dept. of Admission	judicial_department	smallint	1153	1	number
		delim1154		1154	1	
18	Fee amount for biennial period	fee_amount	numeric(9)	1155	9	\$x,xxx.00 (Newkirk will ignore)
		delim1164		1164	1	
19	Total of all fees (calculated field)	total fee	numeric(10)	1165	10	\$xx,xxx.00
		delim1175		1175	1	

Revised 1/13/10

Field# (on form)	Description	Field Name	Data Type	start	width	formatted in
20	Identifies the type of Notice: - REGISTRATION NOTICE - SECOND NOTICE - FINAL NOTICE - SPECIAL NOTICE - DELINQUENT NOTICE	description	varchar(50)	1176	50	all caps
		delim1226		1226	1	
21	Numeric equalivent of Registration Notice type	notice_type	smallint	1227	11	number
		delim1238		1238	1	

Revised 1/13/10

Field# (on form)	Description	Field Name	Data Type	start	width	formatted in
22	Notes for correspondence	correspondence message 1a	varchar(25)	1239-1263	25	string
		correspondence message 1b	varchar(25)	1264-1288	25	string
		correspondence message 1c	varchar(50)	1289-1338	50	string
		delim1339		1339	1	
		correspondence message 2a	varchar(25)	1340-1364	25	string
		correspondence message 2b	varchar(25)	1365-1389	25	string
		correspondence message 2c	varchar(50)	1390-1439	50	string
		delim1440		1440	1	
		correspondence message 3a	varchar(25)	1441-1465	25	string
		correspondence message 3b	varchar(25)	1466-1490	25	string
		correspondence message 3c	varchar(50)	1491-1540	50	string
		delim1541		1541	1	
		correspondence message 4a	varchar(25)	1542-1566	25	string
		correspondence message 4b	varchar(25)	1567-1591	25	string
		correspondence message 4c	varchar(50)	1592-1641	50	string
delim1642		1642	1			
correspondence message 5a	varchar(25)	1643-1667	25	string		
correspondence message 5b	varchar(25)	1668-1692	25	string		
correspondence message 5c	varchar(50)	1693-1742	50	string		
delim1743		1743	1			

Revised 1/13/10

Field# (on form)	Description	Field Name	Data Type	start	width	formatted in
22	Notes for correspondence	correspondence message 6a	varchar(25)	1744-1768	25	string
		correspondence message 6b	varchar(25)	1769-1793	25	string
		correspondence message 6c	varchar(50)	1794-1843	50	string
		delim1844		1844	1	
		correspondence message 7a	varchar(25)	1845-1869	25	string
		correspondence message 7b	varchar(25)	1870-1894	25	string
		correspondence message 7c	varchar(50)	1895-1944	50	string
		delim1945		1945	1	
		correspondence message 8a	varchar(25)	1946-1970	25	string
		correspondence message 8b	varchar(25)	1971-1995	25	string
		correspondence message 8c	varchar(50)	1996-2045	50	string
		delim2046		2046	1	
		correspondence message 9a	varchar(25)	2047-2071	25	string
		correspondence message 9b	varchar(25)	2072-2096	25	string
		correspondence message 9c	varchar(50)	2097-2146	50	string
delim2147		2147	1			
correspondence message 10a	varchar(25)	2148-2172	25	string		
correspondence message 10b	varchar(25)	2173-2197	25	string		
correspondence message 10c	varchar(50)	2198-2247	50	string		
delim2248		2248	1			

Revised 1/13/10

Field# (on form)	Description	Field Name	Data Type	start	width	formatted in
22	Notes for correspondence	correspondence message 11a	varchar(25)	2249-2273	25	string
		correspondence message 11b	varchar(25)	2274-2298	25	string
		correspondence message 11c	varchar(50)	2299-2348	50	string
		delim2349		2349	1	
		correspondence message 12a	varchar(25)	2350-2374	25	string
		correspondence message 12b	varchar(25)	2375-2399	25	string
		correspondence message 12c	varchar(50)	2400-2449	50	string
		delim2450		2450	1	
		correspondence message 13a	varchar(25)	2451-2475	25	string
		correspondence message 13b	varchar(25)	2476-2500	25	string
		correspondence message 13c	varchar(50)	2501-2550	50	string
		delim2551		2551	1	
		correspondence message 14a	varchar(25)	2552-2576	25	string
		correspondence message 14b	varchar(25)	2577-2601	25	string
correspondence message 14c	varchar(50)	2602-2651	50	string		
delim2652		2652	1			

Field# (on form)	Description	Field Name	Data Type	start	width	formatted in
22	Notes for correspondence	correspondence message 15a	varchar(25)	2653-2677	25	string
		correspondence message 15b	varchar(25)	2678-2702	25	string
		correspondence message 15c	varchar(50)	2703-2752	50	string
		delim2753		2753	1	
		correspondence message 16a	varchar(25)	2754-2778	25	string
		correspondence message 16b	varchar(25)	2779-2803	25	string
		correspondence message 16c	varchar(50)	2804-2853	50	string
		delim2854		2854	1	
		correspondence message 17a	varchar(25)	2855-2879	25	string
		correspondence message 17b	varchar(25)	2880-2904	25	string
		correspondence message 17c	varchar(50)	2905-2954	50	string
		delim2955		2955	1	
23	01/01/10 rule changes	demographic number	varchar(10)	2956-2975	20	Field# (on form)
		delim2966		2976	1	
		email address	varchar(50)	2977-3026		
		delim3221		3027	1	

Revised 1/13/10



NEW YORK STATE
Unified Court System
Anonymous Report of Voluntary Pro Bono Services and Contributions

Exhibit C

See detailed instructions for completing this form on reverse side and at www.nycourts.gov/attorneys/probono.

All attorneys, whether resident or non-resident, active or retired MUST file this anonymous form to complete their registration. A separate envelope is included for mailing this report.

I. REPORTING PERIOD: This report covers the calendar years 2 0 - 2 0

Answer all questions for the two calendar years preceding the filing of your registration statement. (For example, if the registration statement is filed any time during 2015, please report information for the period January 2013 through December 2014.)

II. REPORTING REQUIREMENT

a. REQUIRED TO REPORT: I am required to report my voluntary pro bono legal services and contributions provided during the two calendar years preceding the year my registration was due. (Please complete sections III - VI.)

b. EXEMPT: I am retired from the practice of law as defined in 22 NYCRR 118.1(g), or am an employee of a legal services organization, and am therefore exempt from the requirement to report my voluntary pro bono services and contributions. (If you are exempt, you may stop here, and return this form without reporting additional information – or, AT YOUR OPTION, you may complete sections III - VI IF YOU WISH to report pro bono services and contributions.)

III. BACKGROUND QUESTIONS (Unless you are exempt, you must complete this section.)

a. AGE GROUP (check one):

under 35 35-44 45-54 55-65 over 65

b. NUMBER OF YEARS ADMITTED TO PRACTICE (check one):

5 or fewer 6-10 11-15 16-20 over 20

c. EMPLOYMENT DURING THE TWO-YEAR REPORTING PERIOD (check one):

Private Law Firm Practice Not-for-profit Sector (legal) Corporate In-house Counsel Government (Legal)

Non-legal Occupation Law School Faculty Not Employed Other _____

d. LOCATION OR JUDICIAL DISTRICT (JD) OF PRINCIPAL PLACE OF BUSINESS (check one):

Bronx Brooklyn Manhattan Queens Richmond Long Island 3rd JD 4th JD

5th JD 6th JD 7th JD 8th JD 9th JD Outside NYS Outside USA

e. IF AN ATTORNEY IN PRIVATE PRACTICE, SIZE OF FIRM (number of attorneys):

1 (solo) 2-10 11-40 41-100 101-200 Over 200 Not applicable

IV. RULE 6.1 PRO BONO LEGAL SERVICES AND CHARITABLE CONTRIBUTIONS (Unless you are exempt, you must complete this section. See instructions for details.)

a. DURING THE REPORTING PERIOD, I PERFORMED APPROXIMATELY **HOURS OF UNPAID LEGAL SERVICES**, as described in Rule 6.1(b) of the Rules of Professional Conduct.

b. DURING THE REPORTING PERIOD, I CONTRIBUTED FUNDS TO LEGAL SERVICES ORGANIZATIONS, as described in Rule 6.1(c) of the Rules of Professional Conduct, in the following amount (check one):

\$0 \$1-250 \$251-750 \$751-2000 \$2001-5000 \$5001-\$25000 Over \$25000

V. OTHER PRO BONO SERVICES AND CONTRIBUTIONS (You may report, on a voluntary basis, all other types of charitable and pro bono services and contributions, excluding those reported in Section IV. See instructions for additional details.)

a. DURING THE REPORTING PERIOD, I PERFORMED APPROXIMATELY **HOURS OF UNPAID SERVICES**, of a legal and non-legal nature, pro bono publico.

b. DURING THE REPORTING PERIOD, I PERFORMED APPROXIMATELY **HOURS OF LEGAL SERVICES**, at a rate substantially below my normal billing rate for such services, pro bono publico.

c. DURING THE REPORTING PERIOD, I contributed the following amount to charitable causes (check one):

\$0 \$1-250 \$251-750 \$751-2000 \$2001-5000 \$5001-\$25000 Over \$25000

VI. IF YOU WISH TO PROVIDE DETAILS of your service and contributions reported above, please do so.

Anonymous Report of Voluntary Pro Bono Services and Contributions

While pro bono service by attorneys is not mandatory in New York State, New York's attorneys have a long tradition of public and charitable service and contribution – of both a legal and non-legal nature – to their communities. In addition, Rule 6.1 of the Rules of Professional Conduct (22 NYCRR Part 1200, Rule 6.1) strongly encourages attorneys to perform pro bono legal services to benefit poor persons, and to contribute financially to organizations that provide legal services to poor persons. The reporting requirement set forth below is intended to recognize these broad accomplishments, as well as to provide empirical data by which the Administrative Board of the Courts may assess the full extent of the legal services and contributions to legal assistance to the poor made by the New York bar.

Additional information, including links to Pro Bono resources, rules and FAQs may be found at:
www.nycourts.gov/attorneys/probono

GENERAL INSTRUCTIONS

Mandatory Filing – Anonymous Format: The filing of this pro bono information form is **required** of all attorneys, whether resident or non-resident, active or retired, in order to complete the biennial registration to the New York bar. However, the filing is **anonymous**: the information does not identify the filer, is maintained separately from data reported in the principal attorney registration form, and is used for purposes of aggregate descriptive statistical analysis.

Estimates and Recordkeeping: If at any time you are uncertain of the exact figure to report, use your best estimate (if none, enter 0). Court rules do not require attorneys to keep contemporaneous records of pro bono service or contributions, and attorneys will not be required to provide proof of such information.

Maintaining Copies of this Report: Although the pro bono service report is filed anonymously, its filing is mandatory. Consequently, it is highly **recommended** that attorneys keep a copy of the report in their files, in the event that the issue of filing is ever called into question.

Mailing – Separate Envelope and Address: To assure anonymity, these reports must be mailed in a separate (blue) envelope, to a separate address from the remainder of the Attorney Registration Form. Be sure to mail the form in the appropriate envelope to:

NYS Office of Court Administration
Attorney (Anonymous) Pro Bono Reporting
P.O. Box 5058
White Plains, NY 10602-5058

SECTION I

Reporting Period – Preceding Two Calendar Years: For purposes of this pro bono report, please answer all questions for the two-year period ending on December 31 of the year preceding the filing of your registration statement. (For example, if the registration statement is filed any time during 2015, please report information for the period January 2013 through December 2014.)

SECTION II

Reporting Requirement: All attorneys, whether resident or non-resident, active or retired (including exempt filers described below), MUST file this anonymous form to complete their registration.

Exempt Filers: If you are “retired” from the practice of law as defined in 22 NYCRR §118.1(g), or employed by an organization primarily engaged in the provision of pro bono legal services (for example, a legal services agency, legal aid society, defenders organization, or similar group), the Administrative Board of the Courts has determined that you are exempt from this mandatory reporting requirement. You may simply check the “Exempt” box and return the form without further information. However, even if you check “Exempt”, you may voluntarily choose to report your pro bono service and complete the remainder of the form.

SECTION III

Background Questions: This section requires reporting of general, anonymous background information required for data analysis.

If you don't know the Judicial District in which your principal place of business is located, a list of judicial districts by county is set forth at www.nycourts.gov/attorneys/probono.

SECTION IV

Rule 6.1 Pro Bono Legal Services and Charitable Contributions:

This section requires reporting of a narrow category of legal services to the poor,

and contributions to legal organizations serving the poor. The reporting of this information is **mandatory** except for exempt filers.

Legal Services: You should report hours of pro bono services if they were performed without charge and were:

-**legal services**, in civil matters, and in those criminal matters for which the government is not obliged to provide funds for legal representation, provided directly to persons who were financially unable to compensate counsel; or

-**legal services** related to improving the administration of justice by simplifying the legal process for, or increasing the availability and quality of legal services to, poor persons; or

-**legal services** provided to charitable, religious, civic and educational organizations in matters designed primarily to address the needs of poor persons.

Financial Contributions: You should report financial contributions if they were made to organizations

-**primarily** engaged in legal services to the poor; or

-**substantially** engaged in the provision of legal services to the poor, provided that the donated funds were to be used for the provision of such legal services.

A further discussion of these issues may be found at www.nycourts.gov/attorneys/probono.

SECTION V

Other Pro Bono Services and Charitable Contributions – Both Legal and Non-Legal:

This section provides the opportunity to report pro bono services and charitable contributions **NOT** reported in Section IV, without categorical limitation. While such reporting is strongly encouraged in order to provide a description of the full scope of charitable endeavors of New York attorneys, **filers may, at their option, decline to report some or all of the information requested. The section has three parts.**

a. Voluntary Services: You may report the total number of hours of **voluntary and unpaid public, community, or charitable service** provided to any person, institution or cause (excluding service already reported in Section IV). Such service may be legal or non-legal in nature. Voluntary legal services include, but are not limited to, unpaid volunteer work of a legal nature on not-for-profit boards and for bar associations, and voluntary mediation or arbitration. Voluntary non-legal services include, but are not limited to, service on not-for-profit boards and for bar associations, voluntary work for charitable organizations such as soup kitchens, and similar activities.

b. Legal Services at a reduced rate: You may report the total number of hours of legal services that you provided at a rate substantially below your normal billing rate, **pro bono publico**. For these purposes, “substantially below” means a rate at least 40% below a usual billing rate: but individual filers may apply a more or less restrictive definition. Fees that were intended to be billed and collected, but were written off as uncollectible, should not be included.

c. Financial Contributions: You may report the total of all charitable contributions made to any institution, person or cause (excluding those reported in Section IV).

SECTION VI

Comments and Further Details: You may (but are not required to) provide further details of the service and contributions reported above. For example, you may wish to provide a more exact amount of section 6.1 contributions, or a brief description of your voluntary services.

PRO BONO REPORTING



PLACE
STAMP
HERE

NYS Office of Court Administration
Attorney (Anonymous) Pro Bono Reporting
P.O. Box 5058
White Plains, NY 10602-5058

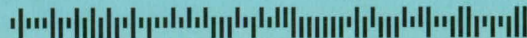


Exhibit C

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REGISTER ONLINE

Attorney Online Services
ATTORNEY REGISTRATION

NYS attorneys now have the option to file their biennial registration and/or update their address information electronically. Should you prefer to continue registering by mail, your hard-copy registration form is enclosed for your convenience.

If, however, you choose to register online, the step-by-step instructions are located on the back of this card.

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YOU MAY REGISTER ELECTRONICALLY BY GOING TO **WWW.NYCOURTS.GOV/ATTORNEYS**

Exhibit D



STEP 1: CREATE AN ONLINE SERVICES ACCOUNT ELECTRONICALLY

To do this, you will be asked for the following information to verify your identity:

- **Attorney Registration Number** - You can find this number on your hard-copy registration form or on the address label of this mailing.
- **Date of Birth**
- **The sum of the digits of your Social Security Number**
- **An email address** of your choosing to be used by us solely to correspond with you about your Attorney Online Services account. This email address will not be made public.

You will then create a password and respond to a challenge question which will allow you to reset your password in the future.

STEP 2: REGISTER AND/OR UPDATE ADDRESS INFORMATION

In order to complete the registration process, make sure you have:

- **Verified the number of Continuing Legal Education (CLE) credits** you will report for this reporting cycle, if applicable.
- **A valid credit card number**, if you are required to pay a registration fee. (Visa, MasterCard or AmEx only)

At the conclusion of the registration process, you will be notified when your submission is successfully entered and given the opportunity to print a receipt for your records. If you successfully register electronically, it is unnecessary to also submit the enclosed form by mail.

LAWYER ASSISTANCE PROGRAMS

Free Confidential Help is Available



NEW YORK STATE LAWYER ASSISTANCE PROGRAMS

As lawyers, we are charged with our clients' trust.

PERSONAL PROBLEMS such as alcoholism, substance abuse, depression and stress affect the ability to practice law. Take the time to review the following questions and consider whether you or a colleague would benefit from the available Lawyer Assistance Program services. If you can answer "yes" to any of these questions, you may need help.

1. **ARE MY ASSOCIATES**, clients or family alleging that my behavior has changed or that I don't seem myself?
2. **IS IT DIFFICULT FOR ME** to maintain a routine and stay on top of responsibilities?
3. **HAVE I EXPERIENCED MEMORY PROBLEMS** or an inability to concentrate?
4. **AM I EXPERIENCING DIFFICULTIES** in managing emotions such as anger and sadness?
5. **HAVE I MISSED APPOINTMENTS** or appearances or failed to return phone calls? Am I keeping up with correspondence?
6. **HAVE MY SLEEPING** and eating habits changed?
7. **AM I EXPERIENCING A PATTERN** of relationship problems with significant people in my life (spouse/parent, children, partners/associates)?
8. **DOES MY FAMILY HAVE A HISTORY** of alcoholism, substance abuse or depression?
9. **DOES MY DRINKING OR TAKING DRUGS**, or misusing prescription drugs, provide a method to deal with my problems?
10. **IN THE LAST FEW MONTHS**, have I had more drinks or drugs than I intended, or felt I should cut back or quit, but was unable to do so?
11. **IS GAMBLING** making me careless of my financial responsibilities?
12. **DO I FEEL SO STRESSED**, burned out and depressed that I have thoughts of suicide?

"There is Hope"

PROFESSIONALS WILL EVALUATE the situation and provide support and appropriate referrals. The consultation is free and confidential.

CALL:

1-800-255-0569NYSBA

212-302-5787NYC BAR

Please note the phone numbers above are for Lawyer Assistance Programs. For inquiries about Attorney Registration, call 212-428-2800, or send an e-mail to attyreg@courts.state.ny.us

VISIT THE LAP WEBSITES at: www.nysba.org, click on "for attorneys", then "lawyer assistance program"; or www.nycbar.org, click on "lawyer assistance program"

REFERRALS MAY BE MADE to appropriate community resources, self-help groups, outpatient counseling, inpatient facilities or private clinicians.

ALL SERVICES ARE CONFIDENTIAL AND PROTECTED UNDER JUDICIARY LAW § 499, WHICH STATES:

1. CONFIDENTIAL INFORMATION PRIVILEGED.

The confidential relations and communications between a member or authorized agent of a lawyer assistance committee sponsored by a state or local bar association and any person, firm or corporation communicating with such committee, its members or authorized agents shall be deemed to be privileged on the same basis as those provided by law between attorney and client. Such privilege may be waived only by the person, firm or corporation which has furnished information to the committee.

2. IMMUNITY FROM LIABILITY.

Any person, firm or corporation in good faith providing information to, or in any other way participating in the affairs of, any of the committees referred to in subdivision one of this section shall be immune from civil liability that might otherwise result by reason of such conduct. For the purpose of any proceeding, the good faith of any such person, firm or corporation shall be presumed.

Alcoholism, drug addiction and mental health disorders are treatable diseases.



**NEW YORK STATE
LAWYER ASSISTANCE PROGRAMS**

WWW.NYLAT.ORG